

**Review of LTCSP Measures- Draft for Discussion Purposes Only - 09/2018**

Measure	Source	Benchmark	Frequency	Notes
<b>Effectiveness Identifying Quality Concerns</b>				
1 Average Number of Deficiencies	National Report	Prior Survey Process	Monthly	
2 Average Number of Investigations Per Survey	SOAR Report	Region/Nation	Monthly	
3 Average Number of Investigations Per Surveyor	SOAR Report	Region/Nation	Monthly	
4 Number of deficiency-free surveys in facilities ranked as 1-star in staffing or 1-star in quality		Current 1%	Monthly	
5 % of 1 star staffed homes - cited for sufficient staffing		Current 3%	Monthly	
6 % of Surveys identifying G or above deficiencies	QCOR	?	Monthly	
7 % 2567's sent back/corrections	Internal		Monthly	
8 Percent of Mandatory Tasks Not Investigated	SOAR Report	1%	Monthly	
9 Average number of residents in Initial Pool (Actual - Expected)	SOAR Report	0 or above	Monthly	
10 Average number of residents in Sample (Actual - Expected)	SOAR Report	0 or above	Monthly	
11 Potential Citation on 2567 (Actual - Expected)	SOAR Report	0	Monthly	
<b>Efficiency</b>				
12 Number/Percent Overdue Surveys	QCOR	Statute	Monthly	
13 Time onsite	SOAR Report	Region/Nation	Monthly	
14 Team size (Total/ Actual - Expected)	SOAR Report	Region/Nation	Monthly	
15 Hours/Surveyor	SOAR	Region/Nation	Monthly	
16 % Investigations Led to Citations	SOAR Reports	Region/Nation	<10%	Review all investigative pathways.
17 Average number complaints brought on survey				
<b>Workforce</b>				
18 % Surveyors Up-to-Date on Software Training	ISTW Reports			
19 Number of LTC Surveyors				
20 Surveyor Turnover				

# Report Index

Report Title	Provider Type	Category	Short Description	Purpose	Frequency	Database	Comments
Initial Certification Processing Time	ALL	Cert	Details the average number of days elapsed for specific actions during initial certification processing.	Track and monitor new providers through the initial certification process. Useful for status inquiries.	Monthly	ACO	Reports > Scheduling and Tracking Reports > Tracking Reports > Certification Processing Time > Initial Certification Processing Time
Survey Overdue (HHA)	HHA	Cert	Details HHAs that are overdue for a survey.	Determine which (if any) HHAs have exceeded the specified standard survey interval.	Weekly	ACO	Reports > Scheduling and Tracking Reports > Tracking Reports > Survey Overdue (HHA)  Review regularly to ensure no surveys have exceeded the survey interval.
Months Since Last Certification	ALL	Cert	Lists facility/provider information and the date of their most recent certification, including time interval, and the date the current certification (if applicable) is scheduled or in progress.	Determine which (if any) non-HHA provider has exceeded the provider-specific standard survey interval.	Weekly	ACO	Reports > Scheduling and Tracking Reports > Scheduling Reports > Months Since Last Certification  Review regularly to ensure no surveys have exceeded the provider-specific survey interval.
Transactions Viewer	All	Cert	Lists certification kit upload transactions for a specified period.	Review overdue and rejected certification kit uploads. As of ASPEN v. 11.0, includes tracking of certification kits without surveys scheduled/attached.	Weekly	ACO	Tracking > Transactions  Review and resolve kit errors; for overdue uploads, follow-up with responsible staff; and for cert. kits without surveys, follow-up with survey scheduler.
Complaint / Incident Volume by Week	ALL	Complaint	Shows total volume of reports received, based on report criteria set.	Display counts for intakes by date received for management-level metrics. Useful for tracking complaint workload, can also leverage ACTS Status codes to see counts of intakes at various stages of the ACTS intake process (see comments).	Bi-Monthly	ACTS	Reports > Volume Reports > Complaint / Incident Volume by Week  When selecting report criteria, check the following status codes to report on the current status of:  - <b>Total Intakes:</b> Select all status codes - <b>Intakes entered but not triaged*:</b> Select 01 only *also change report criteria for <i>Priority</i> to ensure nothing is selected - <b>Intakes pending forward to RO for approval (deemed, CLIA)*:</b> Select 01 only *also change report criteria for <i>Priority</i> to only include: A - IJ, B - NIJH, C - NJM, D - NIJL - <b>Intakes pending investigation*:</b> Select 03 only *also change report criteria for <i>Priority</i> to only include: A - IJ, B - NIJH, C - NJM, D - NIJL - <b>Intakes with investigation scheduled, but findings not sent:</b> Select 04 only - <b>Intakes pending finalization:</b> Select codes 05 - 07

Timeliness Report	ALL	Complaint	Shows those intakes that exceed the user-specified number of days interval.	The ACTS Timeliness report can be leveraged to assist SSAs in scheduling investigations by providing a list of intakes and the number of days elapsed from the date the intake triage was set.	Weekly	ACTS	Reports > Timeliness Report  Unscheduled intakes report criteria: - <b>Report Dates:</b> Run report for past several years through current date to capture all intakes - <b>Priority:</b> A - IJ, B - NIJH, C - NIJM, D - NIJL - <b>Status:</b> Select 03  Select OK. On secondary criteria screen, select: - <b>Interval of Interest:</b> Received End to Survey Start - <b>Number of Days:</b> 0
Investigations Lacking Survey Upload report	All	Complaint	Lists investigations with no record of a survey upload being attempted.	Although ACTS utilizes automatic uploads, some uploads can fail due to errors. Review this report to ensure all investigated intakes have been uploaded to CMS - National.	Monthly	ACTS	Reports > Federal Only > Investigations Lacking Survey Upload
Surveys Not in AEM Case	LTC, HHA	Enforcement	Lists surveys not currently attached to an enforcement case.	Ensure surveys requiring enforcement actions are tied to a case in AEM.	Bi-Monthly	AEM	Reports > Enforcement Reports > Surveys Not in an AEM Case
Cases in Which No Letter Sent	LTC, HHA	Enforcement	Lists cases in which no letter has been sent to date.	Lists AEM cases in which the required enforcement letter has not been sent.	Weekly	AEM	Reports > Enforcement Reports > Cases in Which No Letter Sent
Tardy SOD Issuance	LTC	Survey	Shows all ePOC eligible surveys that have not been posted to the ePOC website within specified timeframes.	This report can be used by ePOC states to track compliance with the ten-day SOD issuance timeframe.	Bi-Monthly	ACO	Reports > ePOC Management Reports > Survey POC Information
SOD Issuance	All	Survey	Monitor SOD issuance timeframes for all provider types.	Monitor compliance with the mandated 10-day SOD issuance timeframe.	Bi-Monthly	State - Custom	For states with a custom reporting solution, the SSA can monitor SOD sent timeframes for all provider types. This requires the SSA to enter the date into a non-required field, <i>SOD Sent</i> , in the survey properties section of ACO for every survey. Once captured, the SSA can utilize this field to monitor timeframes.
Scheduled Surveys by Surveyor / Team Report	ALL	Workload	List of surveys currently scheduled by either surveyor or survey team.	Displays workload for a specified surveyor or survey team to ensure workload is being distributed evenly.	Quarterly	ACO	Reports > Scheduling and Tracking Reports > Scheduling Reports > Scheduled Survey Report by Period > Scheduled Surveys by Surveyor / Team  Monitor specific surveyors/teams* when there are concerns of workload, compare teams to ensure workload is distributed evenly. If not, consider redistributing workload.  *To monitor by survey teams, these must be setup and maintained by the SSA in the Personnel section of ACO.

Course Completion Status Report	ALL	Training	Generate course completion data as either complete or incomplete.	For new staff, require trainings, or as needed to track and confirm staff have completed required trainings.	Quarterly	ISTW	
Course Registration Status	All	Training	Provides real-time surveyor registration information.	Review surveyor requests for training approval.	Monthly or as needed	ISTW	
HHA List - No Recent Submissions	HHA	OASIS	Lists all HHAs in the state that have not submitted OASIS assessments in a specified timeframe.	Ensure the timely submission of OASIS assessments.	Monthly	OASIS-DMS	<p>Accessible through the CMS 'QIES to Success' page.</p> <p>Follow-up with delinquent providers to ensure timely submission of the OASIS assessments, cite deficiencies if warranted.</p>
MDS List - No Recent Submissions	LTC	MDS	Lists all LTC providers in the state that have not submitted MDS assessments in a specified timeframe.	Ensure the timely submission of MDS assessments.	Monthly	MDS-DMS	<p>Accessible through the CMS 'QIES to Success' page.</p> <p>Follow-up with delinquent providers to ensure timely submission of the OASIS assessments, cite deficiencies if warranted.</p> <p>This report and subsequent follow-up with delinquent providers may prevent issues with the LTCSP survey.</p>