

Introduction

This job aid is intended to provide a quick reference guide for the steps to enter basic complex issues data in SMART FACTS. Prior to entering a complex issue, make sure you are familiar with the policies and procedures surrounding complex issues. For details, see the SMART FACTS Operations Manual, Appendix C, and the chapters on complex issues and referrals.

OIG Definition of a Complex Issue

According to the OIG, complex issues are inquiries that generally require the SMP staff or volunteer to obtain beneficiary personal identifying information and detailed information related to the issue, complaint, or allegation in order to conduct further investigation or referral. See the SMART FACTS Operations Manual, Appendix C.

Complex Issue Data Entry in SMART FACTS: The Basics

To enter a complex issue in SMART FACTS, take the following steps:

Step	Action												
1	Add a New Complainant (Participant) and Enter Their Information												
	<table border="1"> <thead> <tr> <th data-bbox="529 1003 620 1039">Step</th> <th data-bbox="620 1003 1396 1039">Action</th> </tr> </thead> <tbody> <tr> <td data-bbox="529 1039 620 1155">1A</td> <td data-bbox="620 1039 1396 1155">Select Complex Issues and Referrals program (if not selected).</td> </tr> <tr> <td data-bbox="529 1155 620 1234">1B</td> <td data-bbox="620 1155 1396 1234">On the right menu, select Complainants, click Add New.</td> </tr> <tr> <td data-bbox="529 1234 620 1591">1C</td> <td data-bbox="620 1234 1396 1591"> Complete the Participant Information form, providing all applicable information as required for your SMP. <ul style="list-style-type: none"> • Although only Beneficiary Name and Program Start Date are required fields, other fields can be useful for reporting to AoA and for program management • If making a referral, see the SF Manual or the Complex Issues & Referrals Training Page. • For reporting information, see the SF Manual. </td> </tr> <tr> <td data-bbox="529 1591 620 1633">1D</td> <td data-bbox="620 1591 1396 1633">Confirm Program Start Date is accurate; click Submit.</td> </tr> <tr> <td data-bbox="529 1633 620 1858">1E</td> <td data-bbox="620 1633 1396 1858"> At the message Participant has been added, click OK. <i>Note: If the participant is already in SMART FACTS, the message Potential matches were found appears.</i> <ul style="list-style-type: none"> • To avoid creating a duplicate, select Go Back. • If they are not a duplicate and you want to add them, select Not a duplicate, please add. </td> </tr> </tbody> </table>	Step	Action	1A	Select Complex Issues and Referrals program (if not selected).	1B	On the right menu, select Complainants , click Add New .	1C	Complete the Participant Information form, providing all applicable information as required for your SMP. <ul style="list-style-type: none"> • Although only Beneficiary Name and Program Start Date are required fields, other fields can be useful for reporting to AoA and for program management • If making a referral, see the SF Manual or the Complex Issues & Referrals Training Page. • For reporting information, see the SF Manual. 	1D	Confirm Program Start Date is accurate; click Submit .	1E	At the message Participant has been added , click OK . <i>Note: If the participant is already in SMART FACTS, the message Potential matches were found appears.</i> <ul style="list-style-type: none"> • To avoid creating a duplicate, select Go Back. • If they are not a duplicate and you want to add them, select Not a duplicate, please add.
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Complex Issue Data Entry in SMART FACTS: The Basics, *continued*

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3	<p data-bbox="537 1163 964 1194">Enter Primary Issue Data (Tab 1)</p> <table border="1" data-bbox="537 1220 1406 1892"> <thead> <tr> <th data-bbox="537 1220 634 1255">Step</th> <th data-bbox="634 1220 1406 1255">Action</th> </tr> </thead> <tbody> <tr> <td data-bbox="537 1255 634 1339">3A</td> <td data-bbox="634 1255 1406 1339"> <p data-bbox="651 1266 1390 1329">Scroll down through the basic information about the beneficiary which auto-fills based on data entry in step 1.</p> </td> </tr> <tr> <td data-bbox="537 1339 634 1892">3B</td> <td data-bbox="634 1339 1406 1892"> <p data-bbox="651 1350 1317 1371">Complete each field with as much detail as possible</p> <ul data-bbox="651 1381 1390 1892" style="list-style-type: none"> • Describe the Primary Issue • What would you (the caller) like us to do? • Program & Type of Service (check all that apply) • Is this Issue related to a spouse’s benefits? (If Yes, enter spouse’s Medicare/Medicaid#). • Complaint Against and Provider Contact Information (address populates on the Complex Issue Referral Cover Letter & Complaint Form) • Claim #, Dates of Service, & Provider # (if known) • Have you contacted the Provider? (additional fields appear based on your answers) • Have you filed an appeal? (additional fields appear) • Do you have a copy of the MSN or other documents? </td> </tr> </tbody> </table>	Step	Action	3A	<p data-bbox="651 1266 1390 1329">Scroll down through the basic information about the beneficiary which auto-fills based on data entry in step 1.</p>	3B	<p data-bbox="651 1350 1317 1371">Complete each field with as much detail as possible</p> <ul data-bbox="651 1381 1390 1892" style="list-style-type: none"> • Describe the Primary Issue • What would you (the caller) like us to do? • Program & Type of Service (check all that apply) • Is this Issue related to a spouse’s benefits? (If Yes, enter spouse’s Medicare/Medicaid#). • Complaint Against and Provider Contact Information (address populates on the Complex Issue Referral Cover Letter & Complaint Form) • Claim #, Dates of Service, & Provider # (if known) • Have you contacted the Provider? (additional fields appear based on your answers) • Have you filed an appeal? (additional fields appear) • Do you have a copy of the MSN or other documents?
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Complex Issue Data Entry in SMART FACTS: The Basics, *continued*

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<p>3 <i>(cont)</i></p>	<p>3C</p>	<p>Enter the Nature of the Issue</p> <ul style="list-style-type: none"> The primary nature of the issue and applicable sub-fields are required for the OIG Report. Select the appropriate response to the question <i>What is the PRIMARY nature of this issue?</i> Based on your selection, additional sub-fields will appear. For guidance on making the appropriate selection, see the SMART FACTS Manual.
	<p>3D</p>	<p>Select the appropriate response to the question: <i>Are there any secondary issues?</i> See step 3C for guidance.</p>
	<p>3E</p>	<p>Click <i>Next Page.</i></p>
<p>4</p>	<p>Complete SMP Activity Log (Tab 2)</p>	
	<p>Step</p>	<p>Action</p>
	<p>4A</p>	<p>Scroll down past the introductory text to select or enter the following information as applicable:</p> <ul style="list-style-type: none"> Are there other documents? If yes, enter the document location <p>Note: This does not upload documents – see page 5 of this job aid.</p> <ul style="list-style-type: none"> SMP Initial Action: Initial Date of Action, Action Taken, Notes or description of action SMP Follow Up Actions: Date, Action Taken, Notes or description of action <p>Tip: For <i>Referrals</i>, see the SF Manual.</p>
	<p>4B</p>	<p>Scroll down to the <i>Status of Complex Issue</i> section and enter the following fields, all of which are required for the OIG Report (see SF Manual for details):</p> <ul style="list-style-type: none"> Current Status of Complex Issue Date of status update
<p>4C</p>	<p>If you are NOT making a referral at this time, click <i>Submit</i> to save your work. If making a referral, complete the <i>Dollar Amount Referred for Further Action</i> section and click <i>Next Page.</i> See SF Manual for details.</p>	

Complex Issue Data Entry in SMART FACTS: Editing Data

To edit a complex issue already entered in SMART FACTS, take the following steps. See SMART FACTS Manual for details.

Step	Action
1	Make sure you are in the Complex Issues and Referrals Program
2	Select Complex Issues from the right menu, then click Access Specific Issue
3	Use the search feature to find the beneficiary, then click Go in front of the beneficiary's name
4	In the Take Action drop-down menu, select Update to bring up the Complex Issues Form.
5	Make updates as needed on each of the four tabs. Click on the tab heading or use the Next button to move from one tab to the next. Click Submit to save changes.

Complex Issues in SMART FACTS: Key Dates

- The **Date of Issue** (formerly **Date of Inquiry**; the date highlighted in yellow at the top of the Complex Issues form) defaults to the date of data entry. If the complex issue is not being entered the same day that initial contact was made with the beneficiary, this date should be updated to reflect the date you received the complex issue from the complainant / beneficiary.

Tip: This date needs to be the earliest date on the complex issues form. Other dates can be the same as this one, but not earlier.

- The **Initial date of SMP Action** (on the SMP Activity Log) should show the date that you are first taking action; also enter information about the action taken. Usually the same or shortly after **Date of Issue**.
- The **Follow-up date(s)** (on the SMP Activity Log) are for tracking your activities; also enter information about the follow-up action(s) taken. At a minimum, complete when making a referral.
- The **Date of Status Update** (on the SMP Activity Log) should be changed any time you make updates to the case in SMART FACTS. The status itself should be changed as needed.

Complex Issue Data Entry in SMART FACTS: Uploading Documents

To upload documents in SMART FACTS, take the following steps. See the SMART FACTS manual for more information.

Step	Action
1	Make sure that you have completed the basic data entry of your Complex Issue (see p. 1 – 3 of this job aid).
2	Select Tab 4: Referrals to PSC/ZPIC/MEDIC (<i>Note: This tab is used to upload documents even if you are not making a referral</i>).
3	Scroll to the bottom of the page, where you will see five Upload attachment buttons and the sixth is a Release of Information Upload button used for the Release of Information form.
4	To upload a document, click Upload , then Browse for the document on your computer. Select the document and click Open , then click Upload . Note: The file types that can be uploaded are PDF, DOC and TXT.
5	Once the file uploads, the Upload button that you selected will now read View/Edit . Anyone with access to Complex Issues (i.e. PSCs, ZPICs and MEDICs) are able to view your document.
6	When done uploading documents, click Submit to save changes.

Complex Issues in SMART FACTS: Advanced Topics

In addition to the basic data entry steps outlined above, advanced topics listed below are explained in the Complex Issues and Referrals chapters of the SF manual.

- Individual Clients with multiple complex issues
- Intake Forms
- Beneficiary/Complainant Release of Information Form
- Print a hard copy of a specific complex issue
- To Do list in SMART FACTS (to organize your workflow)
- Referrals – electronic referral to PSCs/ZPICs/MEDICs

SMP Resources: Complex Issues

Resource	Purpose	Access Instructions
SMART FACTS Operations Manual: Complex Issues and Referrals chapters, Appendix C	Complex Issues in SMART FACTS	www.smpresource.org > Resources for SMPs > SF, or contact The Center
SMP Resource Center Website: Complex Issues and Referrals Training	SMP online resources	www.smpresource.org > Resources for SMPs > Training > Complex Issues Training
The National Consumer Protection Technical Resource Center (a.k.a. The Center)	Policy guidance; questions about SF data entry and the SF Manual	E-mail: hflory@smpresource.org or gpaulson@smpresource.org Call: 1-877-808-2468