



Centers for Medicare & Medicaid Services

Internet Quality Improvement & Evaluation System (iQIES)

Survey and Certification (S&C) Manage a Survey: Long Term Care Facilities User Manual

**Version 1.0
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1. Introduction

This user manual addresses how to prepare, add, review, manage, and edit surveys for long-term care (LTC) facilities in iQIES. This manual is not for all other provider areas. Please review [Manage a Survey User Manual](#) for all other provider areas.

For information on other modules, refer to [Reference & Manuals](#) on QTSO.

1.1 Getting Started in S&C – Important Information to Know

Below is important general information about iQIES.

- Log in to iQIES at <https://iqies.cms.gov/> with Health Care Quality Information Systems (HCQIS) Access Roles and Profile ([HARP](#)) login credentials. Refer to [iQIES Onboarding Guide](#) for further information, if necessary.
- All screenshots included in this manual contain only test data. Current screens in iQIES may be different from what is shown in screenshots below.
- Screenshots are dependent on user role and may not be an exact representation.
- Words highlighted in blue are clickable links.
- A red asterisk (*) indicates a required field.
- Blank fields may have a limited number of characters allowed in that field. If so, the character limit is shown on the bottom left. The blank fields may also be expanded. Click the two 45° parallel lines and drag to the right to enlarge the box. See *Figure 1, Expandable Field*.

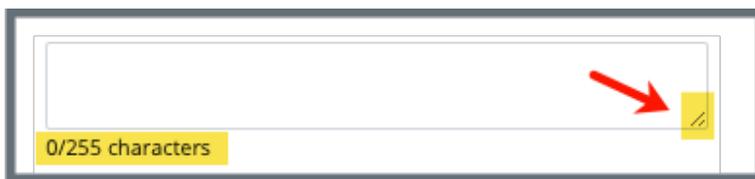


Figure 1: Expandable Field

- iQIES times out after 15 minutes of nonuse and reverts to the login page. Be sure to save data regularly. iQIES remains up and active as long as it is in use.

- iQIES uses a smart search. Once three letters/digits are typed in the search bar, results are shown based on letters/digits entered. The more letters/digits entered, the narrower the search. If any of the results is the correct result, click the result to open.
- Review any notification banners. Some banners may have links to review further information; others may be a reminder of a task that must be completed. See *Figure 2, Notification Banner* and *Table 1, Notification Banner Color Descriptions*. These banners can be closed (X'd out) at any time.

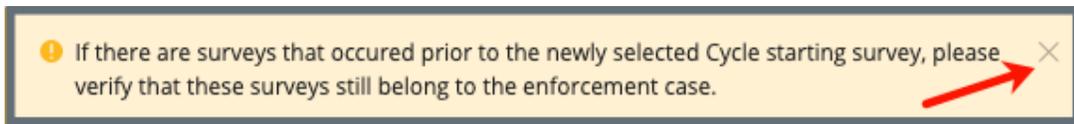


Figure 2: Notification Banner

Table 1: Notification Banner Color Descriptions

Notification Banner Color	Reason
Green	Action was successful
Blue	Informational only
Yellow	Warning. Review for information.
Red	Stop and review. The banner explains the actions must be taken.

- Review any Tool Tips for additional information to perform an action. Hover over the **i** icon to see the tip. Tool Tips are in iQIES to communicate information. Look for the information icon. See *Figure 3, Tool Tip Icon*.

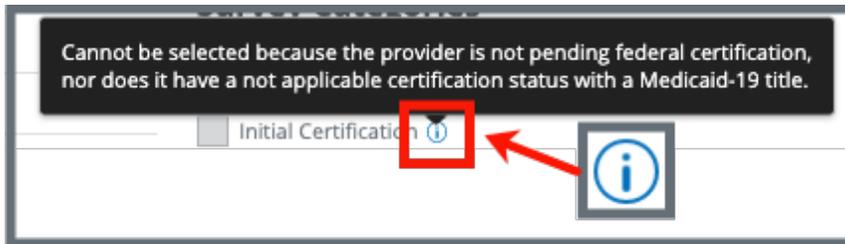


Figure 3: Tool Tip Icon

- Below are the supported browsers for access to iQIES. Be sure to keep your browser updated.

[Chrome](#)

[Edge](#)

1.2 iQIES Service Center

The iQIES Service Center supports users working within the various iQIES components: S&C, Patient Assessment, and Reporting.

Assistance Accessing iQIES: Contact the iQIES SO for your organization

Technical Support: Contact the iQIES Service Center:

Phone: 888-477-7876 (select Option 1)

Email: iQIES@cms.hhs.gov

Idea Portal: Feedback for future iQIES software development: [CCSQ Support Central](#). Click **Idea Portals** and select **iQIES Idea Portal**.

More information on iQIES: Refer to the [QIES Technical Support Office](#) (QTSO) and the [Quality, Safety, & Education Portal](#) (QSEP). Logging in to HARP may be required before accessing some documentation in QTSO and QSEP.

iQIES reference materials include:

- Links to Training Videos for providers
- Assessment Management User Manual
- Quick Reference Guides
- Onboarding Guide
- Managing User Information
- Other helpful iQIES material

iQIES training materials on QSEP include S&C Foundation Series Videos.

1.3 Roles and Permissions

iQIES roles allow users to access information pertinent to their area of work. The examples provided in this document pertain to S&C and require a Contract Surveyor, State Agency or Centers for Medicare & Medicaid Services (CMS) role with the capability to view or edit this information.

Permissions are ultimately governed by HARP access privileges. Contact the Security Official (SO) for your organization or the iQIES Service Center for issues relating to access and permissions. Refer to the [iQIES User Roles Matrix](#) for detailed information on roles.

For additional help, refer to <https://iqies.cms.gov/iqies/help> or click the help icon in the top right corner of the screen, see *Figure 4, Help Icon*, for further information.



Figure 4: Help Icon

1.4 My Tasks Landing Page

Purpose: **My Tasks** Landing Page is a tool used to track and display data for individual users. It consolidates information and processes into one area so that the user can see at a glance what actions must be performed.

1.4.1 Log in to iQIES. The landing page displays the **My Tasks** tool. See *Figure 5, My Tasks Landing Page* and *Table 2, My Tasks Landing Page Detailed Callout*.

Note: The **My Tasks** landing page defaults to **Active tasks**. Click the drop-down menu and select **Closed tasks** to view completed tasks.

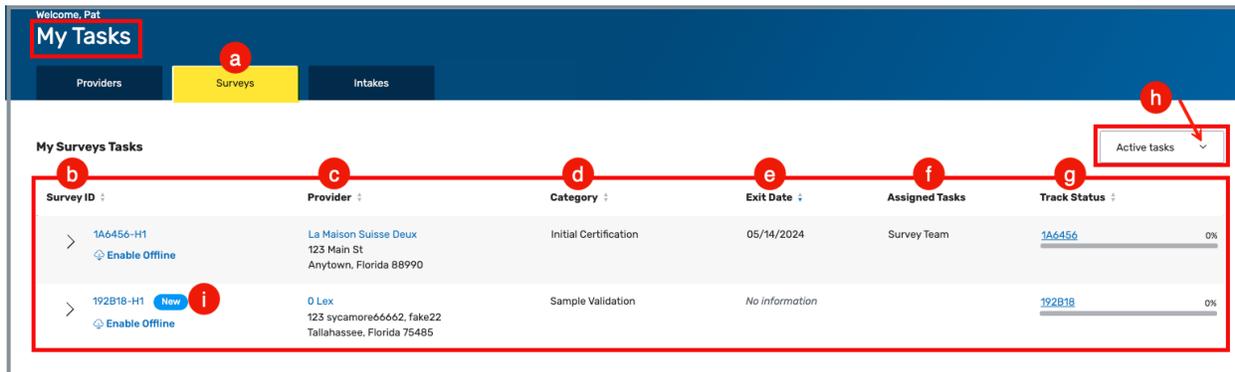


Figure 5: My Tasks Landing Page

Table 2: My Tasks Landing Page Detailed Callout

No.	Name	Description
a	Survey tab	Click each tab (Providers, Surveys, Intakes) to review the respective tasks. Not all tabs are available in all user roles. Click Enable Offline to enable the survey offline. For more details on how to enable offline, refer to S&C User Manual: Offline .
b	Survey ID	The survey ID shows as a link directly under Survey ID . Click the link to go directly to the Survey Basic Information page.

No.	Name	Description
		Click the caret next to the survey ID to view task status details about the survey. See step 1.4.2.
c	Provider	The provider ID and address shows as a link directly under Provider . Click the link to go directly to the Provider Basic Information page.
d	Category	Shows the survey category.
e	Exit Date	Shows the survey exit date.
f	Assigned Tasks	Lists the assigned tasks
g	Track Status	Tracks the completion status of the survey track. Click the status ID to see details. See Certification Event for a detailed explanation.
h	Active/Closed Tasks	Toggle between Active and Closed tasks.
i	New	A blue New in an oval shape (badge) next to the Survey ID in the Survey tab indicates that the survey task’s status is New .

Notes:

- Click the iQIES logo on the top left of the screen or **Home** to return to the **My Tasks** landing page at any time. See *Figure 6, iQIES Logo*.



Figure 6: iQIES Logo

- If there are no tasks, then a message appears below the selected tab. See *Figure 7, No Active Tasks*, for an example from the **Surveys** tab.



Figure 7: No Active Tasks

1.4.2 Click caret next to the survey ID and details open about tasks assigned to the survey. See *Figure 8, Task Status Details* and *Table 3, Task Status Details Detailed Callout*.

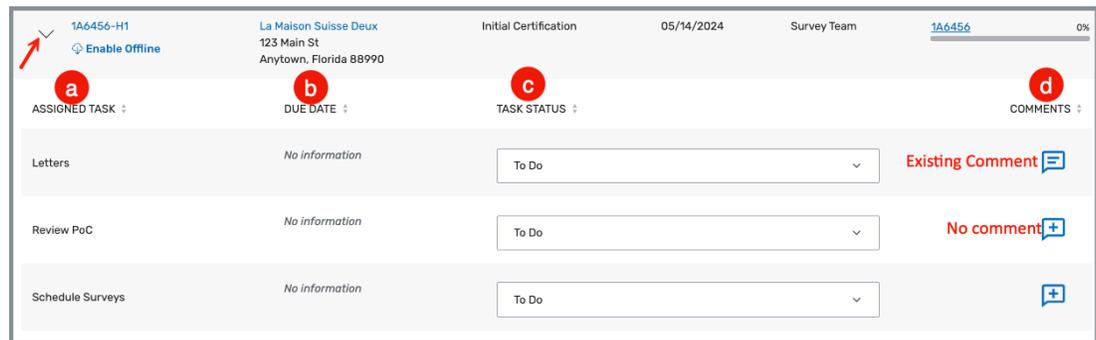


Figure 8: Task Status Details

Table 3: Task Status Details Detailed Callout

No.	Name	Description
a	ASSIGNED TASK	The name of the task assigned.
b	DUE DATE	The date the task is due, if available.
c	TASK STATUS	The task status. Task statuses are: To Do, In Progress, Complete.
d	COMMENTS	Comments. A + (plus sign) indicates a comment has not been left. See step 1.4.3 .

1.4.3 Click the **+** to leave a comment. The side menu opens. See *Figure 9, My Tasks Comments*.

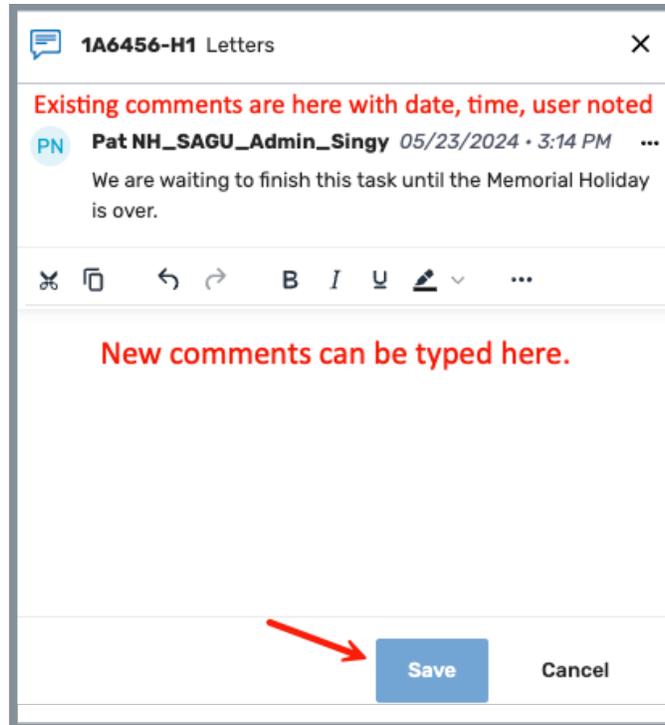


Figure 9: My Tasks Comments

1.4.4 Click **Save** to save comments. The side menu closes.

2. Manage a Survey Overview

This user manual addresses how to prepare, add, review, manage, and edit surveys.

Limited information from surveys from all states can be viewed, but findings, intakes, notes, attachments, and letters cannot be viewed.

Survey information is organized in sections and described in detail in steps in the manual. Click any selection on the left menu to get to that section. See *Figure 10, Survey Data Information Section*.

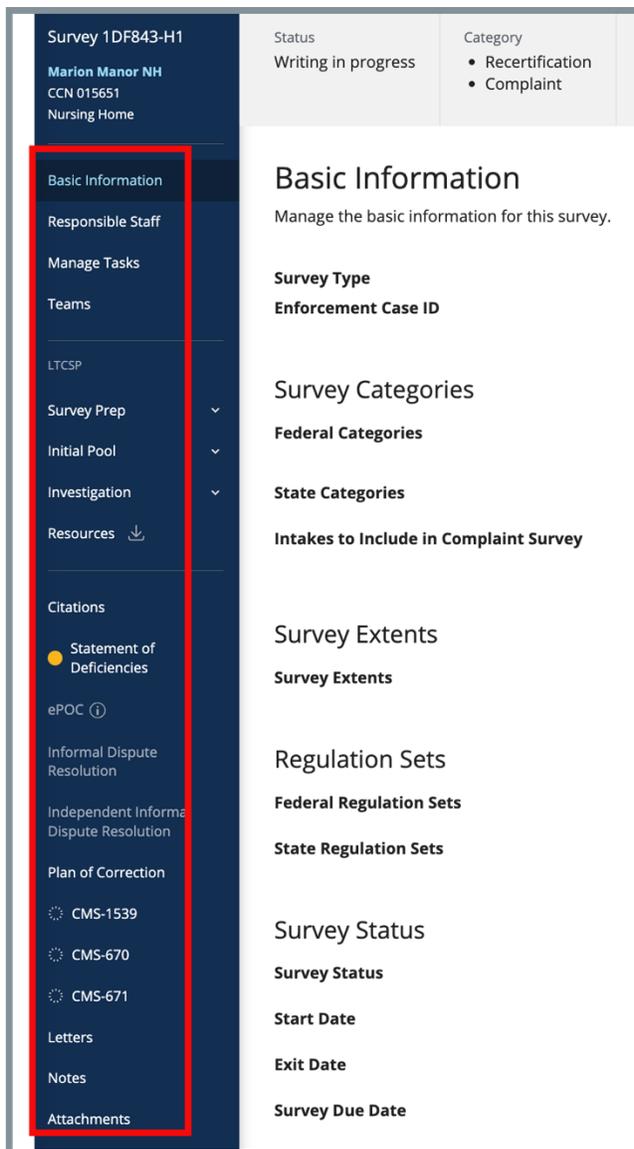


Figure 10: Survey Data Information Section

3. Add a Survey

Notes:

- A survey must be added by a State Agency General User (SAGU) with appropriate permissions.
- Once the survey is complete, a Team Coordinator (TC) must be added. Refer to [Teams](#) for more information on how to add a TC.
- All surveys must have associated intakes added when creating the survey.

[Add a Health Survey](#)

[Add a Life Safety Code \(LSC\) Survey](#)

[Link an LSC Survey to an Existing Health Survey](#)

[Add a Federal Monitoring Survey \(FMS\)](#)

3.1 Add a Health Survey

Purpose: This section describes how to create a health survey that is not associated with an LSC survey. To create a health survey that is associated with an LSC survey, see [Link a Health Survey and an LSC Survey](#).

Note: An LSC survey does not have to be linked to a health survey for state surveys. Federal surveys must be linked to a health survey.

- 3.1.1 Click the desired provider record. The **Provider History** page opens. For more information on searching for and accessing a provider, refer to the [Manage a Provider User Manual](#) on QTSO.
- 3.1.2 Click **Add Survey** on the **Provider History** page. See *Figure 11, Add Survey*. The **Basic Information** page opens.

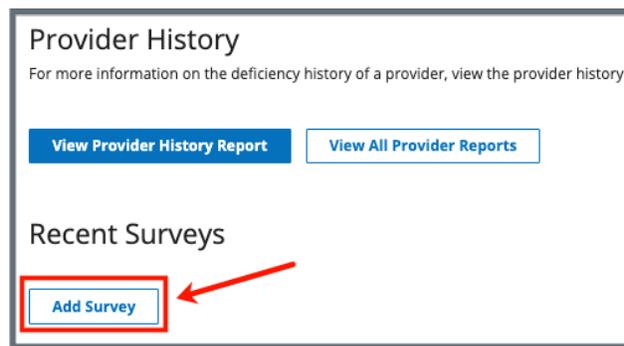
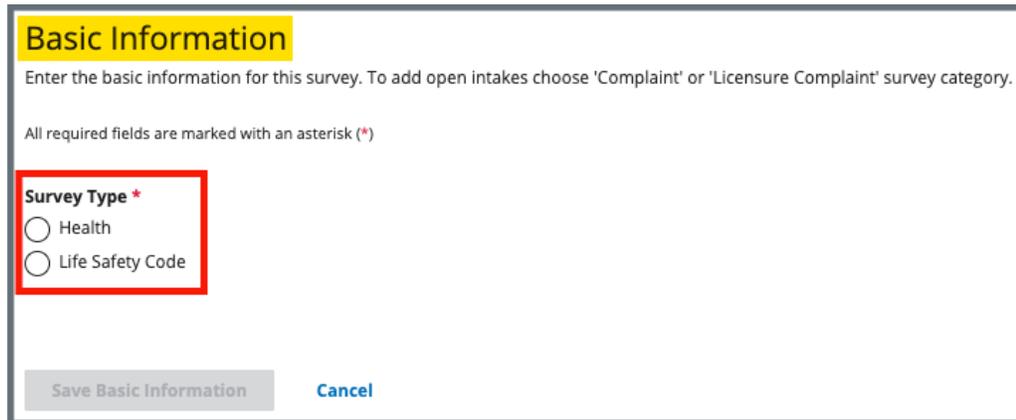


Figure 11: Add Survey

4.1.1 Select **Health**. See *Figure 12, Health Survey Type*.



Basic Information

Enter the basic information for this survey. To add open intakes choose 'Complaint' or 'Licensure Complaint' survey category.

All required fields are marked with an asterisk (*)

Survey Type *

Health

Life Safety Code

Save Basic Information Cancel

Figure 12: Health Survey Type

4.1.2 Fill out the information. See *Figure 13, New Survey Basic Information*.

Notes:

- Grayed out areas cannot be filled out. They are disabled based on the provider's information.
- **Regulation Sets** are applicable to the survey category selected.
- Click **Show Older Regulation Sets** to see older regulation sets, if desired.

Basic Information

Enter the basic information for this survey. To add open intakes choose 'Complaint' or 'Licensure Complaint' survey category.

All required fields are marked with an asterisk (*)

Survey Type *
 Health
 Life Safety Code

Survey Categories *
Federal Categories
 Initial Certification ⓘ
 Recertification RBS
 Complaint ⓘ
 Federal Monitoring Survey
 Focused Infection Control
State Categories
 Initial Licensure
 Re-Licensure
 Licensure Complaint ⓘ

Linked LSC Survey

There are no Life Safety Code Surveys available to link to this Health Survey at this time.

Survey Extents ⓘ
Survey extents are determined based upon the Federal Survey Categories and Citation Levels for this survey. If a survey extent is appropriate, it can be added once citations are entered. Recommended extents are displayed during the process of locking citations.
 Standard
 Abbreviated
 Extended
 Partial Extended
 Other

Regulation Sets *
Federal Regulation Sets ⓘ
 Emergency Preparedness (FED - E - 1.04)
 LONG TERM CARE FACILITIES (FED - F - 20.01)
 LONG TERM CARE FACILITIES (FED - F - 21.00)
State Regulation Sets ⓘ
 Alabama Licensure L T C (ST - L - 1.1)

> [Show Older Regulation Sets](#) ←

Survey Status
Start Date *
MM/DD/YYYY
Exit Date
MM/DD/YYYY

Figure 13: New Survey Basic Information

4.1.3 Click **Save Basic Information** to save new survey. The new survey opens.

Notes:

- CMS General Users will see a selection for **Federal Monitoring Survey** under **Survey Categories**.
- Once the survey is saved, a survey ID is generated.
- The **H** in the survey ID signifies a health survey. The **1** signifies that this is the first visit for this health survey. See *Figure 14, Health Survey ID Explanation*. Subsequent numbers represent revisit surveys. For example, the first revisit survey will have the same prefix, but it will be followed by **H2**. Each subsequent revisit health survey will have a number increase. See [Create a Revisit Survey](#) for further information about revisit surveys.



Figure 14: Health Survey ID Explanation

4.1.4 Click **Edit** in the top right corner to edit the survey, if desired.

3.2 Add an LSC Survey

Purpose: To create an LSC survey that is not associated with a health survey. To create an LSC survey that is associated with a health survey, see [Link a Health Survey and an LSC Survey](#).

Notes:

Before an LSC survey can be created, the following must occur:

- A provider must be added to iQIES with its primary physical location.
- A building must be added to the provider. See the [Manage a Provider User Manual](#) on QTSO for further details, if needed.
- Each building has an LSC Form Indicator (LSC Regulation Set specific to provider types).

3.2.1 Click **Add Survey** on the **Provider History** page. See *Figure 15, Add Survey*. The **Basic Information** page opens.

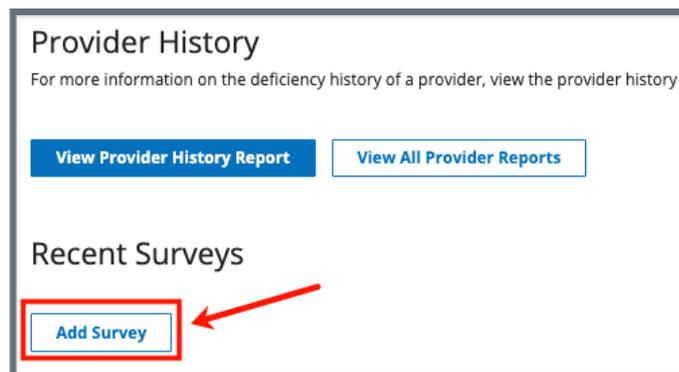


Figure 15: Add Survey

3.2.2 Select **Survey Type**. See *Figure 16, Survey Type*.

Figure 16: Survey Type

Note: Verify whether **Locations** is set up if Life Safety Code is disabled (grayed out).

3.2.3 Fill out the information. Fields are dependent on the type of survey chosen.

Notes:

- Grayed out areas cannot be filled out. They are disabled based on the provider’s information.
- **Regulation Sets** are applicable to the survey category selected.

3.2.4 Click **Save Basic Information** to save new survey. The new survey opens and can be edited.

Notes:

- The **L** in the survey ID signifies an LSC survey.
- The **1** signifies that this is the first visit for this survey. See *Figure 17, LSC Survey ID Explanation*.



Figure 17: LSC Survey ID Explanation

3.3 Link a Health Survey and an LSC Survey

Purpose: To create an LSC survey that is associated with a health survey in order that both surveys have the same ID prefix. To create an LSC survey that is not associated with a health survey, see [Add an LSC Survey](#).

Notes:

- There must be a building associated with the provider to link surveys. The **Life Safety Code Survey Type** radio button is disabled when there is no building associated with the provider.
- There must be an existing health survey to perform this action.
- The example below shows how to create a new LSC survey and link it to an existing health survey. The process works the same way when creating a new health survey and linking it to an existing LSC survey.

3.3.1 Go to the **Provider History** page for the provider.

3.3.2 Click **Create Life Safety Code Survey** under the **Survey action** menu on the survey line. See *Figure 18, Create Life Safety Code Survey*. The **New Survey Basic Information** page opens.

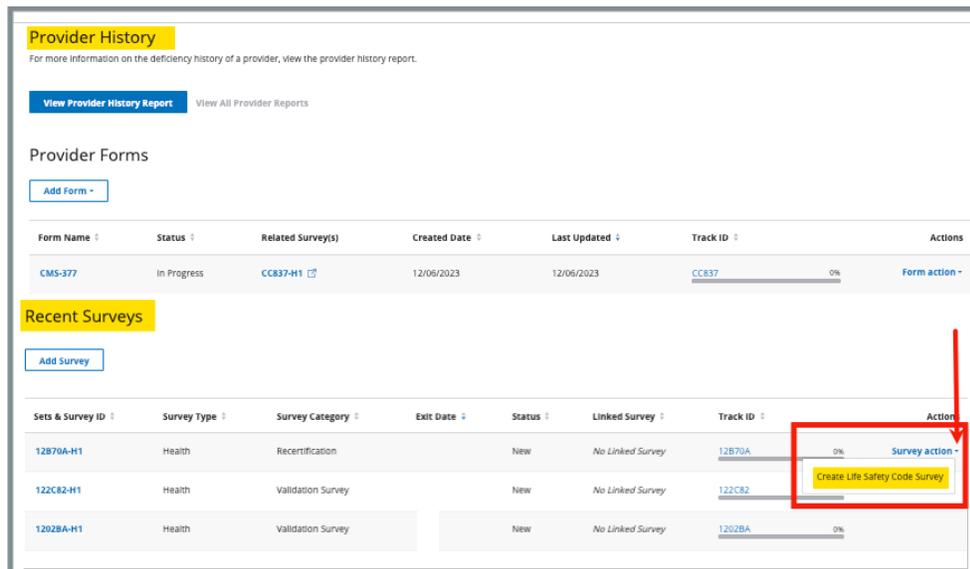


Figure 18: Create Life Safety Code Survey

Note: If there is an existing linked survey, the linked survey will show in the **Linked Survey** column.

- 3.3.3 Verify the linked survey is correct and fill out the information. Some information is prepopulated. See *Figure 19, Linked Health Survey Basic Information.*

Basic Information

Enter the basic information for this survey. To add open intakes choose 'Complaint' or 'Licensure Complaint' survey category.

All required fields are marked with an asterisk (*)

Survey Type *

Health

Life Safety Code

Survey Categories *

Federal Categories

Initial Certification ⓘ

Recertification

Complaint ⓘ

Focused Infection Control ⓘ

State Categories

Initial Licensure ⓘ

Re-Licensure

Licensure Complaint ⓘ

Linked Health Survey *

Survey ID	Survey Category	Survey Status	Exit Date
<input checked="" type="radio"/> EFC36-H1	Recertification	New	

[Edit Linked Survey](#)

Figure 19: Linked Health Survey Basic Information

- 3.3.4 Click **Save Basic Information** at the bottom of the form. The page returns to **Survey Basic Information** and can be edited.

Note: Both the Health and LSC surveys have the same survey prefix ID. The same ID helps locate the surveys. See *Figure 20, Linked Survey IDs.*

1 - 20 of 80 Surveys

Note: The L and H show whether the survey is an LSC (L) survey or a Health (H) survey.

Sets & Survey ID	Survey Type	Survey Category	Exit Date	Status	Linked Survey	Actions
<input checked="" type="checkbox"/> EFC36-L1	Life Safety Code	Recertification		New	<input checked="" type="checkbox"/> EFC36-H1	
<input checked="" type="checkbox"/> EFC36-H1	Health	Recertification		New	<input checked="" type="checkbox"/> EFC36-L1	
<input type="checkbox"/> EFC0C-H1	Health	Recertification		New	No Linked Survey	Survey action
<input type="checkbox"/> EFC1E1-H1	Health	Recertification		New	No Linked Survey	Survey action

Figure 20: Linked Survey IDs

3.4 Add a Federal Monitoring Survey (FMS)

Notes:

- An FMS can only be created and edited by a CMS General User (CMSGU). A revisit survey with an FMS can be created by the SAGU.
- Only CMSGUs can add an attachment.
- There must be a linked Health survey.
- The CMSGU can restrict the SAGU from viewing the FMS.

- 3.4.1 Click **Add Survey** on the **Provider History** page. The **Survey Basic Information** page opens.
- 3.4.2 Select **Federal Monitoring Survey**. See *Figure 21, Federal Monitoring Survey*.
- 3.4.3 Fill out the rest of the information.
- 3.4.4 Click **Save Basic Information**.

Basic Information

Enter the basic information for this survey. To add open intakes choose 'Complaint' or 'Licensure Complaint' survey category.

All required fields are marked with an asterisk (*)

Survey Type *

Health
 Life Safety Code

Survey Categories *

Federal Categories	State Categories
<input type="checkbox"/> Initial Certification	<input type="checkbox"/> Initial Licensure
<input type="checkbox"/> Recertification ⓘ	<input type="checkbox"/> Re-Licensure
<input type="checkbox"/> Complaint ⓘ	<input type="checkbox"/> Licensure Complaint ⓘ
<input type="checkbox"/> Federal Monitoring Survey	
<input type="checkbox"/> Focused Infection Control	

Figure 21: Federal Monitoring Survey

4. Delete a Survey

Purpose: To delete a survey that should not be in the system.

Notes:

- Only State Security Officials who are also SAGUs can delete a survey.
 - Once a survey is deleted, it cannot be reinstated.
 - Surveys cannot be deleted under the following conditions:
 - When a survey has citations
 - When a survey has an IDR
 - When a survey has a POC
 - When a survey has CMS-670 time entered
- Note:** To remove time from the CMS-670, follow instructions in the [Manage a Form User Manual](#) on QTSO.
- If the survey is associated with:
 - A revisit
 - An FMS
 - An enforcement
 - There may be other circumstances when a survey cannot be deleted without additional actions. Pay attention to the red notification banners. The banners explain what the issue is and show a link as to where to go to resolve the specific condition, if possible.
- Contact the [iQIES Service Center](#) if there is an enforcement attached to the survey.
 - Surveys can be deleted when an intake is associated with it.

- **Only Designated State and CMS Users can perform the actions in steps 4.1 and 4.2 below.**
- CMS staff must follow the following process to request the deletion of a survey created by CMS staff:
 - Send an email to: igiessogdelreq@cms.hhs.gov
 - Copy user’s manager
 - Include the Event ID, the CCN, the name of the provider and a statement that none of the conditions listed in the third note above exists for the survey being deleted.

4.1 Click **Delete** this survey under **Survey action** on top right of **Basic Information** screen. See *Figure 22, Delete a Survey*. The **Delete survey?** pop-up window opens.



Figure 22: Delete a Survey

Note: When a survey cannot be deleted, a red notification explains the reason why. See *Figure 23, Survey Cannot Be Deleted*. Click the link in the notification to review the specific citation or enforcement.

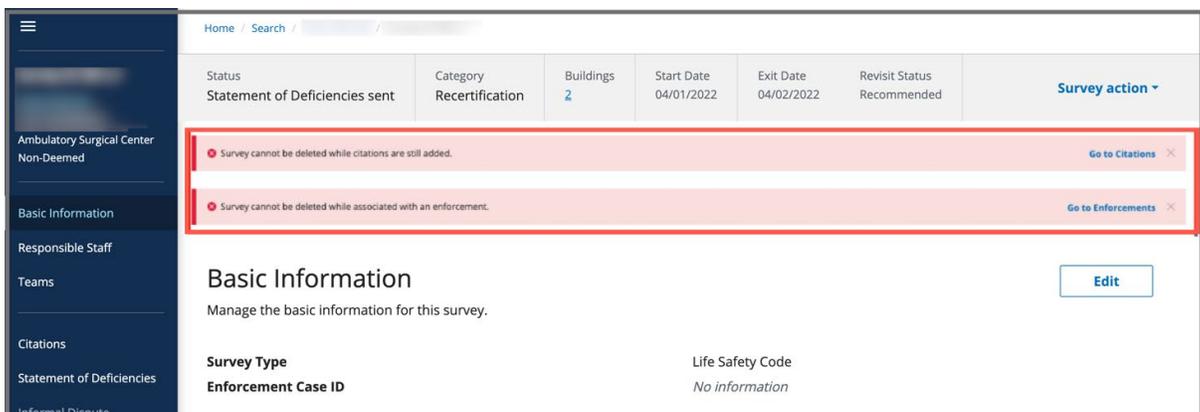


Figure 23: Survey Cannot Be Deleted

- 4.2** Click **Yes, delete**. See *Figure 24, Delete Survey? Pop-up Window*. The survey is deleted.

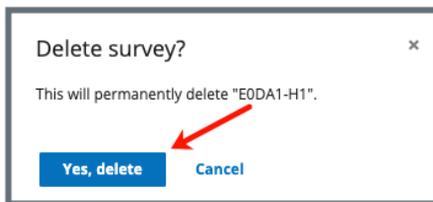


Figure 24: Delete Survey? Pop-up Window

5. Basic Information

Purpose: The Basic Information page is the landing page when a survey is opened.

5.1 Click **Edit** to edit **Basic Information**. The information shows the editable areas. See *Figure 25, Edit Button*. See *Figure 26, Basic Information Edit Screen*.

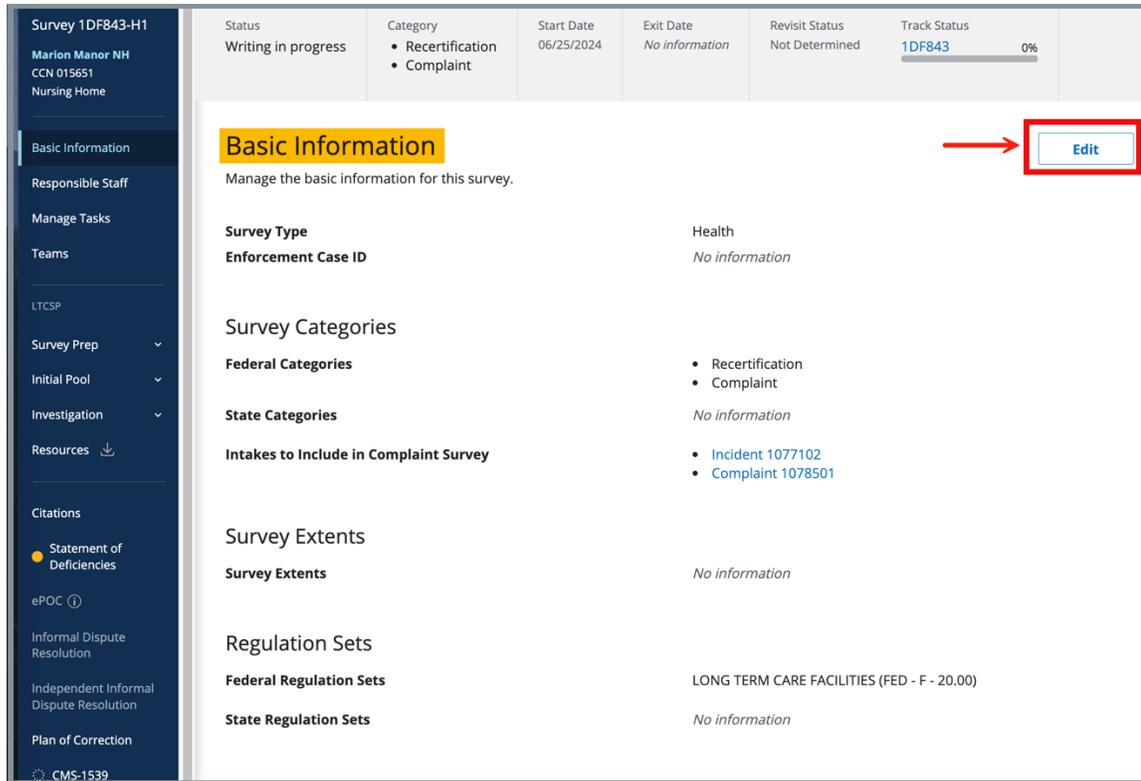


Figure 25: Edit Button

5.2 Click **Save Basic Information** to save changes.

Basic Information

Manage the basic information for this survey.

All required fields are marked with an asterisk (*)

Survey Type
Health

Survey Categories *
Survey categories that are associated with citations cannot be removed.

Federal Categories	State Categories
<input type="checkbox"/> Initial Certification ⓘ	<input type="checkbox"/> Initial Licensure
<input checked="" type="checkbox"/> Recertification ⓘ	<input type="checkbox"/> Re-Licensure
<input checked="" type="checkbox"/> Complaint ⓘ	<input type="checkbox"/> Licensure Complaint
<input type="checkbox"/> Federal Monitoring Survey ⓘ	
<input type="checkbox"/> Focused Infection Control ⓘ	

Survey Extents
Survey extents are determined based upon the Federal Survey Categories and Citation Levels for this survey. If a survey extent is appropriate, it can be added once citations are entered. Recommended extents are displayed during the process of locking citations.

Survey Extents ⓘ

- Standard
- Abbreviated
- Extended
- Partial Extended
- Other

Open Intakes to Include in Complaint Survey *

- Incident 1077102 ⓘ
- Complaint 1078501 ⓘ

Regulation Sets *

Federal Regulation Sets	State Regulation Sets ⓘ
<input type="checkbox"/> Emergency Preparedness (FED - E - 1.04)	<input type="checkbox"/> Alabama Licensure L T C (ST - L - 1.1)
<input type="checkbox"/> LONG TERM CARE FACILITIES (FED - F - 20.01)	

> [Show Older Regulation Sets](#)

Survey Status

Start Date ⓘ 06/25/2024
MM/DD/YYYY

Exit Date
MM/DD/YYYY

Survey Status *

- Open
- Closed ⓘ

Survey Due Date
09/06/2024

Figure 26: Basic Information Edit Screen

6. Responsible Staff

Purpose: Add new, delete, or view existing staff responsible for the survey.

Notes:

- **Responsible Staff** are HARP ID users.
- The **Responsible Staff** section is available for CMSGUs or SAGUs with a Survey Admin Role. Other users will not see this item on the left menu.

6.1 Click **Responsible Staff** on the left menu. The **Responsible Staff** screen opens. See *Figure 27, Add Responsible Staff*.

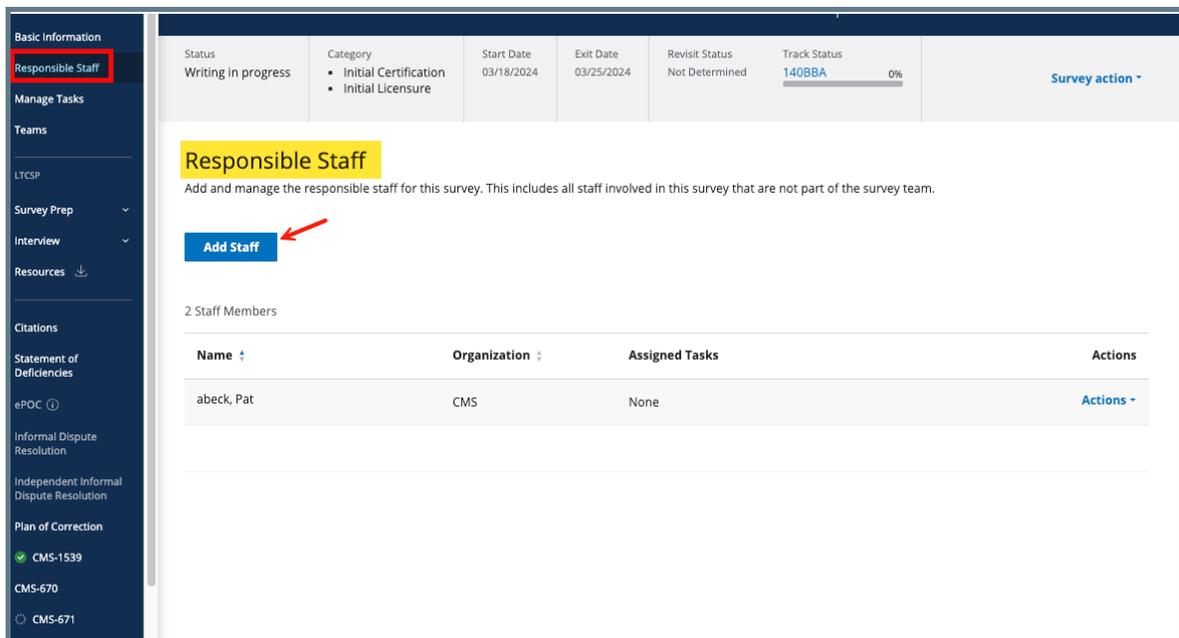


Figure 27: Add Responsible Staff

6.2 Click **Add Staff**. The **Add Responsible Staff** screen opens. See *Figure 28, Add Responsible Staff Screen*.

Add Responsible Staff
Find and add the responsible staff for this survey.

First Name Last Name Organization
Select...

Search

1 - 20 of 1595 Staff Members

Select	Name	Organization
<input type="checkbox"/>	1, Pat	CMS
<input type="checkbox"/>	207e3a13-23f7-4da8-a5d6-143ad1dfba2d, Pat	CMS
<input type="checkbox"/>	7092097f-e50e-48f0-896b-74771a491abe, Pat	CMS

Figure 28: Add Responsible Staff Screen

- 6.3** Type last name in text box under **Last Name**. Add **First Name** or **Organization** to narrow down the results, if necessary.
- 6.4** Click **Search**. The search results appear below.
- 6.5** Check the box under **Select** next to the correct name. Click **Save**.

Notes:

- It is only possible to add staff that are in the list of staff members. It is not possible to add someone manually.
- Click the arrow next to **Name** to sort names in alphabetical or reverse alphabetical order.

6.6 Verify the staff member was added. *Figure 29, Verify Responsible Staff.*

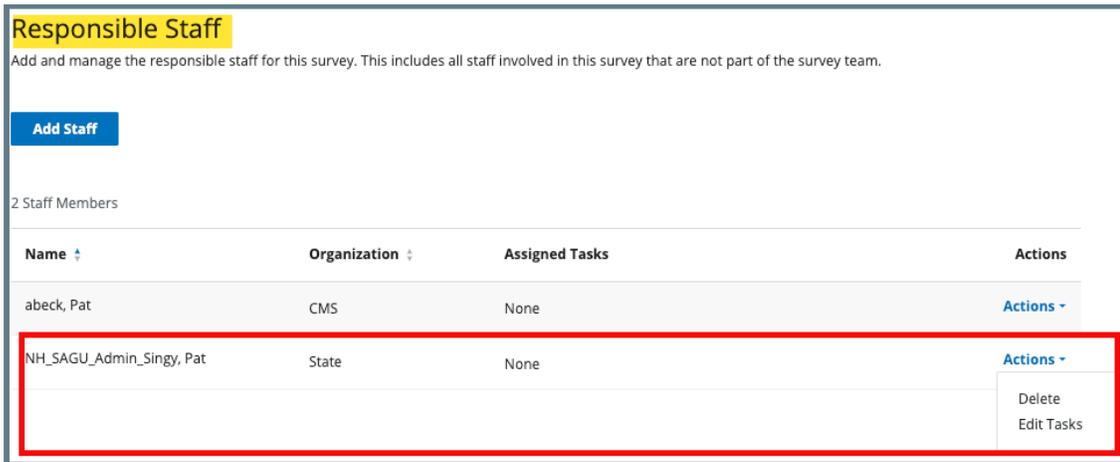


Figure 29: Verify Responsible Staff

6.7 Click **Edit Tasks** under the **Actions** menu to add or remove tasks for Responsible Staff. The Edit Tasks window opens. See *Figure 30, Edit a Responsible Staff.*

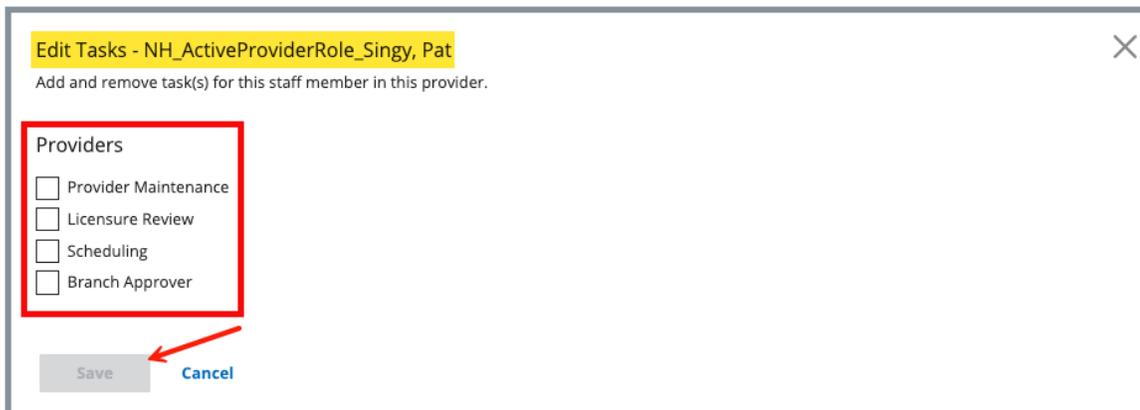


Figure 30: Edit a Responsible Staff

6.8 Check the box next to any task to add the task to the Responsible Staff.

Note: Click the check box again to remove the check mark and remove a task for the Responsible Staff.

6.9 Click **Save** to save updates.

Note: **Save** is grayed out until a selection is chosen.

6.10 Click **Delete** under **Actions** to delete a staff member. A confirmation pop-up window opens. See *Figure 31, Delete a Responsible Staff*.

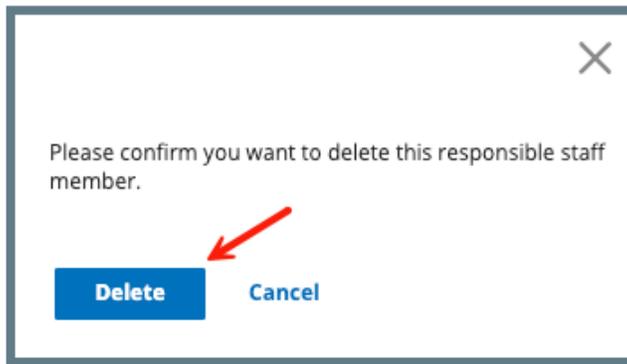


Figure 31: Delete a Responsible Staff

6.11 Click **Delete**.

6.12 Verify that the **Responsible Staff** is no longer on the list.

7. Manage Tasks

Purpose: To manage and assign tasks for Responsible Staff.

Click **Manage Tasks** on the left menu. The **Manage Tasks** screen opens. See *Figure 32, Manage Tasks*. See *Table 4, Manage Tasks Detailed Callout*.

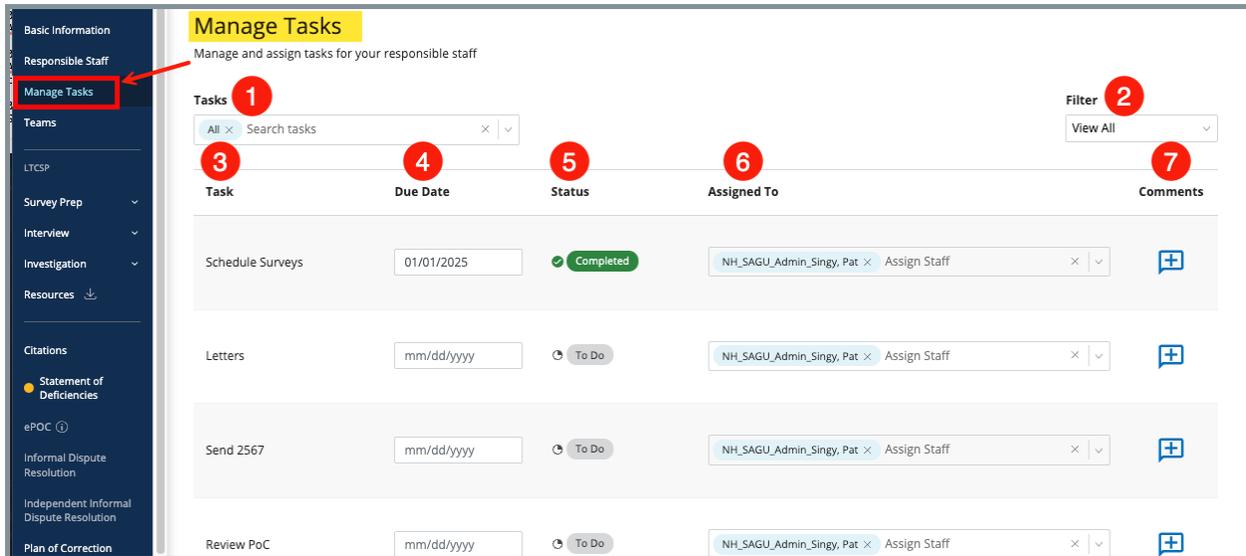


Figure 32: Manage Tasks

Table 4: Manage Tasks Detailed Callout

No.	Description
1	Select individual tasks from the drop-down menu under Tasks to assign to the Responsible Staff or select All
2	Select View All , Assigned , or Unassigned from the drop-down menu. View All is the default.
3	Each task that is selected shows under Task
4	The Due Date of the task
5	The Status of the task.
6	The Responsible Staff assigned to the task. More than one Responsible Staff can be assigned the task.
7	Click the + icon to add a comment. Click the letter icon to view an existing comment or to add a new comment.

8. Teams

Purpose: Add, edit, or review staff who perform surveys, write citations, send statements of deficiency, and review plans of correction.

Notes:

- There must be a TC for each survey. If no TC is selected, then the first staff member on the list is designated TC.
- A user must be added to the Team to view the Survey details.
- A Contract Surveyor user role can only view Team members.
- When a specific role is required to be on the team, an orange warning message appears on the top of the screen. Click the **X** to remove the notice.
- QA Team members are assigned in Teams and are given permissions to act on behalf of surveyors on the survey team for specific functions.
- QA team members can add and manage team members' [Citations](#).
- QA team members can add and manage team members' time in CMS-670. Refer to the [Manage a Form User Manual](#) for more information, if needed.

8.1 Click **Teams** on the left menu. See *Figure 33, Teams*. The **Teams** window opens.

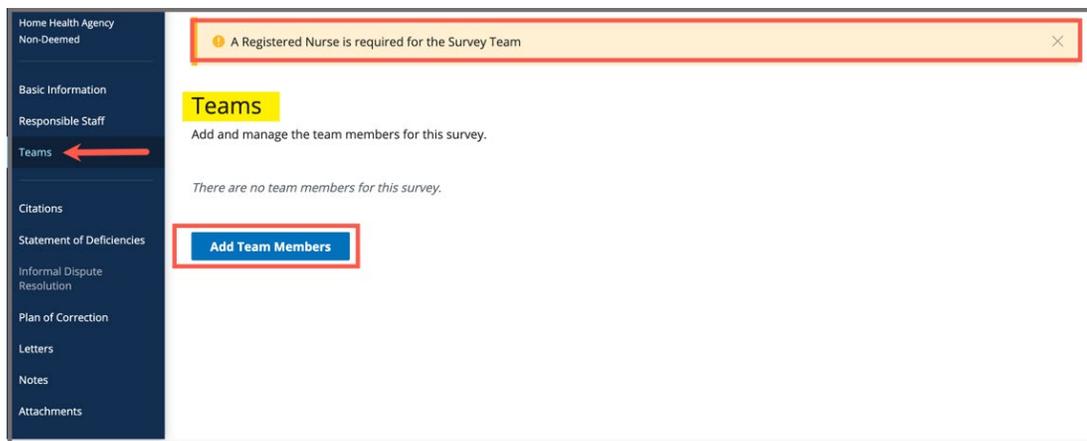


Figure 33: Teams

8.2 Click **Add Team Members** to add a new person to the team. The **Add Teams** window opens. See *Figure 34, Add Teams*.

Notes:

- Members can be added to both the **Survey Team** and the **QA Team**. Click the desired team at the top of the page to add a staff member.

Figure 34: Add Teams

- QA Team members must have a team function. Click the team member, then choose from the drop-down menu under **Team Function**. See *Figure 35, Add a QA Member*.

Figure 35: Add a QA Member

8.3 Type last name in text box under **Last Name**. Add first name to narrow down the results, if necessary.

Notes:

- It is only possible to add staff that are in the list of staff members.
- Click the arrow next to **Name** to sort names in alphabetical or reverse alphabetical order.

8.4 Click **Search**. The search results appear below.

8.5 Check the box under **Select** next to the correct name.

8.6 Click **Save**. A green notification banner appears at the top of the screen, verifying the member was successfully added. See *Figure 36, Survey Team Member Successfully Added Popup*.

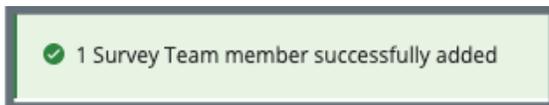


Figure 36: Survey Team Member Successfully Added Popup

8.7 Click **Delete** under **Actions** to delete a team member. See *Figure 37, Delete a Team Member*. A confirmation pop-up window opens. See *Figure 38, Deletion Confirmation Popup*.

Note: The **Team Coordinator** role cannot be deleted (there must be a **Team Coordinator**). The **Team Coordinator** role can be assigned to another team member and then that person can be deleted. The **Team Coordinator** has a blue circle next to their name.

4 Staff Members

Team Coordinator	Name ↑	Disciplines	Management Unit	Work Unit	Actions
<input checked="" type="radio"/>	"TEST.2AK-SAGU-VA", Pat	Registered Nurse	None	None	Delete
<input type="radio"/>	"ajmaines", Pat		None	None	Delete
<input type="radio"/>	"test2.npeta", Pat		None	None	Delete
<input type="radio"/>	"testsasb", Pat	Physical Therapist	NON LONG TERM CARE	HOSPITAL UNIT	Delete

Figure 37: Delete a Team Member

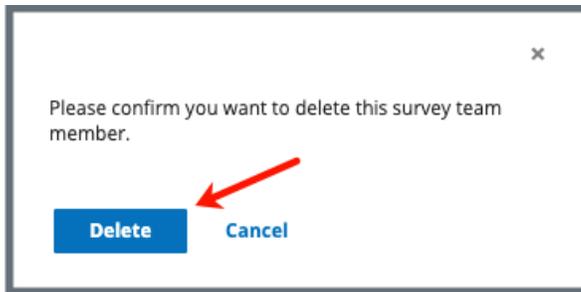


Figure 38: Deletion Confirmation Popup

8.8 Click **Delete**.

8.9 Verify that the team member is no longer on the list.

9. Certification Event

Purpose: To organize certification documents for provider certification.

Note: It may be necessary to refresh the page to update track status when changes are made.

[View Certification Progress in My Tasks](#)

[View Certification Progress in Survey](#)

[View Certification Progress in Provider History Page](#)

9.1 View Certification Progress in My Tasks

9.1.1 Go to [My Tasks](#).

9.1.2 Click the **Survey** tab.

9.1.3 View certification status under **Track Status** for each survey in My Tasks.

9.1.4 Click survey number to view details. See *Figure 39, My Tasks Track Status*.

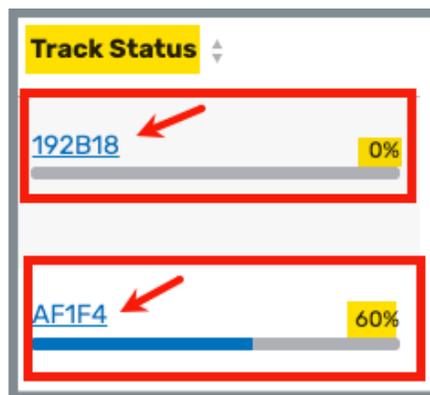


Figure 39: My Tasks Track Status

9.1.5 Click the survey number to view detailed certification status. The track status for the selected survey opens.

9.1.6 View track status details: Click the carets next to the survey number or **Track Forms** to view additional details. See *Figure 40, Detailed Certification Status*.

The screenshot shows a window titled "Track 1CCD24 Status" with a close button in the top right corner. The window is divided into two main sections, each with a caret icon and a yellow highlight box. The first section is titled "Survey 1CCD24-H1" and contains a table with the following data:

Name	Status	Completed Date
CMS-670	Not Started	-
CMS-2567	Complete	08/02/2024
Revisit	Not Started	-
Closed Status	In Progress	-

The second section is titled "Track Forms" and contains a table with the following data:

Name	Status	Completed Date
CMS-1539	Complete	08/07/2024

At the bottom right of the window, there is a blue "Close" button.

Figure 40: Detailed Certification Status

9.2 View Certification Progress in Survey

Go to the **Survey Basic Information** page. See *Figure 41, Survey Basic Information Page Certification Progress* and *Table 5, Survey Basic Information Page Certification Progress Detailed Callout*.

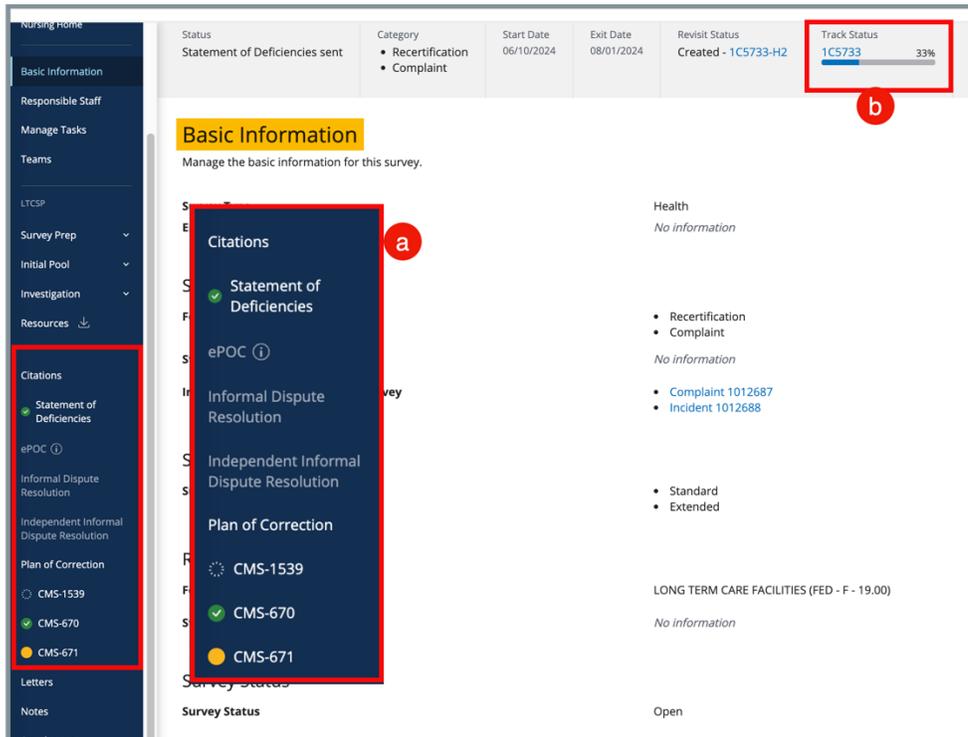


Figure 41: Survey Basic Information Page Certification Progress

Table 5: Survey Basic Information Page Certification Progress Detailed Callout

Callout	Action	
a	The left menu shows the status at a glance.	
	No fill	Not Started: Form or information hasn't been started
	Yellow fill	In Progress: Form or information has been started, but it is incomplete
	Green fill	Complete: Form or information is complete
b	The gray status bar shows the certification track status. Click survey number under Track Status to see detailed information on certification status. See Track Status Details for more information.	

9.3 View Certification Progress on Provider History Page

9.3.1 Go to the **Provider History** page. See *Figure 42, Provider History Page Certification Progress*.

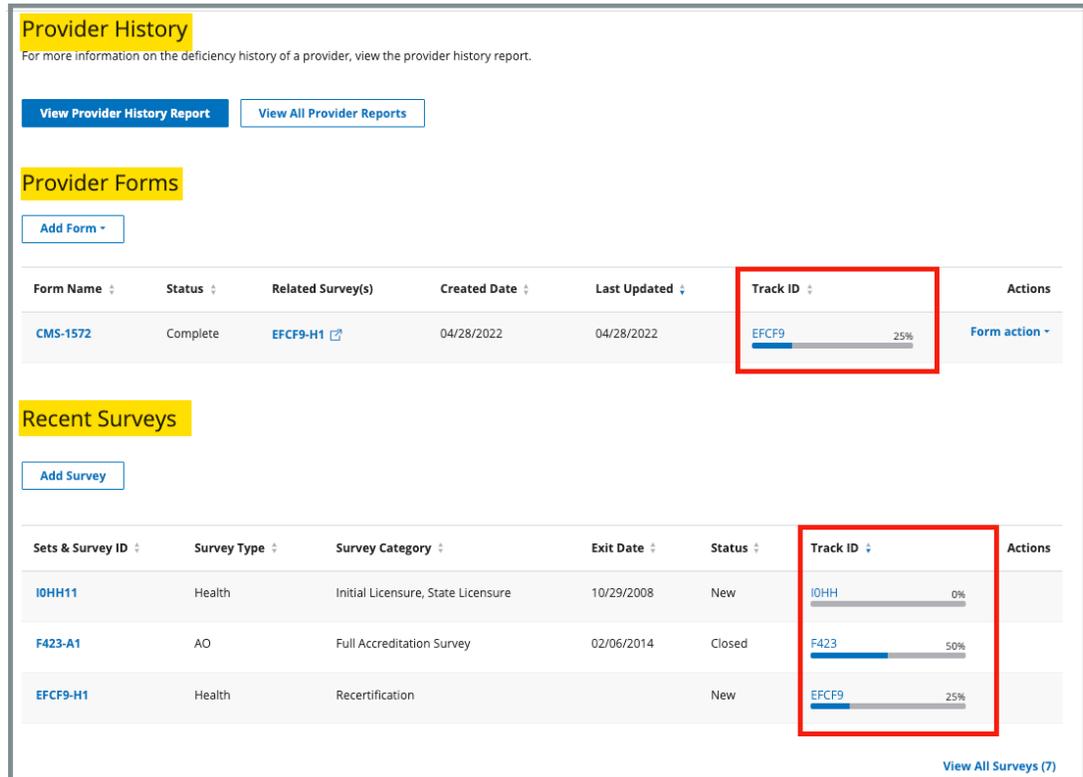


Figure 42: Provider History Page Certification Progress

9.3.2 Click survey number under **Track Status** to see detailed information on certification status. [Review Track Status Details step](#) for further details.

10. Surveyor Notes

Purpose: To document Surveyor Notes during the survey. Surveyor Notes are specific to a survey team member.

General Notes

- Surveyor Notes are not the same as the **Notes** selection on the left menu. Refer to the [Notes section](#) in this document for further details.
- Any survey team member can add or view a Surveyor Note. Surveyors can only edit or delete their own Surveyor Notes.
- Surveyor Notes have a history of all Surveyor Notes entries. Refer to [Custom Toolbar Functions](#) for more details on how to view Surveyor Notes history.

Navigate to Surveyor Notes

- Surveyor Notes can be accessed and viewed in all LTCSP screens.
- Click the Surveyor Notes icon on the top right of the screen to open Surveyor Notes. The icon is located directly under the user name. See *Figure 43, Surveyor Notes Icon*.

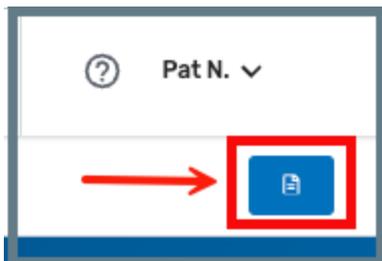


Figure 43: Surveyor Notes Icon

- Surveyor Notes defaults to opening on the right. Click the Surveyor Notes bottom menu icon to open the Surveyor Notes on the bottom of the page. See *Figure 44, Surveyor Notes Bottom Screen Icon*.

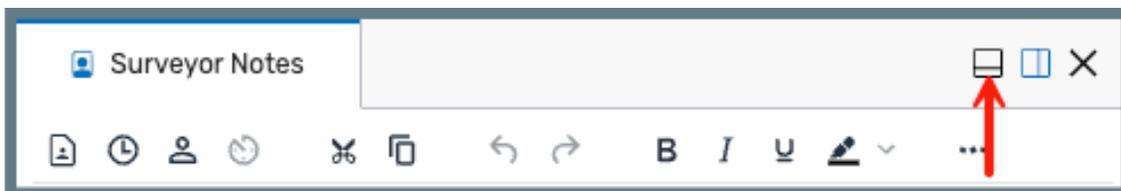


Figure 44: Surveyor Notes Bottom Screen Icon

- Surveyor Notes can be resized on the screen by dragging the left line (when the notes are on the left) or the top line (when the notes are on the bottom) of the Surveyor Notes panel. Hover over line until the directional arrows are shown, then drag the line in either direction.
- Surveyor Notes can be left open while navigating to other LTCSP screens.

Create a Surveyor Note

- Click in the Surveyor Notes text area to create a Surveyor Note.
- A date/time stamp is automatically inserted when the surveyor starts to type in the text area when the text area is blank. Click Date/Time Stamp icon to insert date for additional notes.
- Type notes. See *Figure 45, Sample Surveyor Note*.

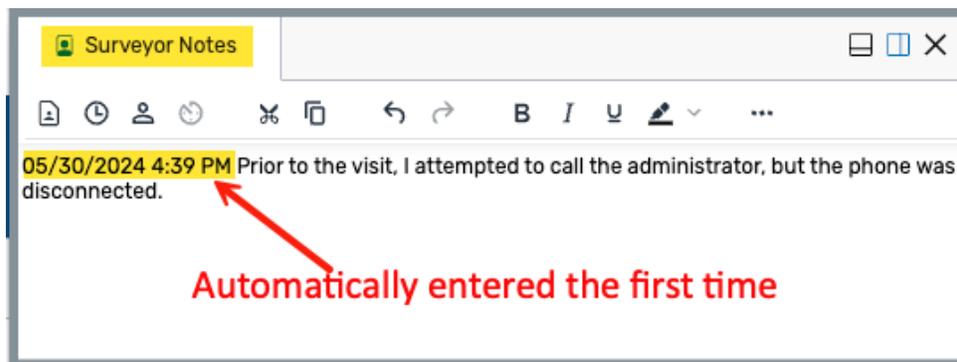


Figure 45: Sample Surveyor Note

- Surveyor Notes are autosaved.
- The **Last saved** date and time shows at the bottom of the Surveyor Notes. See *Figure 46, Surveyor Notes Last Saved Date and Time*.

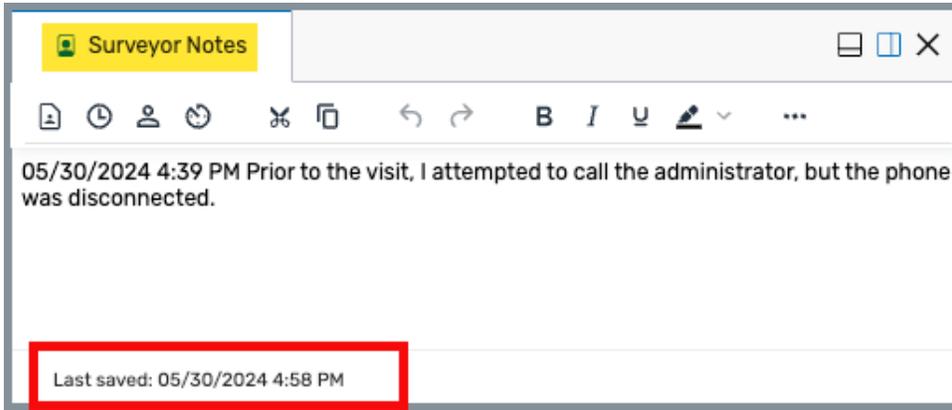


Figure 46: Surveyor Notes Last Saved Date and Time

Custom Toolbar Functions

There are 4 custom toolbar options among the normal standard formatting options. See *Figure 47, Surveyor Notes Custom Toolbar Functions*.

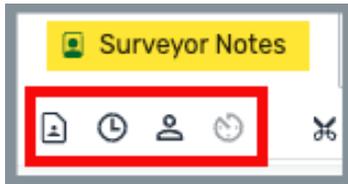


Figure 47: Surveyor Notes Custom Toolbar Functions

From left to right they are:

- [View All Surveyor Notes](#)
- [Insert Date/Time Stamp](#)
- [Insert Resident ID](#)
- [Notes History](#)

Note: Hover over the icon to see the name of the icon.

[View All Facility Notes](#)

View all team member's Surveyor Notes. See *Figure 48, View All Surveyor Notes*. Click any name to view the Surveyor Note. Surveyor Notes are not editable.

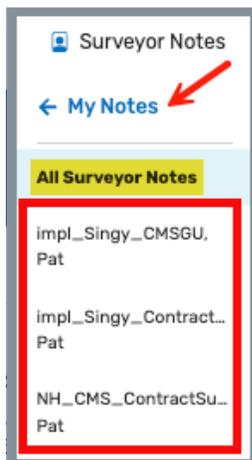


Figure 48: View All Surveyor Notes

Click **My Notes** to return to the user's Surveyor Notes.

[Insert Date/Time Stamp](#)

Insert the current date/time at the cursor placement.

[Insert Resident ID](#)

Select **Resident ID** to be inserted into the Surveyor Notes. Multiple residents can be selected.

[Notes History](#)

View a history of all autosaved Surveyor Notes entries. If a previously saved entry is deleted in error, it can be accessed from the Surveyor Notes History and copied and pasted into the current Surveyor Notes.

[Help](#)

There is also a help icon on the toolbar which can be accessed for additional information as well as keyboard shortcuts. See *Figure 49, Surveyor Notes Formatting Menu*.

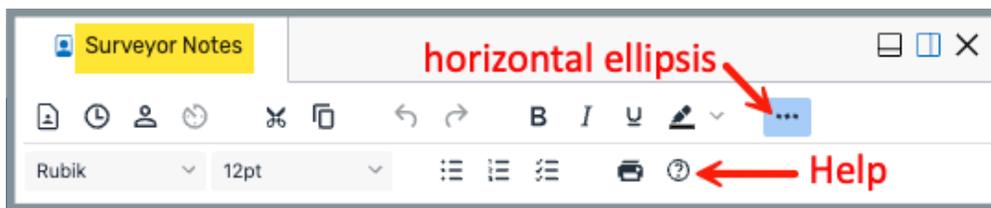


Figure 49: Surveyor Notes Formatting Menu

Note: Click the horizontal ellipsis to view the second row of formatting options.

11. Add Immediate Jeopardy

Purpose: To add immediate jeopardy (IJ) to a citation as soon as the IJ is discovered.

Notes:

- The **IJ** button is available on every LTCSP screen.
- Any survey team member can add IJ and edit existing tags.

11.1 Click **IJ** icon on top right of screen. See *Figure 50, IJ Icon*. The **IJ Template** pop-up window opens. See *Figure 51, IJ Template Pop-Up Window* and *Table 6, IJ Template Pop-Up Window Detailed Callout*.



Figure 50: IJ Icon

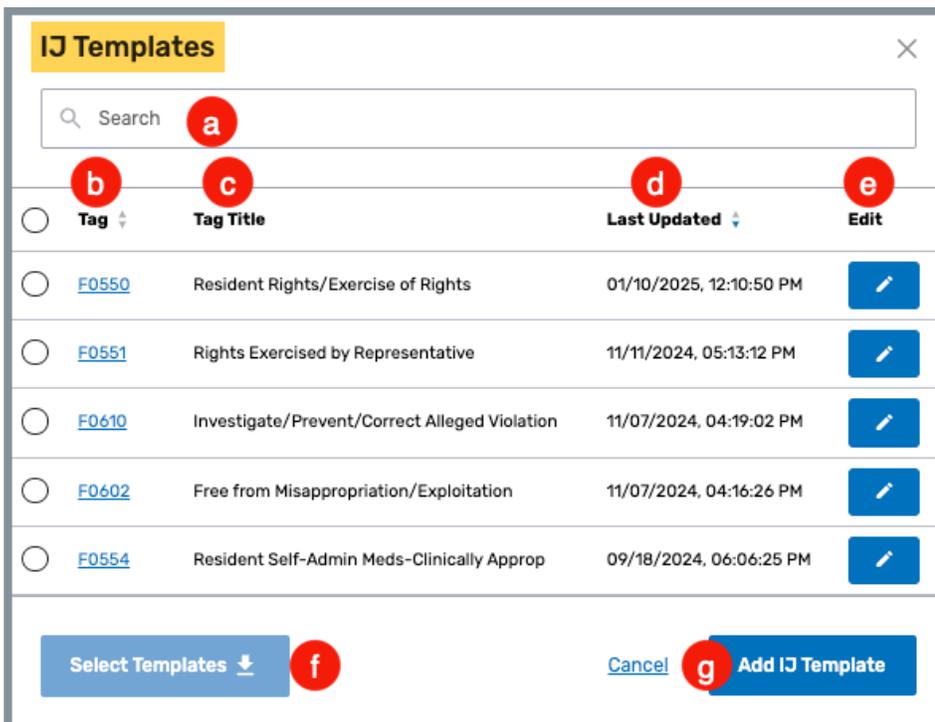


Figure 51: IJ Template Pop-Up Window

Table 6: IJ Template Pop-Up Window Detailed Callout

No.	Name	Description
a	Search	Search for a specific template
b	Tag	The tags that appear are tags that already have information added to them. Select the radio button next to Tag to select all the tags. Click the tag link for tag details including Regulation Text and Interpretive Guidance .
c	Tag Title	Name of F-tag
d	Last Updated	Date last updated in the system
e	Edit	Edit template with details, including date, time, noncompliance, need for action
f	Select Templates/ Download Templates	Select Template is disabled until a Tag is selected. Once a tag is selected, Download Templates becomes active. Note: More than one tag can be selected. Click to download PDF.
g	Add IJ Template	Click to add additional tags

11.2 Click the radio circle next to the F-tag.

11.3 Click **Add IJ Template**. The **Select Regulation** pop-up window opens. See *Figure 52, Select Regulation Pop-Up Window*.

Note: Click the checkbox next to **Add another citation after save** to add more than one citation.

11.4 Select or search for a tag.

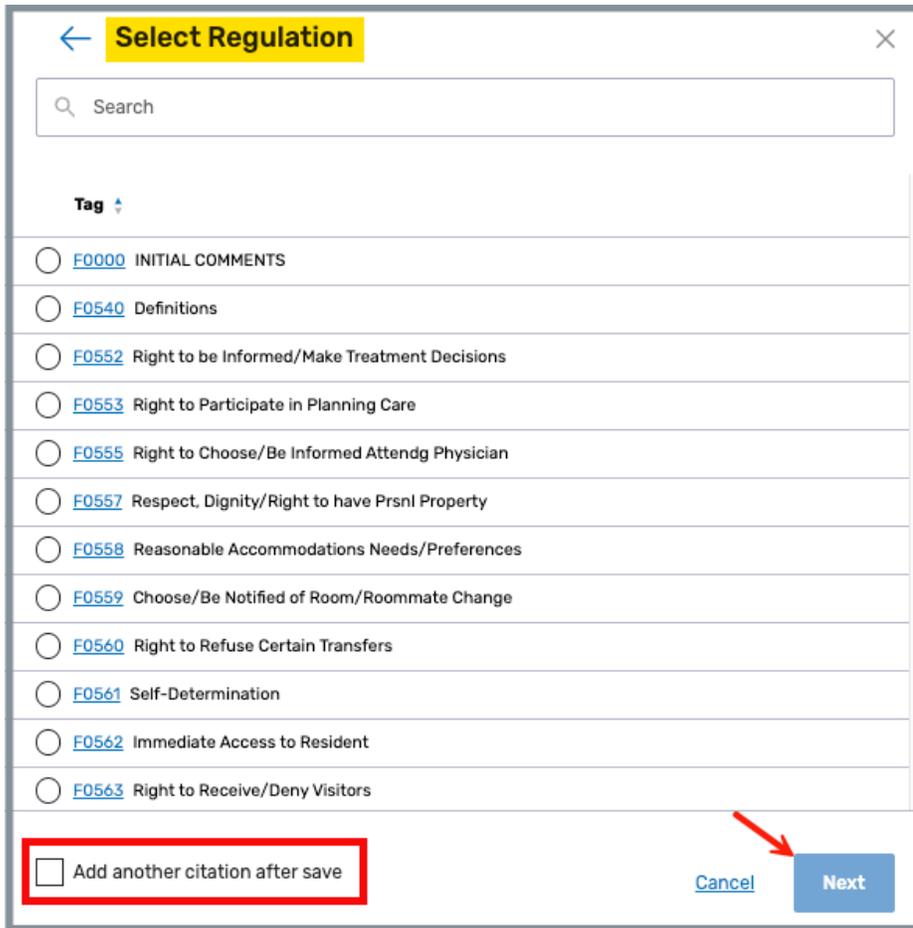


Figure 52: Select Regulation Pop-Up Window

11.5 Click Next. The Template Edit pop-up window opens and can be edited. See Figure 53, IJ Template Edit Pop-Up Window and Table 7, Select Regulation Pop-Up Window Detailed Callout.

Note: **Next** is disabled until a **Tag** is selected.

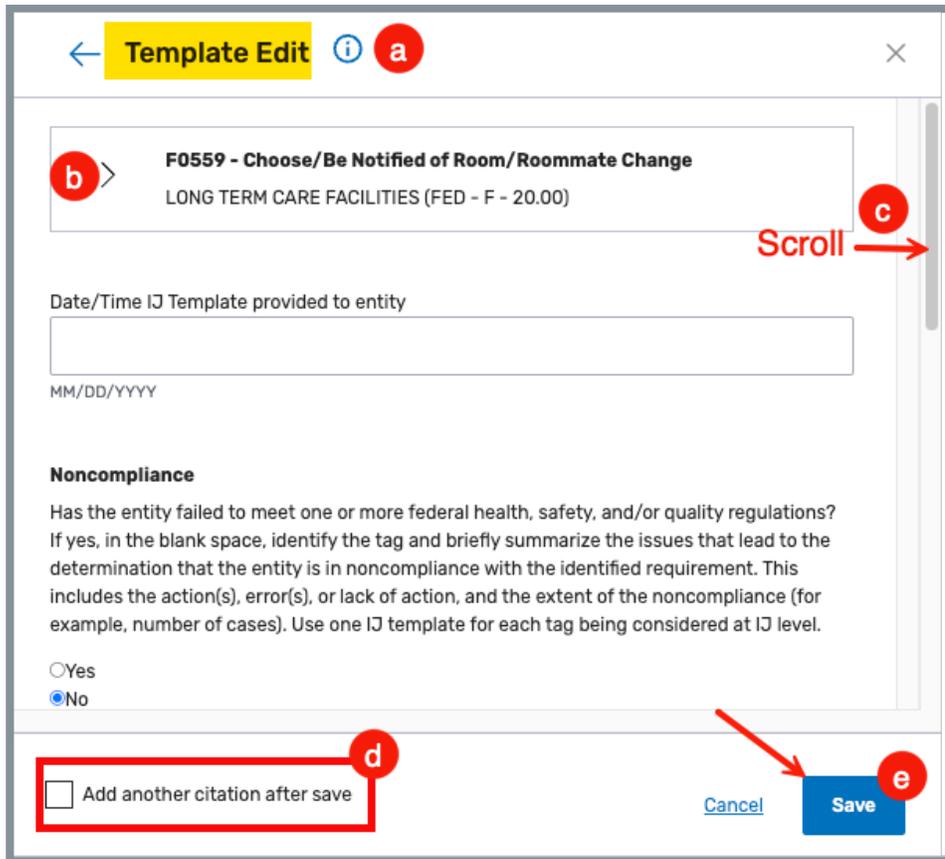


Figure 53: IJ Template Edit Pop-Up Window

Table 7: Select Regulation Pop-Up Window Detailed Callout

No.	Name	Description
a	Information button	Click information button and the IJ Template Instructions pop-up window opens with detailed template instructions.
b	Tag caret	Click caret for Regulation Text and Interpretive Guidance .
c	Scroll bar	Scroll to the bottom of the pop-up window to view all the questions in the window.
d	Add another citation after save	Check the box to add an additional citation.
e	Save	Click to save.

11.6 Fill out the information.

11.7 Click **Save**. The citation is added to the survey and the **IJ Templates** pop-up window opens back up and the selected tag is added and marked. See *Figure 54, Updated IJ Templates Pop-Up Window*.

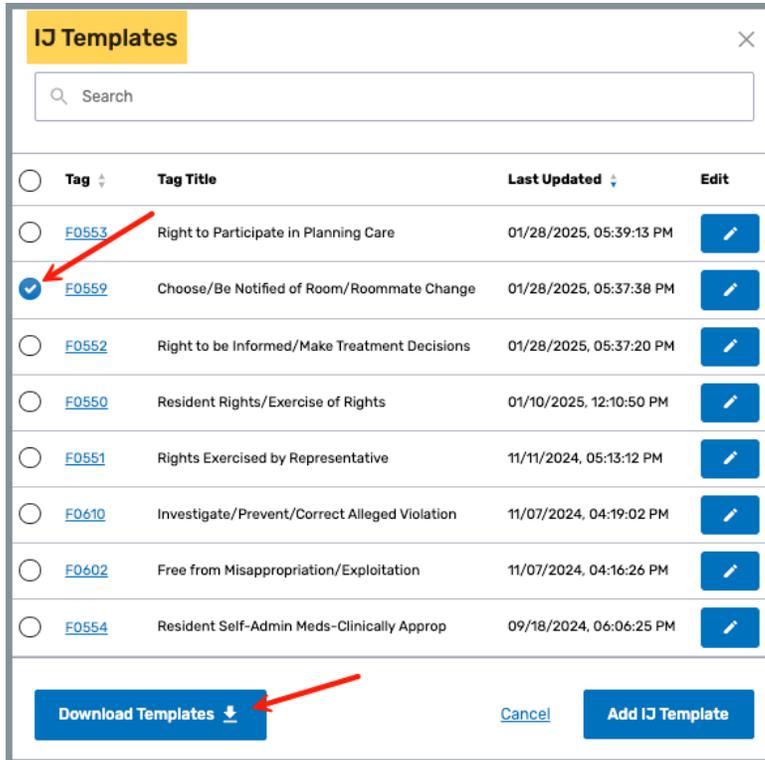


Figure 54: Updated IJ Templates Pop-Up Window

11.8 Click **Cancel** or **X** to close the window or **Download Templates**, as desired.

12. Add Residents to Sample List

Purpose: Contains all the residents in a survey.

Notes:

- Surveyors can manually select residents to include in the sample list
- Only the TC can deselect a resident
- There are system-selected residents automatically included on the list
- The completed list can be downloaded as a PDF
- The system automatically selects any resident:
 - On the **Current Sample Candidates** list, regardless whether that resident is checked or not checked on that page
 - Assigned to a facility task, both manually or from an intake
 - Assigned to an investigation, both manually or from an intake
 - Tagged in any note
- The system automatically deselects any resident:
 - Removed from the Current Sample Candidates list
 - Unassigned from a facility task, both manually or from an intake
 - Unassigned from an investigation, both manually or from an intake
- All system selected residents (with the exception of those added from Notes) will deselect automatically if the action that added them is undone.
- Residents selected from being tagged in a Note will remain selected if the resident is removed from the Note.
- The TC can manually deselect any resident whether they were manually added or system added.

12.1.1 Click Add Residents to Sample List icon on top right of screen. See *Figure 55, Add Residents to Sample List Icon*. The **Add Residents to Sample List** pop-up window opens. See *Figure 56, Add Residents to Sample List Pop-Up Window*.



Figure 55: Add Residents to Sample List Icon

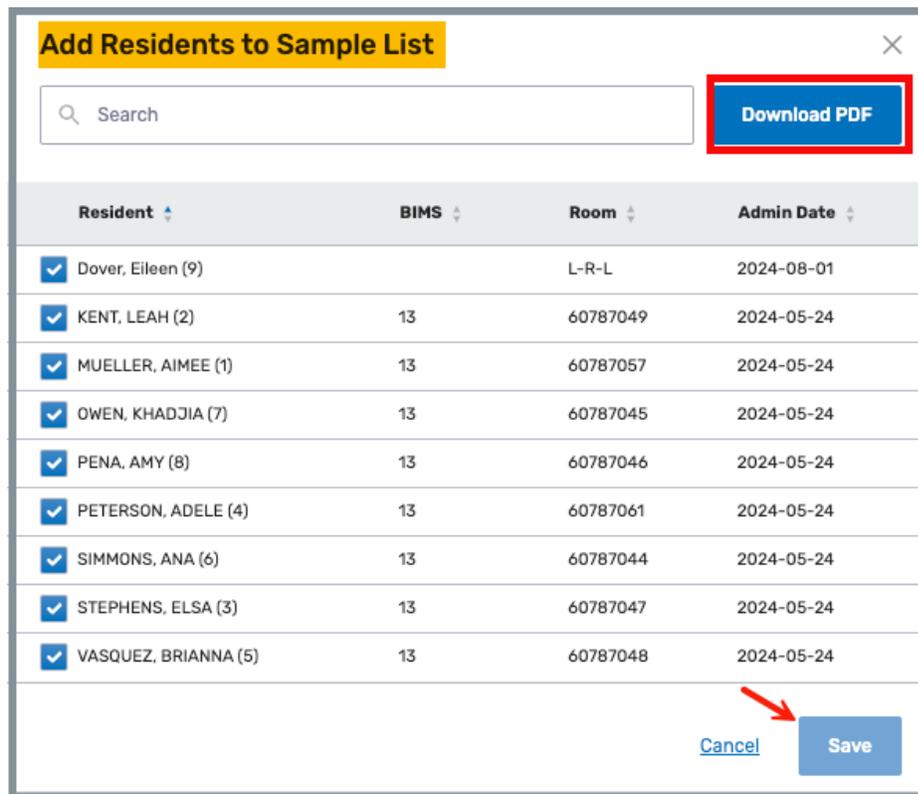


Figure 56: Add Residents to Sample List Pop-Up Window

12.1.2 Click the check box to the left of the resident to select any resident.

12.1.3 Click **Download PDF**. The list downloads.

13. Offsite Prep

Purpose: To inform and prepare the survey team ahead of entering a recertification survey. It provides historical information from previous surveys and establishes the expected work to be done by the team in the current survey.

Notes:

- The Team Coordinator (TC) of a survey team completes Offsite Prep.
- Complaints and facility-reported incidents (FRI) are collectively referred to as intakes. Review the name of the intake link to see whether the intake is a complaint or an FRI (For example, **Complaint** 1234 vs. **Incident** 1234).
- Only the TC can edit the **Offsite Prep** page. Other survey team members see the page as read only.
- The badge next to Offsite Prep shows the status of the page. In Progress means the TC is still working on the page. Finalized means the page has been completed. See *Figure 57, Offsite Prep Badge*. Information may be edited when a badge says **In Progress**.



Figure 57: Offsite Prep Badge

- **Finalized** pages are a snapshot of all data that was there when finalized.

13.1 Navigate to Survey Prep

13.1.1 Click **Survey Prep** on the left menu. The **Survey Prep** menu opens. See *Figure 58, Offsite Prep* and *Table 8, Offsite Prep Detailed Callout*.

13.1.2 Click **Offsite Prep**. The **Offsite Prep** window opens.

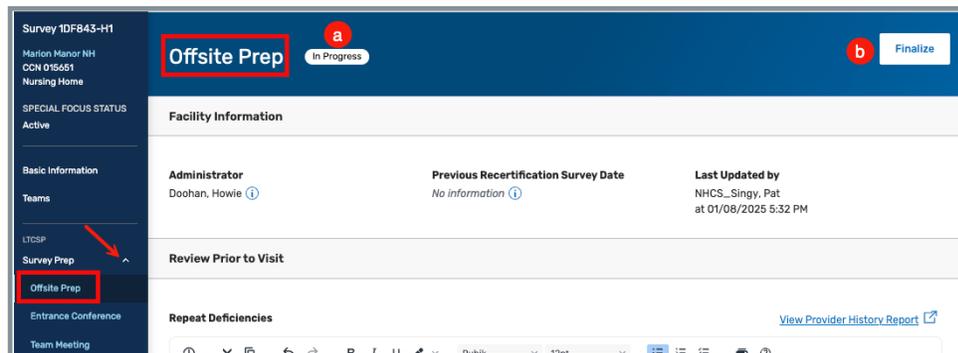


Figure 58: Offsite Prep

Table 8: Offsite Prep Detailed Callout

No.	Section Name	Section Detail	Description
a	In Progress/ Finalized	Status of the page	In Progress shows the TC is still updating the page. Finalized shows the TC has finalized the Offsite Prep page. Any additional edits switch the status to In Progress . It is necessary to click Finalized to put the page back into a Finalized status.
b	Finalized	Button to select to finalize offsite prep for this survey.	Click to send a system-generated email to each individual in the Team Unit Assignment noting that Offsite Prep has been finalized. Finalize only appears for the TC.

13.2 Facility Information

Review facility information. See *Figure 59, Offsite Prep: Facility Information* and *Table 9, Facility Information Detailed Callout*.

Facility Information

Administrator a

Doohan, Howie i

Previous Recertification Survey Date b

No information i

Last Updated by c

NHCS_Singy, Pat
at 01/08/2025 5:32 PM

Figure 59: Offsite Prep: Facility Information

Table 9: Facility Information Detailed Callout

No.	Section Detail	Description
a	Administrator	Taken from Provider Details
b	Previous Recertification Survey Date	The exit date of the most recent H1 survey with an exit date.
c	Last Updated by	The date and time of the TC who made the last update.

13.3 Review Prior to Visit

Review this information prior to the survey visit. See *Figure 60, Offsite Prep: Review Prior to Visit* and *Table 10, Review Prior to Visit Detailed Callout*.

Review Prior to Visit

a Repeat Deficiencies [View Provider History Report](#)

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- F686 (Treatment/Svcs to Prevent/Heal Pressure Ulcers), cited 2 years (2021, 2019)
- F993 (This other descriptions), cited 3 years (1845, 2312)

b Last Standard Survey Results

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- Example: F686 (Treatment/Svcs to Prevent/Heal Pressure Ulcers) at a D: Based on observation, interview and record review the facility failed to reposition one of three sampled residents reviewed for pressure ulcers. This failure had the potential for the resident to develop a pressure ulcer.

c Review of Complaints and FRIs since Previous Recertification Survey Date (06/05/2023)

Intake ID	Priority	Intake Start Date	Intake Closed Date
Incident 678539	Non-Immediate Jeopardy-Medium	05/09/2023	06/08/2023
Complaint 723046	Non-Immediate Jeopardy-High	06/07/2023	06/08/2023

01/08/2025 5:47 PM Must review complaints and FRIs in detail.

Figure 60: Offsite Prep: Review Prior to Visit

Table 10: Review Prior to Visit Detailed Callout

No.	Section Detail	Description
a	Repeat Deficiencies	<p>Documents any repeat deficiencies.</p> <p>Click link to view the Provider History report. The link opens in a new tab.</p>
b	Last Standard Survey Results	<p>Auto populates the results of the last standard survey.</p> <p>Shows applicable tags, tag descriptions, scope and severities, and opening statements from the last standard survey when historical information is available; otherwise, TC may add pertinent information as needed.</p> <p>Click link to generate the prior CMS-2567 for additional information, if desired. The prior CMS-2567 can only be viewed by survey team members who were on the survey for that CMS-2567.</p>
c	Review of Complaints and FRIs since Previous Recertification Survey Date	<p>This is a listing of all intakes that have been set to Closed since the previous survey.</p> <p>This information is dynamic based on the derived Previous Recertification Survey Date in the Facility Information section.</p> <p>Shows all the intake notes associated with that intake.</p> <p>Add any relevant notes in the text field about closed intakes.</p> <p>Click on any intake ID to review the intake.</p>

13.4 Staffing

Notes:

- The **FY Quarter** and **Year** are required fields once a row is selected on the PBJ Staffing Table. The **Staffing Requirements** cannot be finalized unless a quarter and year are selected, or the row is deselected.
- **Staffing Notes** are used to document any additional notes related to the decisions about the PBJ Staffing table.

Fill out staffing requirements. See *Figure 61, Offsite Prep: Staffing* and *Table 11, Staffing Detailed Callout*.

Staffing

a Does the facility have staffing concerns based on the [CASPER PBJ Staffing Data Report](#) ?

b Mark all concerns that apply and the applicable quarter

	Concern	FY Quarter *	Year *
<input checked="" type="checkbox"/>	Low weekend staffing	2 ▼	2023 ▼
<input type="checkbox"/>	RN coverage for 8 consecutive hours/day	Select ▼	Select ▼
<input checked="" type="checkbox"/>	Licensed nurses for 24 hours/day	2 ▼	2024 ▼
<input type="checkbox"/>	1 star staffing rating	Select ▼	Select ▼
<input type="checkbox"/>	Failed to submit PBJ data	Select ▼	Select ▼

c Staffing Notes

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Could not find a CNA in the dining room.

d Are there any current nurse staffing waivers for this facility?

e Note any staffing waivers/variances

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A waiver exists for 3 CNAs instead of 4 for a period of 5 hours every Sunday, from 2AM to 7AM because the nursing home is located in a rural area.

Figure 61: Offsite Prep: Staffing

Table 11: Staffing Detailed Callout

No.	Section Detail	Description
a	Does the facility have staffing concerns ...	<p>If the response to this question is Yes, then the list of staffing concerns is enabled and the PBJ Staffing Detail modal is accessible from other pages.</p> <p>If the response to this question is No, then the list of staffing concerns is not enabled.</p>
b	Mark all concerns...	<p>Select from any combination of the following rows:</p> <ul style="list-style-type: none"> • Low weekend staffing • RN coverage for 8 consecutive hours/day • License nurses for 24 hours/day • 1 star staffing rating • Failed to submit PBJ data <ul style="list-style-type: none"> ○ This option automatically cites the F0851 tag (CE#1) at a severity/scope of F, Max Severity = 2. ○ Deselecting this row undoes the auto-citing as long as nothing has been changed with the F0851 tag in terms of compliance decision or selected level or declaration on potential citations. <p>Note any concerns along with applicable quarter and year. Be sure to fill out both quarter and year in separate fields.</p>
c	Staffing Notes	<p>Document any additional notes related to the decisions about the PBJ Staffing table.</p>
d	Are there any current nurse staffing waivers...	<p>The default response is No, and staffing waivers is not editable.</p> <p>Click Yes to add a note about staffing waivers.</p>
e	Note any staffing waivers...	<p>This field is editable when the prior question is Yes. It is possible to check variances or waivers and add additional notes.</p>

13.5 Active Intakes

Purpose: To select the LTCSP Areas for specific intakes so that the allegations can be investigated.

Notes:

- This section displays all intakes linked to the survey.
- It is not possible to discharge a resident on the Offsite Prep screen when a Care Area has been selected for the intake.
- The TC can update the **Resident Closed Record** when adding an Intake Closed Record. This discharges the resident.

Review the **Active Intakes** Table. See *Figure 62, Active Intakes Table and Table 12, Active Intakes Detailed Callout*.

Note: The **Active Intakes** section shows the current complaints and incidents for the facility as well as specific information about the resident.

The screenshot shows the 'Active Intakes' section of a software interface. At the top right, there is a red circle with the letter 'a' next to a '+ Add New Resident' link. Below this, the text '2 Active Intakes' is shown with a red circle 'b' next to it. The table has four columns: 'Intake ID' (with a red circle 'c' and a dropdown arrow), 'Allegations' (with a red circle 'd'), 'Person(s) Affected' (with a red circle 'e'), and 'Resident (ID), Room' (with a red circle 'f'). The first row of data has a red circle 'g' next to a chevron '>' icon, with a red arrow pointing to it. The data in the first row is: 'Incident 1077102' under Intake ID, 'Accidents' under Allegations, 'Anonymous' under Person(s) Affected, and 'Nutt, Hazel (11) , N-8' under Resident (ID), Room. The second row of data has a chevron '>' icon, 'Complaint 1078501' under Intake ID, 'Resident/Patient/Client Abuse-Resident to Resident' under Allegations, 'None' under Person(s) Affected, and 'Legge, Peg (12) , F-1' under Resident (ID), Room.

Intake ID	Allegations	Person(s) Affected	Resident (ID), Room
Incident 1077102	Accidents	Anonymous	Nutt, Hazel (11) , N-8
Complaint 1078501	Resident/Patient/Client Abuse-Resident to Resident	None	Legge, Peg (12) , F-1

Figure 62: Active Intakes Table

Table 12: Active Intakes Detailed Callout

No.	Name	Description
a	+ Add New Resident	Refer to + Add New Resident for details
b	[No] Active Intakes	Shows the number of active intakes in the table.
c	Intake ID	Click the link to open the intake in a new tab in order to read more about it.
d	Allegations	Click the link to open the Allegation Details modal to see all allegation details from the allegation.
e	Person(s) Affected	Shows all Parties Involved from the intake whose involvement is Person Affected (including Anonymous Party).
f	Resident (ID), Room	Shows the resident name, ID and room number. There may be more than one resident shown.
g	Intake Details	Click caret to open details on active intakes.

Intake Notes

- a. Click the intake ID to view the **Intake Notes**. The **Intake Notes** pop-up window opens. See *Figure 63, Intake Notes Pop-Up Window*.

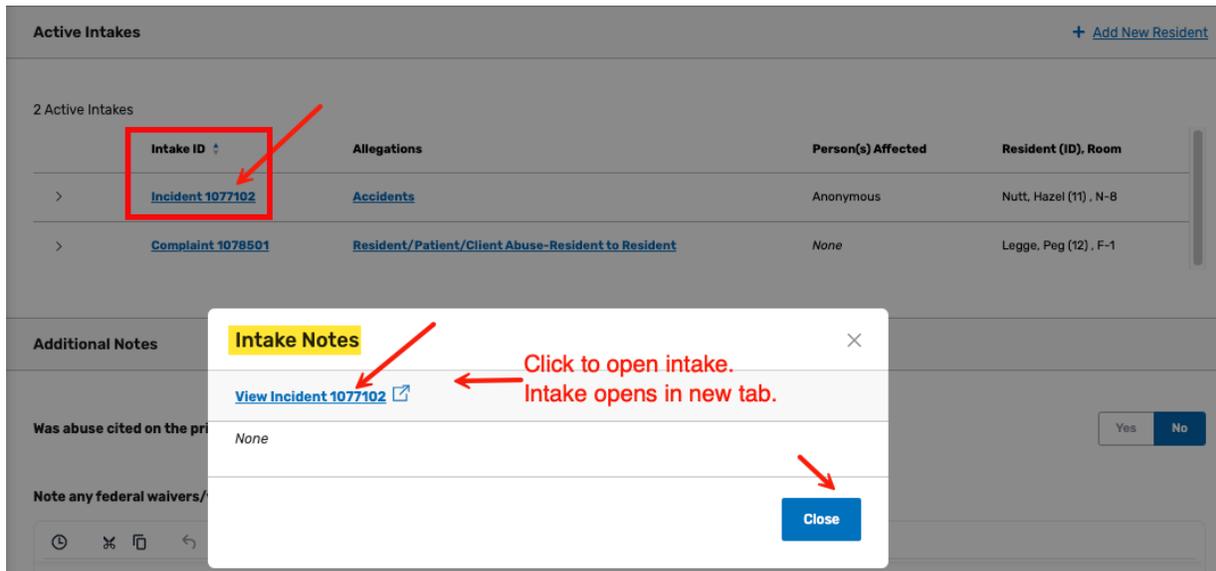


Figure 63: Intake Notes Pop-Up Window

- b. Click **View [Complaint/Incident Intake ID]** to view the complaint. The complaint opens in a different tab to the **[Complaint/Incident] Basic Information** page. Select original tab to get back to the **Offsite Prep** page or close the intake tab.

Allegation Details

- a. Click the link under **Allegations** to view the allegation details about the intake. See *Figure 64, Allegation Details*.

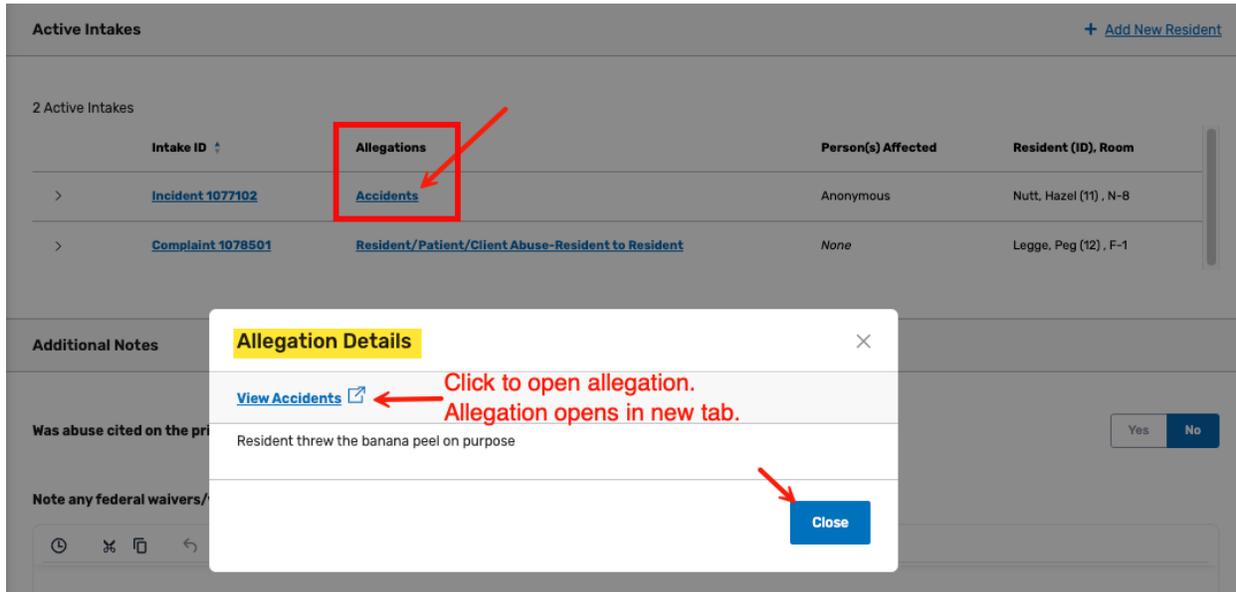


Figure 64: Allegation Details

- b. Click **View [Allegation]** to view the allegation details. The allegation details open in a different tab to the **Allegation** page. Select original tab to get back to the **Offsite Prep** page or close the **Allegation** tab.

Intake Details

Click the caret next to the intake to view intake details. See *Figure 65, Intake Details*.

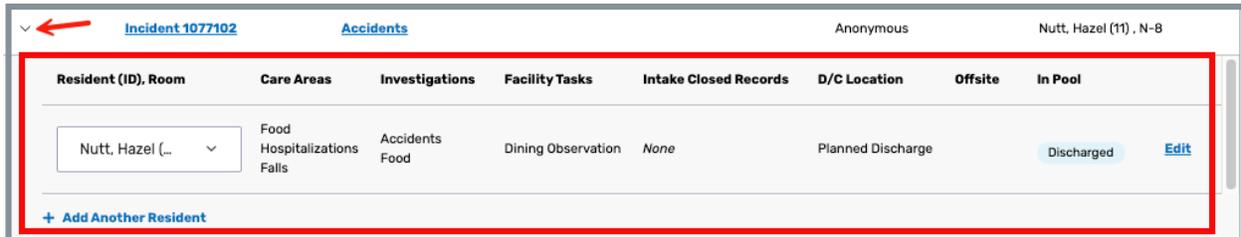


Figure 65: Intake Details

Notes:

- The **Care Areas**, **Investigations**, **Facility Tasks**, and **Intake Closed Records** are tied to the intake, not the resident. The [Resident Closed Record](#) is tied to the resident.
- **In Pool** and **Offsite** are tied to the resident.

Resident (ID), Room

Shows the resident name, ID and room number. There may be more than one resident shown.

- Click the caret next to the resident to switch residents.
- Click [Add Another Resident](#) to add another resident to the intake.

Care Areas

Lists the care areas associated with the intake.

Investigations

Lists the investigations associated with the intake.

Facility Tasks

Lists the facility tasks associated with the intake.

Intake Closed Records

Lists any intake closed records.

D/C Location

Discharge location

Offsite

The **Offsite** badge shows in this field when the selected resident is an Offsite-selected resident.

In Pool

- **In Pool** is checked when the resident is part of the Initial Pool.
- **IP** is unchecked when the resident is either a **No**, **Unknown**, or **Maybe (N, U, M)**.
- A **Discharged** badge is shown when the resident is discharged and the checkbox is removed.

+ Add Another Resident

- Click **Add Another Resident** to add an additional resident to the intake. A new line opens under the existing resident on the intake. See *Figure 66, Add Another Resident*.

Resident (ID), Room	Care Areas	Investigations	Facility Tasks	Intake Closed Records	D/C Location	Offsite	In Pool
Nutt, Hazel (...)	Food Hospitalizations Falls	Accidents Food	Dining Observation	None	Planned Discharge	Discharged	Edit
Select	None	None	None	None	None		

+ Add Another Resident

Figure 66: Add Another Resident

- Select resident from drop-down menu of existing residents. See *Figure 67, Select Resident*.

Resident (ID), Room	Care Areas	Investigations	Facility Tasks	Intake Closed Records	D/C Location	Offsite	In Pool
Nutt, Hazel (...)	Food Hospitalizations Falls	Accidents Food	Dining Observation	None	Planned Discharge	Discharged	Edit
Clyde, Bonni...	None	None	None	None	None	<input checked="" type="checkbox"/>	Edit

+ Add Another Resident

You must select at least one LTCSP Area based on the intake/Allegation. Refer to the LTCSP PG for instructions.

Figure 67: Select Resident

Note: Review notification. The intake must be updated. Click **Edit** to update the resident information. See details on how to edit below.

Edit

Click **Edit** to edit LTCSP Areas. The **Identify LTCSP Areas** pop-up window opens. See *Figure 68, Identify LTCSP Areas Pop-Up Window* and *Table 13, Identify LTCSP Areas Pop-Up Window Detailed Callout*.

Note: Click **Save** to save any updates. It is necessary to scroll to the bottom of the window to see the **Save** button.

Figure 68: Identify LTCSP Areas Pop-Up Window

Table 13: Identify LTCSP Areas Pop-Up Window Detailed Callout

No.	Name	Description
a	Intake ID	The complaint or incident ID.
b	Resident (ID), Room	The resident name, ID and room number.
c	Care Areas	Select a care area to force In Pool = Y . This applies to all intakes with which the resident is associated. Select a care area to set the IP Surveyor to the TC on Resident Manager, if one has not already been determined. Discharged residents cannot have care areas selected.
d	Information Button	Hover over the information button for details on how to edit/update each area.
e	Investigations	Select an Investigation to assign the Investigation to the selected resident with the required assigned surveyor. The Investigations page shows all assigned surveyors when they are different, as long as the same investigation is selected for multiple intakes that have the same resident.
f	Assigned Surveyor	Only one surveyor can be assigned. A different surveyor from the survey team can be selected from the drop-down menu.
g	Scroll Bar	The pop-up window shows a portion of the editable areas. Scroll to view all areas. Note: The figure above shows the entirety of the editable areas for clarity only. It is necessary to scroll to view all editable areas and to save the updates.

No.	Name	Description
h	Facility Tasks	Select a facility task to trigger the task on the Facility Tasks page, if it is not already listed.
i	Intake Closed Records	Select All, Expired, Hospitalized, Unplanned Discharge, or Planned Discharge from the drop-down menu to show why the intake must be investigated. Note: The Intake Closed Record is not the same as the Resident Closed Record .
j	D/C Location	Discharge location cannot be updated when resident: <ul style="list-style-type: none"> • Has care areas on an intake • Is in the IP (must uncheck) • Is Facility, Facility • Sample has been finalized
k	Description	Add details about discharge location here.
l	Cancel/Save	Cancel to cancel out of edit. Save to save updates.

13.6 Additional Notes

Note: The TC can note the following:

- Whether there was abuse cited on the prior survey or whether there are any abuse allegations or citations for complaints.
- Any federal waivers or variances for onsite review.
- Any active enforcement cases that should not be investigated in this survey.

Add any additional notes. See *Figure 69, Offsite Prep: Additional Notes*

Additional Notes

Was abuse cited on the prior standard survey or have there been any abuse allegations or citations for complaints? Yes No

Note any federal waivers/variances for onsite review

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Note any active enforcement cases (resident/issues/dates/reason) that shouldn't be investigated

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Figure 69: Offsite Prep: Additional Notes

13.7 Ombudsman

Purpose: To track any additional areas of concern the TC may have.

Fill out ombudsman information and note areas of concern, if any. See *Figure 70, Offsite Prep: Ombudsman*.

The screenshot shows a form titled "Ombudsman" with a yellow header. The form is divided into three main sections:

- Ombudsman Name:** A text input field containing "Addie Minstra".
- Contact Date:** A date input field containing "01/08/2025" with a calendar icon. Below the field is the text "MM/DD/YYYY".
- Phone Number:** A text input field containing "(800) 588-2300".

Below these fields is a section titled "Areas of Concern" which features a rich text editor. The editor's toolbar includes icons for undo, redo, bold, italic, underline, link, and font color. The font face is set to "Rubik" and the size to "12pt". The text area contains the text "Review abuse concerns".

Figure 70: Offsite Prep: Ombudsman

13.8 Team Unit Assignments

Fill out team unit assignments. See *Figure 71, Offsite Prep: Team Unit Assignments* and *Table 14, Team Unit Assignments Detailed Callout*.

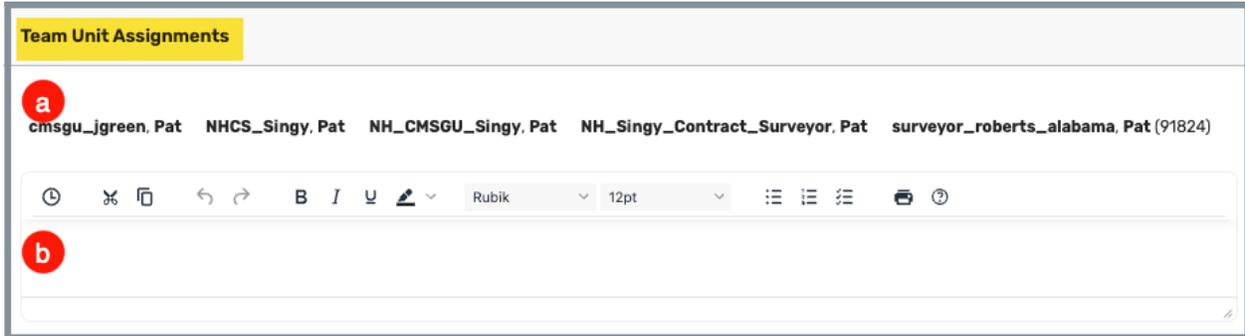


Figure 71: Offsite Prep: Team Unit Assignments

Table 14: Team Unit Assignments Detailed Callout

No.	Description
a	Lists all survey team members
b	Type survey team members and assignments.

13.9 Finalize Offsite Prep

Note: **Finalized** is enabled for the TC when all required fields are completed.

- 13.9.1 Click **Finalize** in the top right to finalize Offsite Prep. The **Finalized** badge shows next to the **Offsite Prep** title. See *Figure 72, Finalize Offsite Prep Badge*.



Figure 72: Finalized Offsite Prep Badge

Note: Once Offsite Prep has a **Finalized** status, any additional updates to the **Offsite Prep** page return the page back to **In Progress**.

- 13.9.2 An email is automatically sent to each survey team member listed in the **Team Unit Assignments** section each time Offsite Prep is finalized.

Note: If Offsite Prep is finalized more than one time, more than one email is sent.

14. Entrance Conference

Purpose: To obtain the information needed from the facility immediately upon entrance.

14.1 Click **Entrance Conference** on the left menu. See *Figure 73, Entrance Conference*. The **Entrance Conference** window opens.

The screenshot shows the CMS iQIES Survey & Certification interface. The left sidebar menu is visible, with 'Entrance Conference' highlighted in a red box. A red arrow points to this menu item. The main content area is titled 'Entrance Conference' and contains the following sections:

- Information Needed From The Facility Immediately Upon Entrance**
 - Entrance Conference Date and Time**
 - No information
 - Census number
 - Complete matrix for new admissions in the last 30 days who are still residing in the facility.
 - An alphabetical list of all residents (note any resident out of the facility).
 - A list of residents who smoke, designated smoking times, and locations.
- Entrance Conference**
 - Conduct a brief Entrance Conference with the Administrator. Ask the Administrator to make the Medical Director aware that the survey team is conducting a survey. Offer an opportunity to the Medical Director to provide feedback to the survey team during the survey period if needed.
 - Information regarding full time DON coverage (verbal confirmation is acceptable).
 - Information about the facility's emergency water source (verbal confirmation is acceptable).
 - Signs announcing the survey that are posted in high-visibility areas.

Figure 73: Entrance Conference

Notes:

- Only the TC can edit the Entrance Conference section.
- Each Entrance Conference section is separated by time.
- Click **Edit** to edit or update Entrance Conference date and time. There is no save button; information updates immediately.
- Date and time can be future dated.
- The date and time stamp indicate the time that the information must be completed.
- Certain boxes, when checked, require attachments. See [Attachments](#), to review how to upload an attachment.

14.2 Complete the following information immediately upon entrance. See *Figure 74, Entrance Conference: Information Needed Immediately Upon Entrance*.

Information Needed From The Facility Immediately Upon Entrance

Entrance Conference Date and Time
 🕒 06/11/2024 6:01 PM [Edit](#)

Census number

Complete matrix for new admissions in the last 30 days who are still residing in the facility.

An alphabetical list of all residents (note any resident out of the facility).

A list of residents who smoke, designated smoking times, and locations.

Entrance Conference

Conduct a brief Entrance Conference with the Administrator. Ask the Administrator to make the Medical Director aware that the survey team is conducting a survey. Offer an opportunity to the Medical Director to provide feedback to the survey team during the survey period if needed.

Information regarding full time DON coverage (verbal confirmation is acceptable).

Information about the facility's emergency water source (verbal confirmation is acceptable).

Signs announcing the survey that are posted in high-visibility areas.

A copy of an updated facility floor plan, if changes have been made, including COVID-19 observation and COVID-19 units.

Name of Resident Council President.

Provide the facility with a copy of the CASPER 3.

See note

Does the facility offer arbitration agreements? If so, please provide a sample copy.

Has the facility asked any residents or their representatives to enter into a binding arbitration agreement?

Name of the staff responsible for the binding arbitration agreements

Figure 74: Entrance Conference: Information Needed Immediately Upon Entrance

14.3 Complete the following information within one hour of entrance. See *Figure 75, Entrance Conference: Information Needed Within One Hour of Entrance*.

Information Needed From Facility Within One Hour Of Entrance 06/11/2024 7:01 PM

- Schedule of meal times, locations of dining rooms, copies of all current menus including therapeutic menus that will be served for the duration of the survey and the policy for food brought in from visitors.
- Schedule of Medication Administration times.
- Number and location of med storage rooms and med carts.
- The actual working schedules for all staff, separated by departments.
- List of key personnel, location, and phone numbers including the Medical Director and contract staff (e.g., rehab services).
- If the facility employs paid feeding assistants, provide the following information:
 - a) Whether the paid feeding assistant training was provided through a State-approved training program by qualified professionals as defined by State law, with a minimum of 8 hours of training;
 - b) A list of staff (including agency staff) who have successfully completed training for paid feeding assistants, and who are currently assisting selected residents with eating meals and/or snacks;
 - c) A list of residents who are eligible for assistance and who are currently receiving assistance from paid feeding assistants.
- Name of the facility's infection preventionist (IP). Documentation of the IP's primary professional training and evidence of completion of specialized training in infection prevention and control.

Figure 75: Entrance Conference: Information Needed Within one hour of entrance

14.4 Complete the following information within four hours of entrance. See *Figure 76, Entrance Conference: Information Needed Within Four Hours of Entrance.*

Information Needed From Facility Within Four Hours Of Entrance
🕒 06/11/2024 10:01 PM

- Complete the matrix for all other residents. The TC confirms the matrix was completed accurately.
- Admission packet.
- Dialysis Contract(s), Agreement(s), Arrangement(s), and Policy and Procedures, if applicable.
- List of qualified staff providing hemodialysis or assistance for peritoneal dialysis treatments, if applicable.
- Agreement(s) or Policies and Procedures for transport to and from dialysis treatments, if applicable.
- Does the facility have an onsite separately certified ESRD unit?
- Hospice Agreement, and Policies and Procedures for each hospice used (name of facility designee(s) who coordinate(s) services with hospice providers).
- Infection Prevention and Control Program Standards, Policies and Procedures, including:
 - a) the surveillance plan;
 - b) Antibiotic Stewardship program; and
 - c) Influenza, Pneumococcal, and COVID-19 Immunization Policy & Procedures.
- QAA committee information (name of contact, names of members and frequency of meetings).
- QAPI Plan.
- Abuse Prohibition Policy and Procedures.
- Description of any experimental research occurring in the facility.
- Facility assessment.
- Nurse staffing waivers.
- List of rooms meeting any one of the following conditions that require a variance:
 - Less than the required square footage
 - More than four residents

Figure 76: Entrance Conference: Information Needed Within Four Hours of Entrance

14.5 Complete the following information by the End of the First Day of Survey, Within 24 hours of Entrance, and Additional Questions. See *Figure 77, Entrance Conference: Remaining Information Needed*.

Note: The arbitration question is not selected by default. Select **Yes** to trigger the Arbitration Facility Task.

Information Needed By The End Of The First Day Of Survey	🕒 06/11/2024		
<input type="checkbox"/> Provide each surveyor with access to all resident electronic health records - do not exclude any information that should be a part of the resident's medical record. Provide specific information on how surveyors can access the EHRs outside of the conference room. Please complete the attached form on page 4 which is titled "Electronic Health Record Information."			
<input type="checkbox"/> Provide a list of residents, who are currently residing in the facility, that have entered into a binding arbitration agreement on or after 9/16/2019.			
<input type="checkbox"/> Provide a list of residents who resolved disputes through arbitration on or after 9/16/2019.			
Information Needed From Facility Within 24 Hours Of Entrance	🕒 06/12/2024 6:01 PM		
<input type="checkbox"/> Completed Medicare/Medicaid Application (CMS-671).			
<input type="checkbox"/> Please complete the attached form on page 3 which is titled "Beneficiary Notice - Residents Discharged Within the Last Six Months".			
Additional Questions			
Has the facility asked a resident or his/her representative to enter into a binding arbitration agreement? <table border="1" style="float: right;"> <tr> <td>Yes</td> <td>No</td> </tr> </table>		Yes	No
Yes	No		
This field is required			

Figure 77: Entrance Conference: Remaining Information Needed

15. Team Meeting

Purpose: A communication tool that allows the entire team to review areas of concern and check the status of the assigned work.

Notes:

- All members of the survey team have access.
- The TC has the ability to edit. Other team members have view only access.
- TC notes are not seen in real time. The screen must be refreshed to view notes.
- The Top icon appears only when at the end of the questions. Click **Top** to go to the top of either tab on the Team Meeting page. See *Figure 78, Top Icon*.

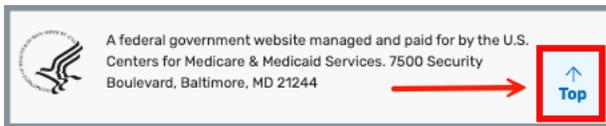


Figure 78: Top Icon

- There are two tabs in **Team Meeting**: [Initial Pool](#) and [Investigation](#).

Click **Team Meeting** on the left menu under **Survey Prep**. The **Team Meeting** window opens with **Initial Pool** and **Investigation** tabs. See *Figure 79, Team Meeting*.



Figure 79: Team Meeting

15.1 Initial Pool

Purpose: To view residents in the initial pool and verify that the residents have been screened for the survey.

Notes:

- Initial Pool tasks focus on Day 1 tasks.
- Surveyors can use the Initial Pool area in [Resident Manager](#) to access the **Interview**, **Observation**, and **Record Review** screens to document comments and enter responses for care areas for each resident.
- The majority of the information in Initial Pool is pre-populated. Only the TC can update the page.
- All columns can be sorted. Click the caret next to the column header.

Click the **Initial Pool** tab to view **Initial Pool** information. See *Figure 80, Initial Pool Information, part 1 of 5*, *Figure 81, Initial Pool Information, part 2 of 5*, *Figure 82, Initial Pool Information, part 3 of 5*, *Figure 83, Initial Pool Information, part 4 of 5*, and *Figure 84, Initial Pool Information, Part 5 of 5*.

Notes:

- See *Figure 85, PBJ Staffing Details Concerns* and *Figure 86, PBJ Staffing Details Notes* for more information on PBJ details from Offsite Prep.
- The PBJ link only shows when the question **Does the facility have staffing concerns based on the CASPER PBJ Staffing Data Report** under **Staffing** on the [Offsite Prep](#) page answered **Yes**.

Team Meeting

Initial Pool
Investigation

Were any offsite selected residents discharged?

Resident ↕	BIMS ↕	Room ↕	Admission Date ↕
PETERSON, ADELE (4)	13	60787061	05/24/2024

Ensure all offsite selected residents were included in the initial pool, unless discharged

Resident ↕	BIMS ↕	Room ↕	Admission Date ↕
STEPHENS, ELSA (3)	13	60787047	05/24/2024
VASQUEZ, BRIANNA (5)	13	60787048	05/24/2024

Was at least one resident who smokes included in the initial pool?

Resident ↕	BIMS ↕	Room ↕	Admission Date ↕
Clyde, Bonnie-Ann (14)		BC-12	10/01/2024

Figure 80: Initial Pool Information, part 1 of 5

Enter the total number of new admits.

7

Go over each newly admitted resident listed on the matrix and ensure each resident listed was screened by a team member.

Resident	Surveyors
Booke, Rita (15)	<ul style="list-style-type: none"> • NHCS_Singy
Clyde, Bonnie-Ann (14)	<ul style="list-style-type: none"> • surveyor_roberts_alabama (91824) • NHCS_Singy • cmsgu_jgreen
Dover, Eileen (9)	<ul style="list-style-type: none"> • surveyor_roberts_alabama (91824) • NHCS_Singy
Legge, Peg (12)	<ul style="list-style-type: none"> • surveyor_roberts_alabama (91824) • NHCS_Singy
Nutt, Hazel (11)	<ul style="list-style-type: none"> • NH_CMSGU_Singy • NHCS_Singy
Spencer, Candace (13)	<ul style="list-style-type: none"> • NHCS_Singy
Yasoon, C (10)	<ul style="list-style-type: none"> • NHCS_Singy

Are there any residents with current abuse concerns?

Resident	BIMS	Room	Admission Date
Clyde, Bonnie-Ann (14)		BC-12	10/01/2024
KENT, LEAH (2)	13	60787049	05/24/2024
Legge, Peg (12)		F-1	07/17/2024

Figure 81: Initial Pool Information, part 2 of 5

Ensure any resident on the matrix who has a unique significant concern was included in the initial pool. For example, there is only one resident with a facility acquired pressure ulcer as noted on the matrix. The resident should be included in the initial pool.

Add Isabelle Ringing to the IP

Discuss any discrepancy found with the matrix.

How many residents did each surveyor include in the initial pool?

Surveyor	Resident(s)
cmsgu_jgreen	<ul style="list-style-type: none"> MUELLER, AIMEE (1)
NHCS_Singy	<ul style="list-style-type: none"> KENT, LEAH (2) Dover, Eileen (9) Yasoon, C (10) Spencer, Candace (13) Clyde, Bonnie-Ann (14)
Surveyor Unassigned	<ul style="list-style-type: none"> STEPHENS, ELSA (3) VASQUEZ, BRIANNA (5)
surveyor_roberts_alabama (91824)	<ul style="list-style-type: none"> Legge, Peg (12)

Figure 82: Initial Pool Information, part 3 of 5

How much work does each surveyor have left to do?

Surveyor	Resident(s)	Task
cmsgu_jgreen	<ul style="list-style-type: none"> MUELLER, AIMEE (1) 	<ul style="list-style-type: none"> Unfinished RRI, RI, RR, RO
NHCS_Singy	<ul style="list-style-type: none"> KENT, LEAH (2) Yasoon, C (10) Spencer, Candace (13) Clyde, Bonnie-Ann (14) 	<ul style="list-style-type: none"> Unfinished RR, RO Unfinished RRI, RI, RR, RO Unfinished RR, RO Unfinished RO
Surveyor Unassigned	<ul style="list-style-type: none"> STEPHENS, ELSA (3) VASQUEZ, BRIANNA (5) 	<ul style="list-style-type: none"> Unfinished RRI, RI, RR, RO Unfinished RRI, RI, RR, RO
surveyor_roberts_alabama (91824)	<ul style="list-style-type: none"> Legge, Peg (12) 	<ul style="list-style-type: none"> Unfinished RRI, RR, RO

What is the status and pertinent information for complaint and FRI residents?

Any harm, SQC or IJ concerns (other concerns will be discussed during the sample meeting)?

Surveyor	Resident(s)
surveyor_roberts_alabama (91824)	<ul style="list-style-type: none"> Legge, Peg (12)

Figure 83: Initial Pool Information, part 4 of 5

What is the status and pertinent information for complaint and FRI residents?

Any harm, SQC or IJ concerns (other concerns will be discussed during the sample meeting)?

Surveyor ↕	Resident(s) ↕
surveyor_roberts_alabama (91824)	• Legge, Peg (12)

How many resident representative/family interviews were completed?

Surveyor ↕	Resident(s) ↕
NHCS_Singy	• Spencer, Candace (13)

Review the list of initial pool concerns and ensure the team discusses potential staffing concerns.

[PBJ Staffing](#)

- Abuse
- Accident Hazards
- Activities
- Advance Directives
- Choices
- Dignity
- Food
- Infections (not UTI, PU or Respiratory)
- Mood/Behavior
- Nutrition
- Personal Property
- Smoking

[↑
Top](#)

Figure 84: Initial Pool Information, Part 5 of 5

PBJ Staffing Details		
Concerns		Notes
Concern	FY Quarter	Year
Low weekend staffing	2	2023
Licensed nurses for 24 hours/day	2	2024

Figure 85: PBJ Staffing Details Concerns

Staffing Notes
 Could not find a CNA in the dining room.

Note any staffing variances/waivers
 A waiver exists for 3 CNAs instead of 4 for a period of 5 hours every Sunday, from 2AM to 7AM because the nursing home is located in a rural area.

Figure 86: PBJ Staffing Details Notes

15.2 Investigation

Purpose: Investigation focuses on facility tasks, finalize sample, investigations and potential citations.

Note: Only active **Facility Tasks**, **Investigations**, or **Potential Citations** are shown. Once a task is complete, it no longer shows on the page.

Click the **Investigation** tab to view Investigations. See *Figure 87, Investigation Information, page 1 of 3*, *Figure 88, Investigation Information, page 2 of 3*, and *Figure 89, Investigation Information, page 3 of 3*.

Notes:

- The PBJ link only shows when the question **Does the facility have staffing concerns based on the CASPER PBJ Staffing Data Report** under **Staffing** on the [Offsite Prep](#) page answered **Yes**.
- Answer **Yes** to the last question, **Are there concern(s) regarding unethical, criminal, civil or administrative violations of the Social Security Act by the facility?** to trigger the F895 Compliance and Ethics for the Facility. See *Figure 90, Initiate F895*.

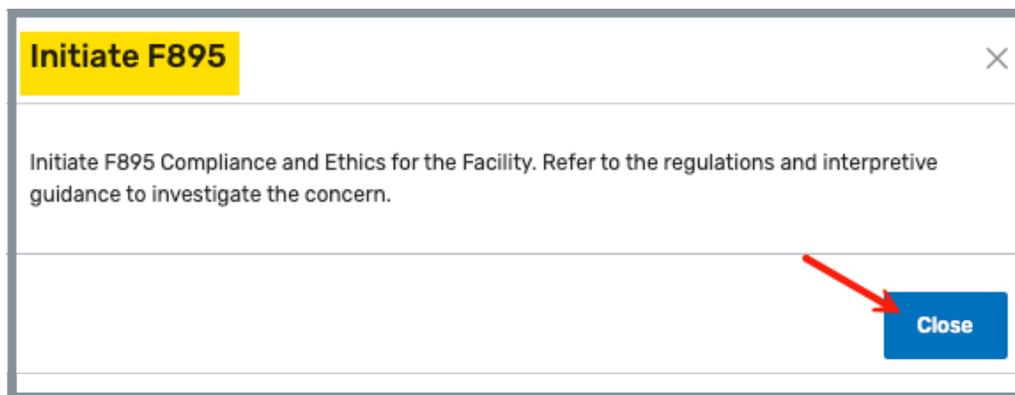


Figure 87: Initiate F895

Team Meeting

Initial Pool Investigation

Are there newly identified harm or IJ concerns?

Surveyor	Resident(s)
NHCS_Singy	<ul style="list-style-type: none">Legge, Peg (12)Clyde, Bonnie-Ann (14)

Does the sample need to be expanded to rule out SQC?

What is the status and pertinent information for complaint and FRI residents?

What pertinent findings does each surveyor have (ensure you review and address all prior reported concerns)?

Figure 88: Investigation Information, page 1 of 3

How much work does each surveyor have left to complete?

Surveyor	Resident(s)	Investigation
NH_Singy_Contract_Surveyor	<ul style="list-style-type: none"> Clyde, Bonnie-Ann (14) Dover, Eileen (9) 	<ul style="list-style-type: none"> Physical Restraints Activities
NHCS_Singy	<ul style="list-style-type: none"> Clyde, Bonnie-Ann (14) Dover, Eileen (9) Booke, Rita (15) Yasoon, C (10) Legge, Peg (12) Nutt, Hazel (11) 	<ul style="list-style-type: none"> Physical Restraints, Accidents Activities, Advance Directives Care Planning Care Planning, Activities of Daily Living Abuse, Abuse Food
Surveyor Unassigned	<ul style="list-style-type: none"> Nutt, Hazel (11) 	<ul style="list-style-type: none"> Accidents, Accidents

FACILITY TASKS

- Arbitration
- Beneficiary Notification
- Dining Observation
- Infection Control
- Kitchen
- Medication Administration
- Medication Storage and Labeling
- QAPI and QAA
- Resident Council
- Sufficient and Competent Nurse Staffing

Do you need to adjust the workload?

Not at this time.

Figure 89: Investigation Information, page 2 of 3

Have at least three representative interviews been completed?

No

Surveyor	Resident(s)
NHCS_Singy	<ul style="list-style-type: none">Spencer, Candace (13)

Are there concerns that are indicative of a system failure? Do you have enough information to validate that?

Review the list of investigation concerns and ensure the team is discussing potential staffing concerns.

PBJ Staffing

- Abuse
- Physical Restraints

Are there concern(s) regarding unethical, criminal, civil or administrative violations of the Social Security Act by the facility?

Yes **No**

Figure 90: Investigation Information, page 3 of 3

16. Resident Manager

Purpose: Displays all the residents in the facility.

Notes:

- Residents with MDS indicators are displayed five business days from the survey **Start Date** when there is MDS data.
- Residents may be system-selected to be included in the initial pool during the survey and automatically have an IP status of Yes (Y) and an **Offsite** badge, which is displayed below the resident's name.
- If there are no residents available or it is more than 5 business days prior to the survey **Start Date**, a message is displayed in place of the resident list. See *Figure 91, No Residents Found* and *Figure 92, Residents Will Be Available 5 Business Days Prior to Survey Start Date*.

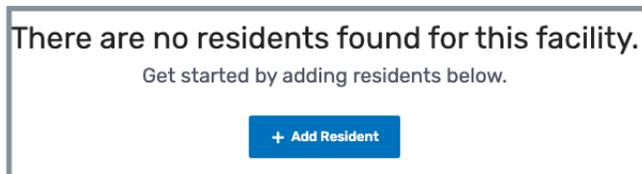


Figure 91: No Residents Available

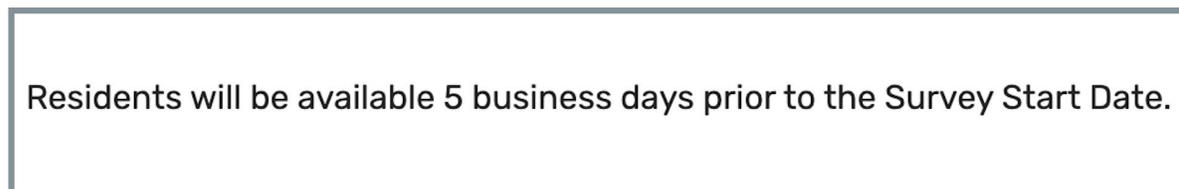


Figure 92: Residents Will Be Available 5 Business Days Prior to Survey Start Date

- Residents can be added by surveyors when there is no MDS data for the facility.
- All columns with carets can be sorted. Click on the column name to sort.
- See [MDS Information](#) for detailed information on viewing MDS assessment information.

16.1 Resident Manager Overview

Click **Resident Manager** on the drop-down left menu under **Initial Pool**. The **Resident Manager** window opens with **All Residents** and **My Residents** tabs. See *Figure 93, Resident Manager* and *Table 15, Resident Manager Detailed Callouts*.

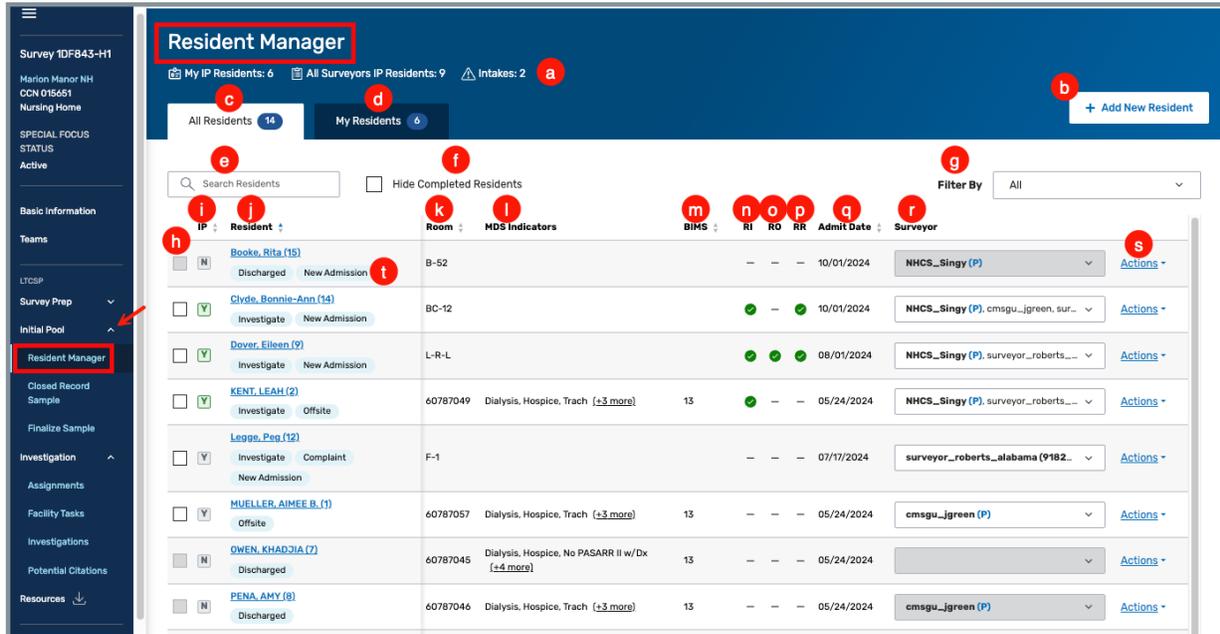


Figure 93: Resident Manager

Table 15: Resident Manager Detailed Callout

No.	Section Detail	Description
a	Resident Summary	Displays: <ul style="list-style-type: none"> • The count of Initial Pool residents for the logged in surveyor. • The count of Initial Pool residents for all surveyors on the team. • The count of residents with a Complaint and/or FRI intake badge.
b	Add New Resident	Add a new admission resident to the list. See Add a New Resident .
c	All Residents	This is the default page and shows all residents in the facility

No.	Section Detail	Description
d	My Residents	Click this tab to see the surveyor’s residents. The residents are shown when the surveyor is both primary and nonprimary.
e	Search Residents	Search residents in list by name, room number, resident ID
f	Hide Completed Resident	Hide all residents who are completed (check marks in RI, RO, RR columns)
g	Filter By	All, All Current Sample Residents, Complaint, Discharged, FRI, New Admission, Offsite Selected
h	Checkboxes	Checkboxes are to bulk assign surveyors .
i	IP (Initial Pool)	<p><u>Offsite Badge</u></p> <p>Y Yes. Default setting. Resident was included in the Initial Pool.</p> <p>N No. Resident was not included in the Initial Pool.</p> <p>To change a response to no: Select the Closed Record Reason, which marks the resident as discharged from the facility and changes the initial pool value to N.</p> <p><u>No Offsite Badge</u></p> <p>U Unknown. Default setting. Resident will not be included in the Initial Pool.</p> <p>N No. Resident will not be included in Initial Pool.</p> <p>M Maybe. Resident will not be included in Initial Pool.</p> <p>Y Yes. Resident will be included in Initial Pool.</p>
j	Resident	Name of the resident and their ID.
k	Room	Resident’s Room Number
l	MDS Indicators	Related MDS indicators, if applicable, for residents in a recertification survey. Can also be used for initial certification surveys.

No.	Section Detail	Description
m	BIMS	The Brief Interview for Mental Status score
n	RI	Completion status in initial pool for interview
o	RO	Completion status in initial pool for observation
p	RR	Completion status in initial pool for record review
q	Admit Date	The date the resident was admitted
r	Surveyor	Surveyor or Surveyors assigned to the resident. A (P) indicates the Primary Surveyor. See Multiple Surveyors .
s	Action	Drop-down menu with two selections: Update Resident or Discharge Resident . See Update a Resident and Discharge a Resident for further details.
t	Blue Badges	<p>The blue badges under the resident’s name give further information about the resident:</p> <p>Offsite The resident was system-selected as part of the offsite sample.</p> <p>Discharged The resident has left the facility.</p> <p>Complaint The resident is associated with a complaint intake in Offsite Prep or is linked to a complaint that will be investigated on the survey.</p> <p>FRI The resident is associated with an incident intake in Offsite Prep or is linked to an incident that will be investigated on the survey.</p> <p>Investigate The resident is linked to an intake with Initial Pool Care Areas, has been marked FI for a Care Area(s), and/or has been marked for Harm/Immediate Jeopardy.</p> <p>New Admission The Resident is a new admission.</p>

16.2 Add a New Resident

- 16.2.1 Click **Add New Resident**. See *Figure 94, Add New Resident*. The **Add New Resident** pop-up window opens. See *Figure 95, Add New Resident Pop-Up Window*.



Figure 94: Add New Resident

Figure 95: Add New Resident Pop-Up Window

- 16.2.2 Fill out the required information.
- 16.2.3 Click the checkbox **Add Another Resident After Save** to add multiple new admission residents, and the window remains open until all residents have been added.

16.3 Update a Resident

Notes:

Surveyors can:

- Update the name, room number, admit date, initial pool value, and surveyor
- Select the intake type checkbox when a resident is associated with a complaint or FRI that will be investigated with the survey when it does not display in Offsite Prep. The intake badge is then added to the resident in the resident list.

16.3.1 Click **Update Resident** under the **Actions** menu next to the resident to be updated. See *Figure 96, Update Resident*. The **Update Resident** pop-up window opens. See *Figure 97, Update Resident Pop-Up Window*.

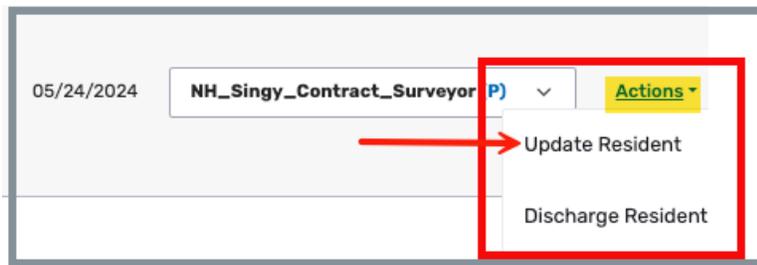


Figure 96: Update Resident

Adams, Jane L. (29)
✕

* indicates required field

First Name *	MI	Last Name *
<input type="text" value="Jane"/>	<input type="text" value="L"/>	<input type="text" value="Adams"/>
Room	Admit Date	
<input type="text" value="105"/>	<input type="text" value="10/04/2023"/>	
	MM/DD/YYYY	
Surveyors	Resident in Initial Pool?	
<input type="text" value="Ienna.schott (P), CSOzias (98054), csmgu v"/>	<input type="text" value="Maybe v"/>	
Subgroup		
<input type="checkbox"/> Complaint	<input type="checkbox"/> FRI	
Completed		
<input type="checkbox"/> Interview	<input type="checkbox"/> Observation	<input type="checkbox"/> Record Review

Delete Resident

Cancel
Save

Figure 97: Update Resident Pop-Up Window

16.3.2 Fill out the required information.

16.3.3 Click **Save**.

16.4 Delete a Resident

Notes:

- New admission residents can be deleted if they do not have associated data.
- **Delete Resident** is not shown on the **Update Resident** window when it is not possible to delete a resident.
- **Delete** is not displayed for MDS residents.

16.4.1 Click **Update Resident** under the **Actions** menu next to the resident to be updated. See *Figure 98, Update Resident*. The **Update Resident** pop-up window opens. See *Figure 99, Update Resident Pop-Up Window*.

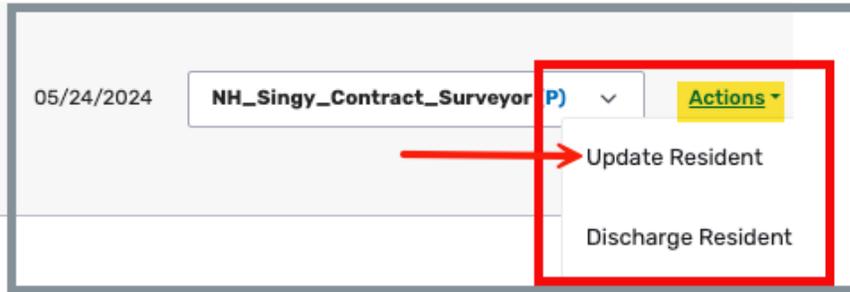


Figure 98: Update Resident

Figure 99: Update Resident Pop-Up Window

- 16.4.2 Fill out the required information.
- 16.4.3 Click **Delete Resident**. The **Delete Resident** pop-up window opens. See Figure 100, *Delete Resident Pop-Up Window*.

Figure 100: Delete Resident

- 16.4.4 Click **Yes, Delete**.
- 16.4.5 Verify the resident has been removed from the resident list.

16.5 Discharge a Resident

Notes:

- A resident can only be discharged prior to [Finalize Sample](#).
- The primary surveyor is the only surveyor who can discharge the resident.

16.5.1 Click **Discharge Resident** under the **Actions** menu to discharge a resident. See *Figure 101, Discharge Resident*.

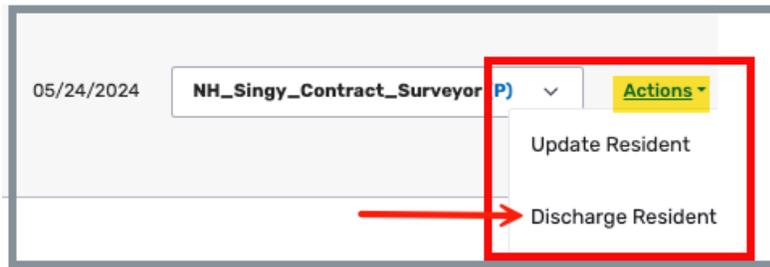


Figure 101: Discharge Resident

Notes:

- When the resident has no **Offsite** badge, the **Discharge Resident** pop-up window opens. See *Figure 102, Discharge Resident*. Click **Yes, Discharge**.

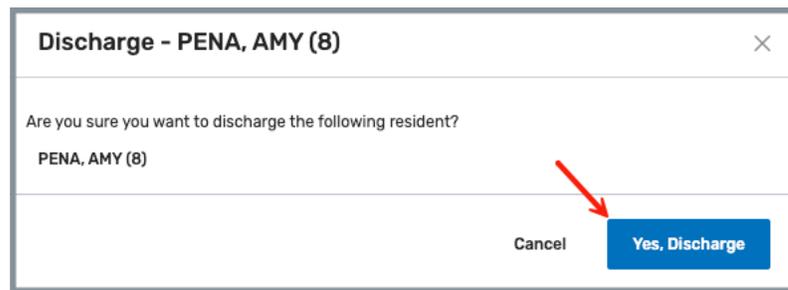


Figure 102: Discharge Resident

- When the resident has the **Offsite** badge, the **Select Closed Record Reason** pop-up window opens. See *Figure 103, Select Closed Record Reason*. Click **Save**.

KENT, LEAH (2) [Close]

* indicates required field

Select Closed Record Reason
Please indicate the reason why KENT, LEAH (2) is being added to Closed Record Review.

Reason *

Select

- ✓ Select
- Expired
- Hospitalized
- Planned Discharge
- Unplanned Discharge

Description

Cancel [Save]

Figure 103: Select Closed Record Reason

16.5.2 Verify **Discharged** is shown under the resident name.

<input type="checkbox"/>	N	PENA, AMY (8)	6078704	Trach, Wt loss, Maj	
		Discharged	6	Infection	13
				[+3 more]	

Note: The patient information is view only when a patient status is **Discharged**.

16.6 Admit a Resident

Notes:

- A resident can only be admitted prior to [Finalize Sample](#).
- The primary surveyor is the only surveyor who can admit the resident.
- When an offsite selected resident is admitted, the resident is added back to the Initial Pool.
- When a non-offsite selected resident is admitted, the resident Initial Pool value is set as U, or Unknown.

16.6.1 Click **Admit Resident** under the **Actions** menu to admit a resident. See *Figure 104, Admit Resident*.

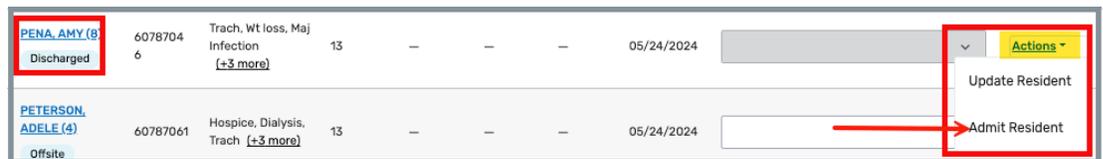
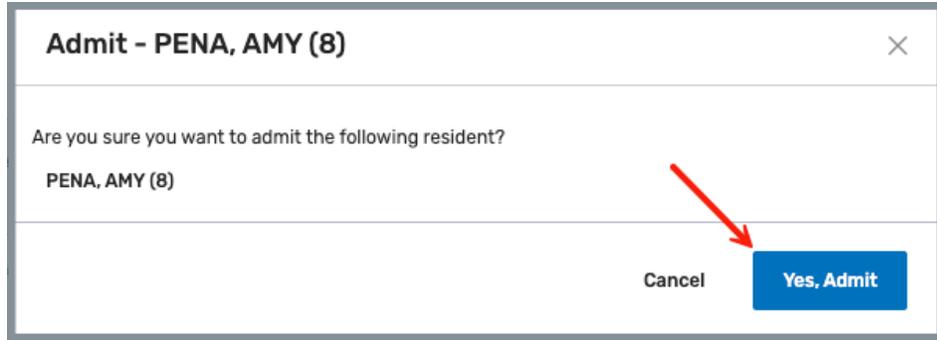


Figure 104: Admit Resident

16.6.2 Click **Yes, Admit**.



16.6.3 Verify **Discharged** is no longer shown under the resident's name. See *Figure 105, Admitted Resident*.



Figure 105: Admitted Resident

16.7 Multiple Surveyors

Review *Table 16, Primary and Non-Primary Surveyor Roles* for more details on privileges.

Notes:

- More than one surveyor can be assigned to a resident in **Resident Manager**.
- One surveyor must be designated as the primary surveyor.
- The primary surveyor is the only surveyor who can change the Initial Pool value or discharge/admit the resident.
- Any survey team member can assign surveyors to a resident or change the primary surveyor.
- Surveyors can be unassigned from a resident if they do not have Initial Pool data and are not the primary surveyor.

Table 16: Primary and Non-Primary Surveyor Roles

	Primary Assigned surveyor	Non-primary assigned surveyor
Change the Initial Pool value for a resident with an assigned surveyor	X	
Change the primary surveyor assigned to a resident	X	X
Delete a new admission resident with an assigned surveyor	X	
Discharge or admit a resident with an assigned surveyor	X	
Update a resident	X	X

16.8 Bulk Assign Surveyors

Note: Multiple residents may be assigned to one surveyor in a bulk action.

16.8.1 Click the check box to the left of a resident. The **Assign** field opens with a drop-down menu of available surveyors. See *Figure 106, Bulk Assign Surveyors*.

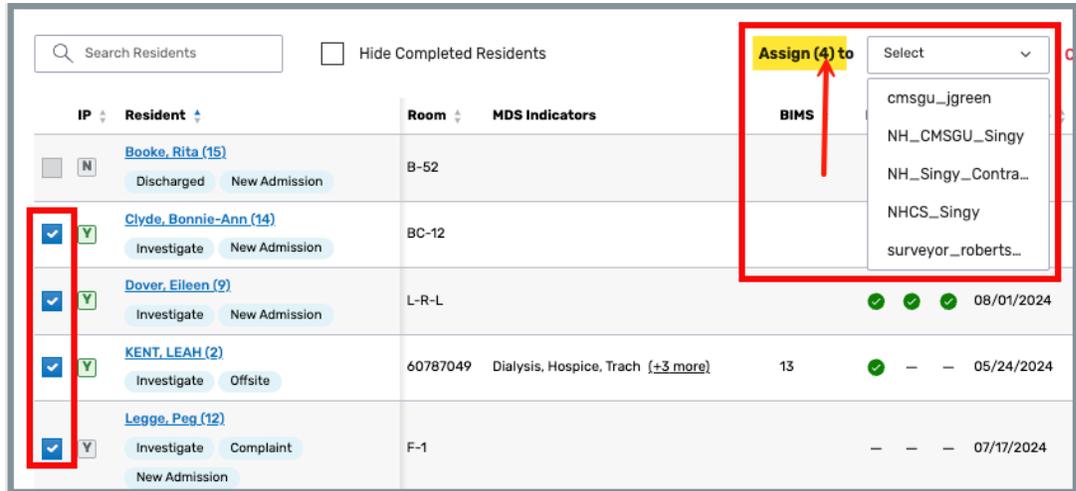


Figure 106: Bulk Assign Surveyors

16.8.2 Select the surveyor to be assigned to the resident. A **Confirm Assignment** pop-up window opens. See *Figure 107, Confirm Assignment*.

Note: If the resident is already assigned to a surveyor, the selected surveyor will be added as an additional surveyor.

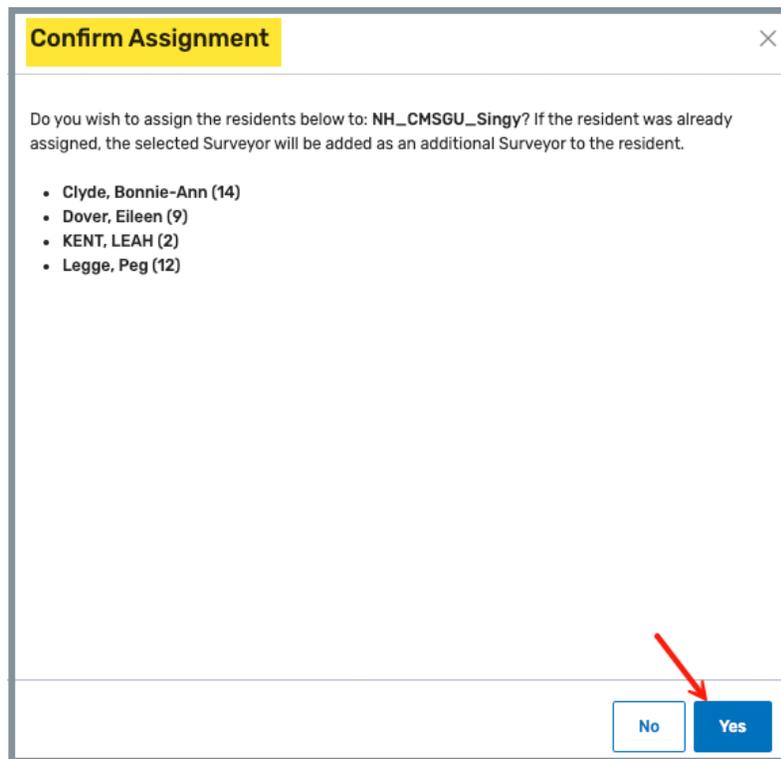


Figure 107: Confirm Assignment

16.8.3 Click **Yes**.

16.8.4 Verify the surveyor was added in the column under **Surveyor**.

17. Resident Initial Pool Screening

Purpose: To screen residents to include in the Resident Initial Pool.

Notes:

- Surveyors can use the Resident Initial Pool Screening area in [Resident Manager](#) to access the **Interview**, **Observation**, and **Record Review** screens to document comments and enter responses for care areas for each resident.
- Surveyors can hide completed residents from the resident list when all Initial Pool Areas are completed.
- The completion status for the Resident Initial Pool screening areas is also displayed on the [Update Resident](#) screen. It is not editable to surveyors from the **Update Resident** screen.
- See [MDS Information](#) for detailed information on viewing MDS assessment information.

17.1 Resident Initial Pool Screening Overview

Click any resident in [Resident Manager](#) to screen the resident. The detailed resident page opens. See *Figure 108, Resident Overview* and *Table 17, Resident Overview Detailed Callout*.

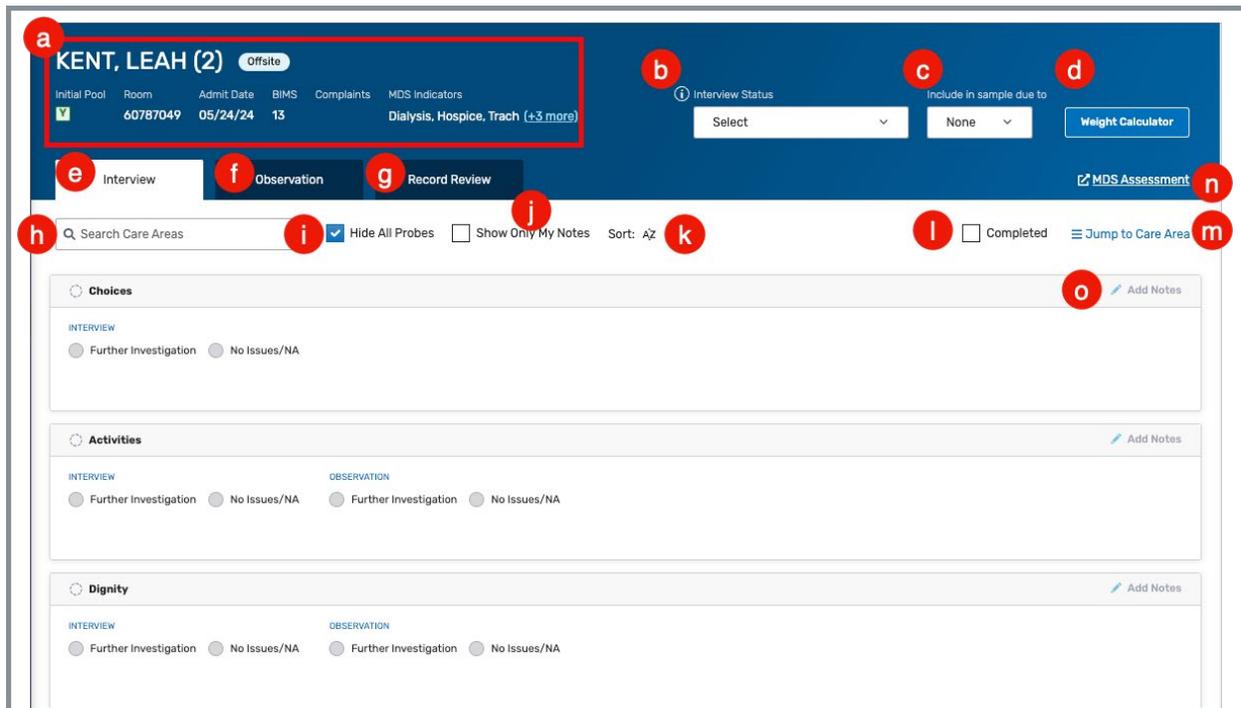


Figure 108: Resident Overview Initial Pool

Table 17: Sample Resident Initial Pool Detailed Callout

No.	Section Detail	Description
a	Header	Resident Information from Resident Manager
b	Interview Status	Select: Interviewable, Non-Interviewable, Refused, Unavailable for Interview, Out of Facility, Representative Interview
c	Include in Sample	Immediate Jeopardy/Harm
d	Weight Calculator	Helps calculate the percentage of weight gain or loss from information entered. Type weights in calculator. Click Save . Then click the weight calculator icon in care area notes to paste the value in the care area notes area. See Care Area Notes .
e	Interview	For more information, see Resident Interview .
f	Observation	For more information, see Resident Observation .
g	Record Review	For more information, see Resident Record Review .

No.	Section Detail	Description
h	Search Care Areas	Start typing the care area name and a list appears. Click on the care area name to jump to that care area on the screen.
i	Hide All Probes	<p>Probe text is hidden by default. Uncheck box to view text.</p> <p>Probe text provides guidance that surveyors can reference when conducting interviews, observations, and record reviews.</p>
j	Show Only My Notes	All surveyors' care area notes are viewable by default. To only show the notes of the surveyor who is logged in, check Show Only My Notes check box.
k	Sort A to Z	<p>The care areas are organized by quality of life and resident rights, followed by quality of care.</p> <p>To arrange the care areas alphabetically on the screen, click on the A to Z toggle.</p>
l	Completed	<p>Mark the Interview area complete.</p> <p>All care areas do not have to be marked with response options to mark the interview complete.</p>
m	Jump to Care Area	For more information, see Pull-Out Care Area Menu .
n	MDS Assessment	For more information, see MDS Assessment .
o	Add Notes	For more information, see Care Area Notes .

17.2 Care Area Menu

Note: The care area menu has 3 separate tabs: **(RI) Interview**, **RO (Observation)**, **RR (Record Review)**. A filled green circle indicates the surveyor has entered a response option for the care area. Click any tab to look at care areas for interview, observation or record review.

Click **Jump to Care Area** to open the care area menu. See *Figure 109, Jump to Care Area*. The **Care Area** side menu opens. See *Figure 110, Care Areas Side Menu* and *Table 18, Care Areas Side Menu Detailed Callout*.

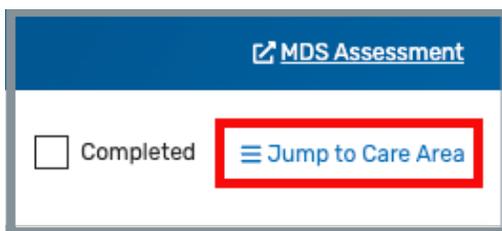


Figure 109: Jump to Care Area

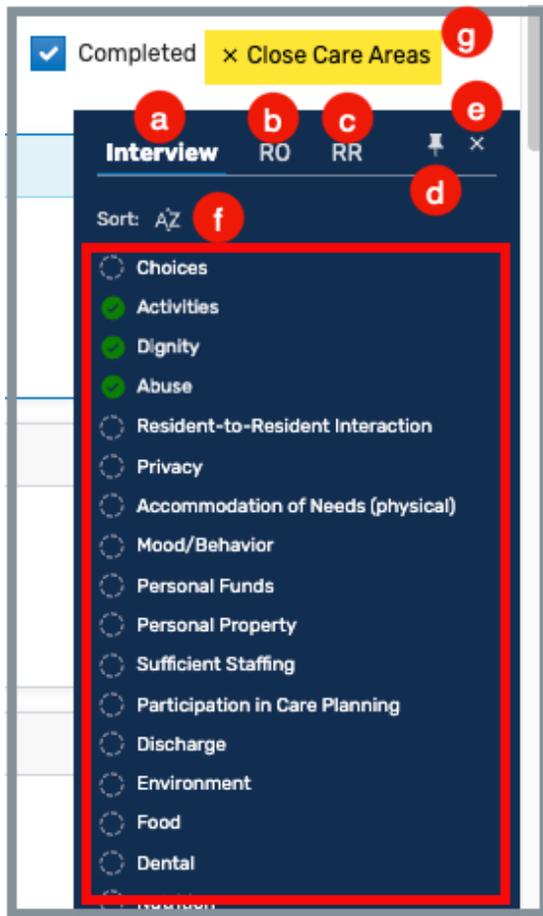


Figure 110: Care Areas Side Menu

Table 18: Care Areas Side Menu Detailed Callout

No.	Section Detail	Description
a	RI Interview	Resident Interview tab with care areas.
b	RO Observation	Resident Observation tab with care areas.
c	RR Record Review	Record Review tab with care areas.
d	Thumbtack icon	Click to pin the menu to the side of the screen. Click again to unpin.
e	X	Click to close window
f	Sort AZ	Click to sort the care areas by alphabetical order.
g	x Close Care Areas	Click to close menu

17.3 Care Area Notes

Notes:

- Care area notes default to read only.
- Surveyors can edit their own notes and add additional notes.
- All surveyors' care area notes are viewable by default. Check **Show Only My Notes** check box to show only the notes of the surveyor who is logged in. See [Resident Initial Pool Screening Overview](#) for more details.

17.3.1 Click **Add Notes**. See *Figure 111, Care Area Notes Icon*. The care area splits into two columns. See *Figure 112, Care Area Notes* and *Table 19, Care Area Notes Detailed Callout*.

Note: The left column displays the response options and probe text (when **Hide All Probes** is unchecked). The right column displays a text area with a tool bar.

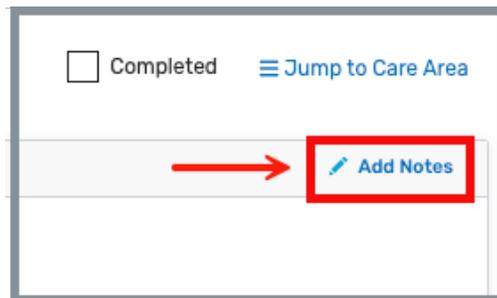


Figure 111: Care Area Notes Icon

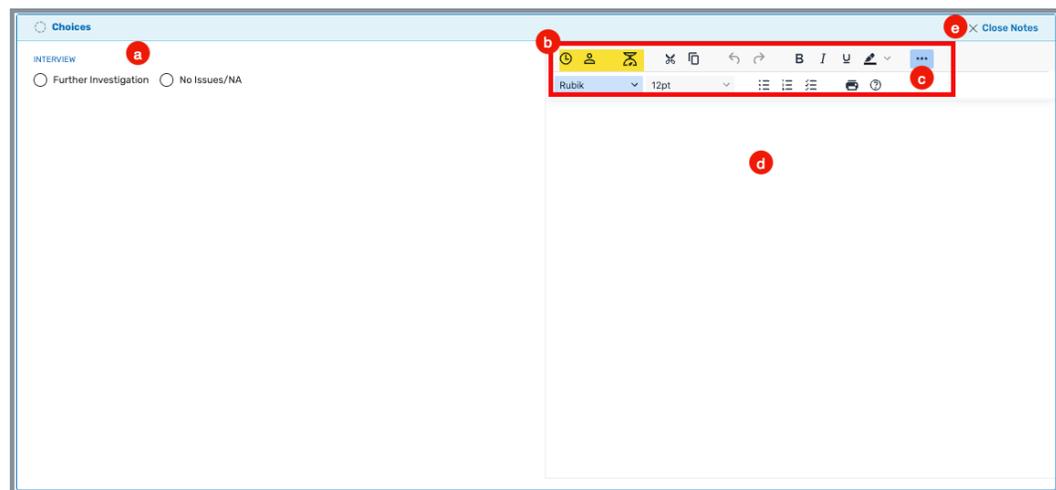


Figure 112: Care Area Notes

Table 19: Care Areas Side Menu Detailed Callout

No.	Description
a	Care area
b	Standard toolbar functions Highlighted specialty toolbar functions: <ul style="list-style-type: none"> • Add date/time stamp • Add Resident ID • Calculator Type weights in Weight Calculator . Click Save . Then click the weight calculator icon to paste the value in the notes.
c	Horizontal ellipsis. Click to open second row of formatting choices. Click again to close row.
d	Text area. Type/view care notes.
e	Close Notes

17.3.2 Click **Close Notes** to close notes. Notes appear under the care area. See *Figure 113, Care Area Entered Notes*.

Notes:

- Notes are saved automatically.
- The surveyor and date/time stamp for last saved are displayed at the bottom of the note. To review the note or additional notes, click **Add Notes**. Click the time icon to add an additional time/date when the notes are not written at the same time.

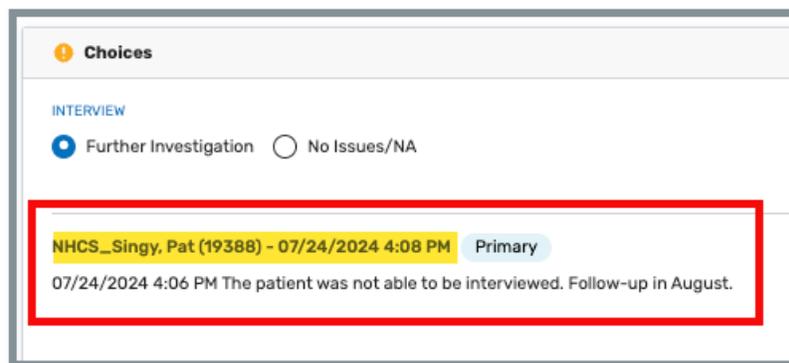


Figure 113: Care Area Entered Notes

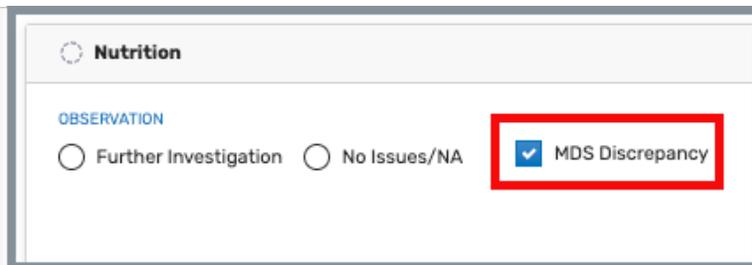
17.4 Minimum Data Set (MDS) Discrepancy

Notes:

- If Resident Assessment has not been triggered and there are residents who are marked with MDS Discrepancy and is not Further Investigation (FI), then Resident Assessment will be triggered at start sample finalization and the resident will be added at that time.
- When a care area is marked as an MDS Discrepancy and is not FI, the resident is automatically added to Resident Assessment if the facility task is triggered for a linked Intake or manually initiated prior to final sample.
- See [MDS Information](#) for detailed information on viewing MDS assessment information.

Click the checkbox next to **MDS Discrepancy** when a care area has an MDS discrepancy during interview, observation, or record review. See *Figure 114, MDS Discrepancy Checkbox*.

Note: Only care areas mapped to an MDS indicator have an **MDS Discrepancy** checkbox.



The screenshot shows a form titled "Nutrition" under the "OBSERVATION" section. There are three radio button options: "Further Investigation", "No Issues/NA", and "MDS Discrepancy". The "MDS Discrepancy" option is selected, indicated by a blue checkmark in the radio button, and is highlighted with a red rectangular box.

Figure 114: MDS Discrepancy Checkbox

17.5 Surveyor Assignment

Purpose: To assign multiple surveyors on the survey team to the resident.

The assigned surveyor can perform the following tasks in the Initial Pool area. See *Table 20, Assigned Surveyor Roles*.

Note: Surveyors not assigned to the resident view the Initial Pool area in read only mode.

Table 20: Assigned Surveyor Roles

Task	Primary Assigned Surveyor	Non-primary Assigned Surveyor
Mark a resident with Harm/IJ	X	X
Mark Interview, Observation, or Record Review Complete	X	X
Mark the care area response options for Interview, Observation, Record Review	X	X
Edit care areas marked with FI (original surveyor only)	X	X
Edit the MDS Discrepancy (original surveyor only)	X	X
Edit an Additional Care Area in Record Review that has no response options. Only the original surveyor can edit the Additional Care Area that has a response.	X	X
Edit own comments for a care area	X	X
Edit the Initial Pool status indicator to any option	X	
Edit the Interview Status to any option	X	
Edit the interview Status to Representative Interview only	X	X

17.6 Include a Resident in Initial Pool

Note: The initial pool status selector can only be changed by the primary surveyor.

- 17.6.1 Click **Initial Pool** status to change the initial pool status for a resident to yes. See *Figure 115, Initial Pool Status*. The **Initial Pool** status window pops up.

Note: The initial pool status can be selected wherever it is found on the screen. The figure below is one example where the status is found.



Figure 115: Initial Pool Status

- 17.6.2 Select the radio button next to **Yes**. See *Figure 116, Initial Pool Status Change*.

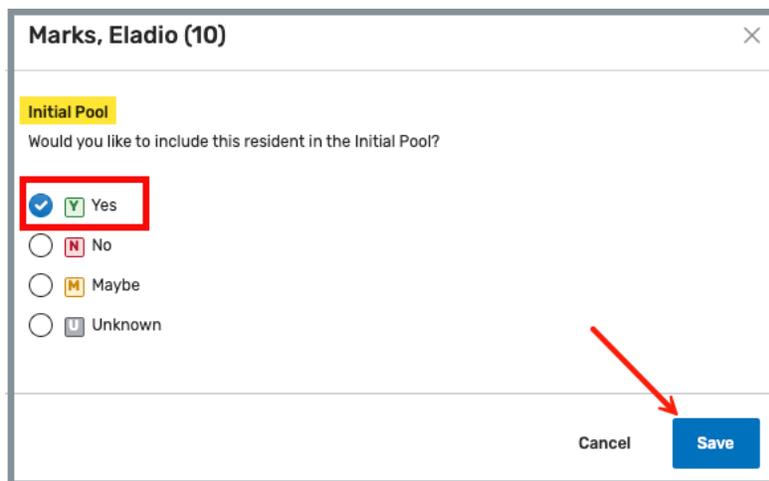
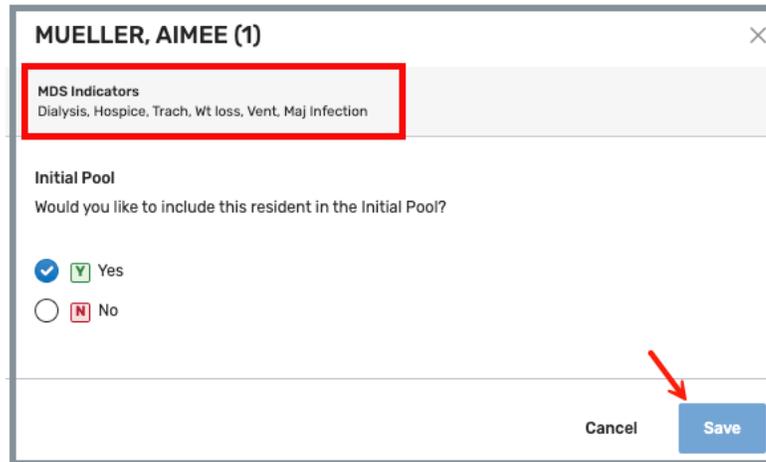


Figure 116: Initial Pool Status Change

Note: Offsite-selected residents show MDS indicators. See *Figure 117, Initial Pool Status Change with MDS Indicators.*



MUELLER, AIMEE (1)

MDS Indicators
Dialysis, Hospice, Trach, Wt loss, Vent, Maj infection

Initial Pool
Would you like to include this resident in the Initial Pool?

Y Yes
 N No

Cancel Save

Figure 117: Initial Pool Status Change with MDS Indicators

17.6.3 Click **Save**.

17.6.4 Verify the initial pool status is now **Y**.

17.7 Resident Interview

Notes:

- The **Interview** tab is the default tab.
- Mark the **Interview** tab **Completed** marks the **Interview** tab with a green check mark. See *Figure 118, Interview Tab Completed*.

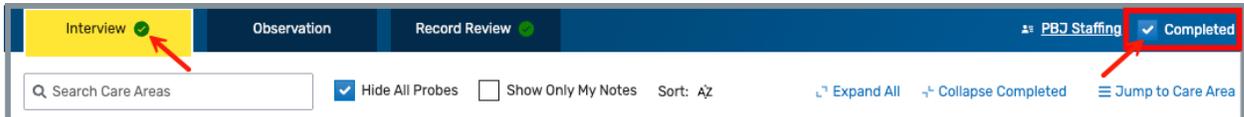


Figure 118: Interview Tab Completed

17.7.1 Edit the Care Areas.

Select an interview status to edit the **Interview** tab. See *Figure 119, Select Interview Status*. The care area responses become editable.

No Issues/NA (NI): Marks the care area with a green check mark.

NA: Dialysis, smoking, hospice, ventilator, and transmission-based precautions care areas have a separate NA option.

Further Investigation (FI): Marks the care area with a yellow circle with an exclamation point inside. See *Figure 120, Further Investigation Indicator*.

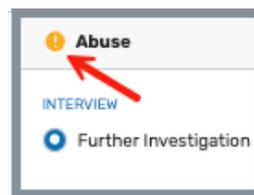


Figure 119: Further Investigation Indicator

Notes:

- Care Area response options are disabled until the Initial Pool status is **Yes**.
- Care areas shared by **Interview** and **Observation** are combined and displayed on the **Interview** tab.

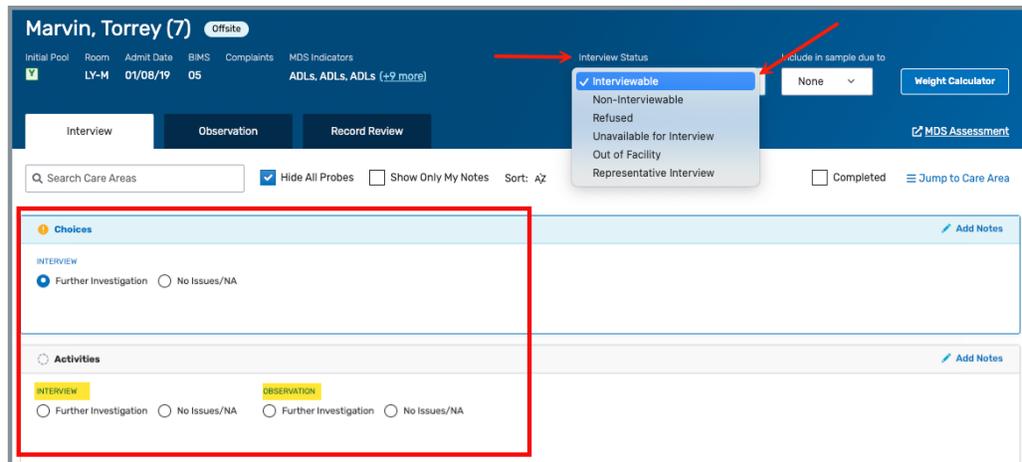


Figure 120: Select Interview Status

17.7.2 Resident Representative Interview.

17.7.2.1 Change the **Interview Status** to **Representative Interview** when a resident is noninterviewable, but a representative is available.

17.7.2.2 Click **RRI Contact**. See Figure 121, *RRI Contact*. The **RRI Contact Info** opens.



Figure 121: RRI Contact

17.7.2.3 Type the contact information for the resident representative in the pop-up window. See Figure 122, *RRI Contact Info Pop-Up Window*.

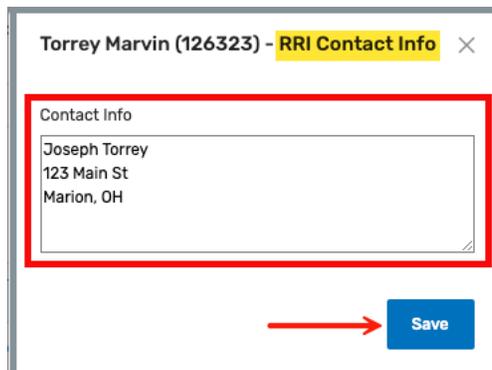


Figure 122: RRI Contact Info Pop-Up Window

17.7.2.4 Click **Save**.

17.7.2.5 The RRI contact icon appears next to the **RRI Contact** link. See *Figure 123, RRI Contact Icon*.

Note: The icon shows that there is an RRI contact. Hover over the icon to see the contact information.



Figure 123: RRI Contact Icon

17.7.2.6 Click **RRI Contact** to edit.

17.8 Resident Observation

Notes:

- Care areas shared by **Interview** and **Observation** are combined and displayed on the **Interview** tab.
- The care areas unique to Observation only display on the **Observation** tab.
- Mark the **Observation** tab **Completed** marks the **Observation** tab with a green check mark. See *Figure 124, Observation Tab Completed*.

Note: All care areas do not have to be marked with response options to mark the Observation **Completed**.

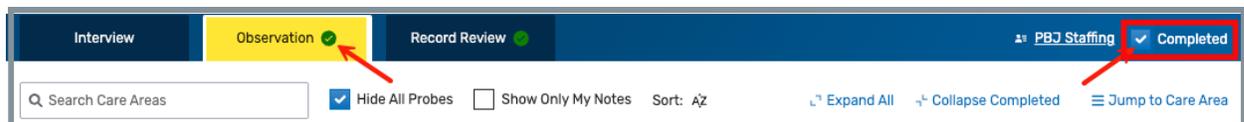


Figure 124: Observation Tab Completed

Click the **Observation** tab to view the care areas specific to Observation.

Note: The **Initial Pool** status must be **Y** (Yes) to edit the Observation.

17.9 Resident Record Review

Notes:

- Mark the **Record Review** tab **Completed** marks the **Record Review** tab with a green check mark. See *Figure 125, Record Review Tab Completed*.
- All care areas do not have to be marked with response options to mark the Record Review complete.

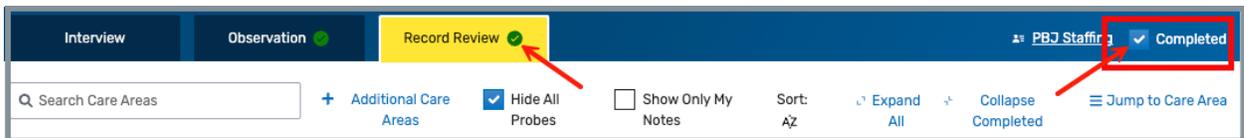


Figure 125: Record Review Tab Completed

17.9.1 Click the **Record Review** tab to view the care areas specific to Record Review.

Note: The **Initial Pool** status must be **Y** (Yes) to edit the Record Review.

17.9.2 Click **Additional Care Areas** to see a list of other care areas to add to **Record Review**. See *Figure 126, Additional Care Areas*.

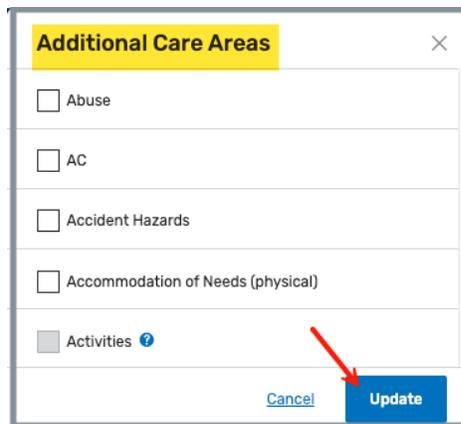


Figure 126: Additional Care Areas

17.9.3 Click **Update** to add additional care areas to **Record Review**.

Note: Once a response option is recorded for a Care Area, it cannot be removed from the **Additional Care Areas** list. Remove the response option first to remove the Care Area from Resident Record Review.

18. Closed Record Sample

Purpose: The Closed Record Sample screen displays residents who are identified as Expired, Hospitalized or Discharged in the last 90 days from the survey start date.

Notes:

- The TC is the only one who has edit access to closed record sample. All other team members have read-only access.
- It is not necessary to find a resident for a specific area when the system does not identify a resident for an area.

18.1 Overview

Click **Closed Record Sample** on the drop-down left menu under **Initial Pool**. The Closed Record Sample window opens to the **Closed Record Candidates** tab. See *Figure 127, Closed Record Sample Candidates* and *Table 21, Closed Record Sample Candidates Detailed Callout*.

Notes:

- Only the TC has edit rights to **Closed Record Sample** candidates. All survey team members have view only rights.
- **All Residents** tab displays all the residents in the facility.

- **Closed Record Candidates** (default view) tab displays:
 - Residents are preselected by the system. The **Area of Investigation** is not editable.
 - Offsite selected residents in **Resident Manager** who were discharged during the initial pool process.
 - Offsite selected residents, when the **Intake Closed Record** reason is selected in Offsite Prep and the resident is discharged with a different **Closed Record Reason**. In the **Closed Record Candidates** screen, the system displays the **Resident Closed Record Reason**, the **COMP/FRI** badge next to the CR resident, and shows a link to the active intake.
 - Non-Offsite Selected Residents, when the **Intake Closed Record** reason is selected in Offsite Prep and the non-offsite resident is discharged with no **Closed Record Reason** then the resident will not be displayed on the **Closed Record Candidates** screen.
 - Residents linked to an intake in **Offsite Prep** with an **Intake Closed Record** reason and/or **Resident Closed Record** reason.

Note: **View Intake** link is shown in the **Intake** column when a resident is linked to an intake from **Offsite Prep**.

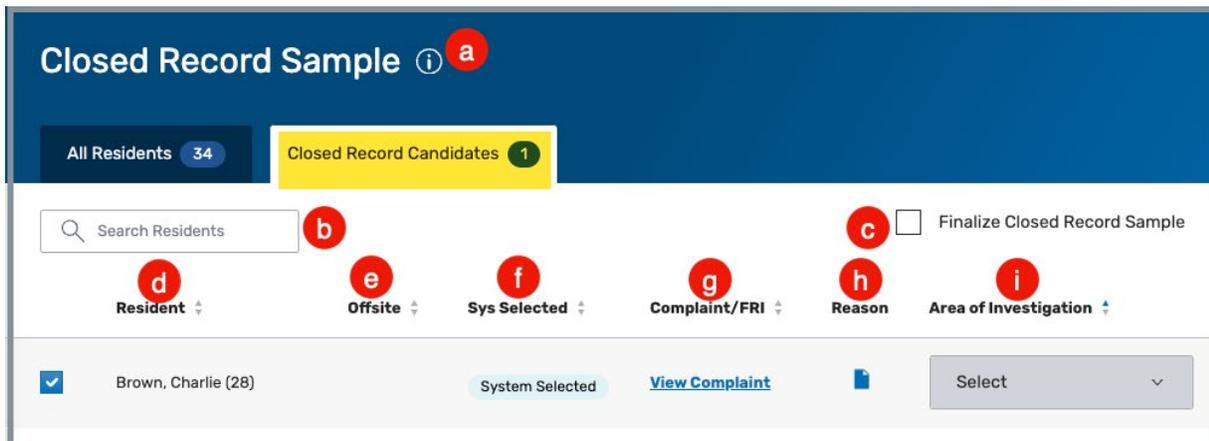


Figure 127: Closed Record Sample Candidates

Table 21: Closed Record Sample Candidates Detailed Callout

No.	Detail	Description
a	Information icon	Hover over icon for details on the types of discharge reasons.
b	Search Residents	Search for a specific resident
c	Finalize Closed Record Sample	Check the box next to Finalize Closed Record Sample once all residents are selected. The residents selected for closed record sample are displayed on the Finalize Sample and Investigation Assignments screens.
d	Resident	Lists the resident and their room number.
e	Offsite	The Offsite badge shows in this field when the selected resident is an offsite-selected resident.
f	Sys Selected	Shows System Selected badge when the closed record sample was selected by the system.
g	Intake	Links to the complaint.
h	Reason	Shows reason. Hover over icon to view description. Not all residents have a reason.
i	Area of Investigation	Select the area of investigation from the drop-down menu. Only for nonsystem selected residents.

18.2 Add a Closed Record Sample Candidate

Purpose: To add additional Closed Record Candidates.

18.2.1 Click the **All Residents** tab.

18.2.2 Click the checkbox next to the resident.

Note: A warning message pops up when the resident is an active resident. See *Figure 128, Active Resident Pop-Up Window*. Click **Yes** to add the resident to the **Closed Record Candidate** tab.

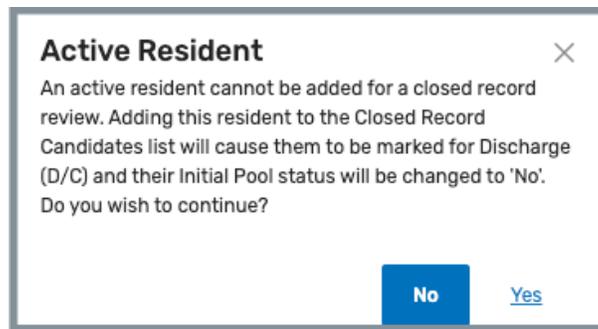


Figure 128: Active Resident Pop-Up Window

18.3 Remove a Closed Record Sample Candidate

18.3.1 Click the **Closed Record Candidates** tab.

18.3.2 Deselect the checkbox next to the resident.

Notes:

- Type a rationale in the textbox when a system-selected resident is removed.
- A system-selected resident and offsite-selected resident remain on the **Closed Record Candidates** tab even when they are deselected.
- All other residents are removed from the **Closed Record Candidates** tab when they are deselected.

18.4 Finalize the Closed Record Sample Candidate

Notes:

- All residents in the **Closed Record Candidates** tab with a checkmark next to their name are included on the **Finalize Sample** and **Investigation Assignments** page after the closed record selection is finalized.
- **Closed Record Candidates** are not assigned to a surveyor.

Click the **Finalize Closed Record Sample** checkbox. See *Figure 129, Finalize Closed Record Sample Checkbox*.

Notes:

- The closed record selection must be finalized before starting the sample selection process.
- Once **Finalize Closed Record Sample** is checked, the **Closed Record Sample** is read only to all users.

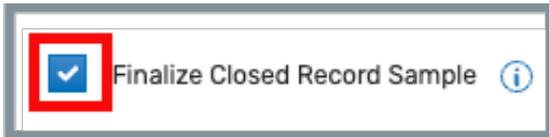


Figure 129: Finalize Closed Record Sample Checkbox

19. Finalize Sample

Purpose: To finalize the sample of residents once observations, interviews and records have been reviewed.

Note: The tabs display data gathered from the initial pool process and provides the survey team with information to help choose residents to include in the sample for investigation.

19.1 Click **Finalize Sample** on the drop-down left menu under **Initial Pool**. The **Finalize Sample** window opens to the **Current Sample Candidates** tab. See *Figure 130, Finalize Sample Candidates* and *Table 22, Finalize Sample Candidates Detailed Callout*.

Notes:

- Only the TC can edit the **Finalize Sample** page.
- Actions are disabled until **Start Sample Finalization** is selected.

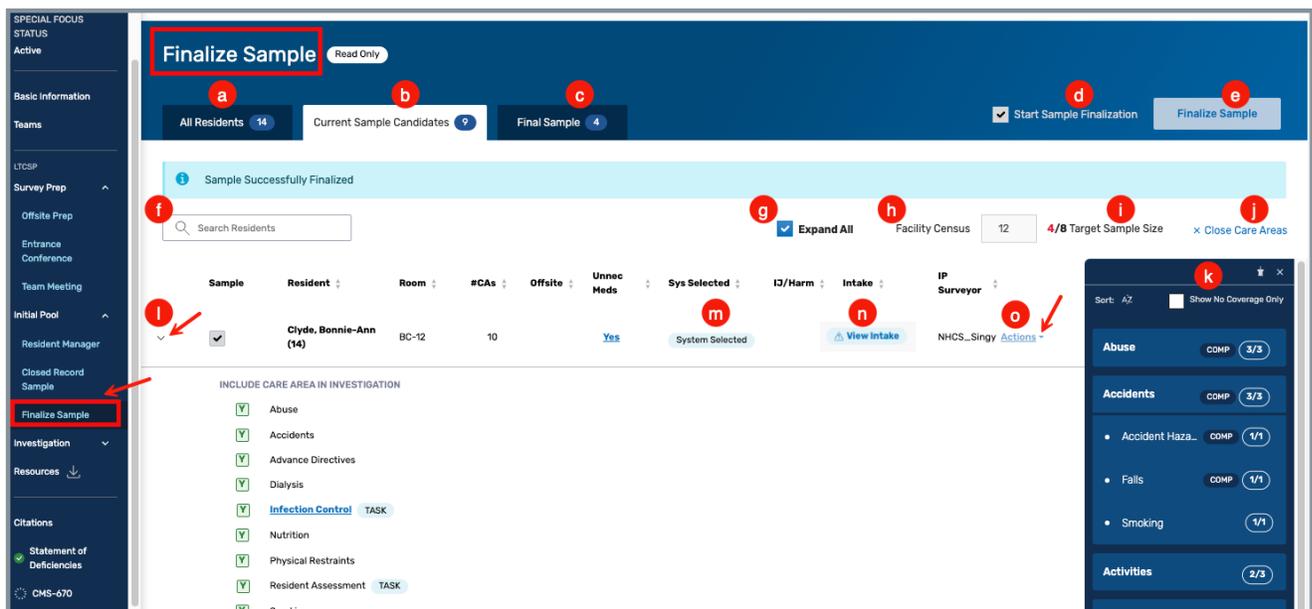


Figure 130: Finalize Sample Candidates

Table 22: Finalize Sample Candidates Detailed Callout

No.	Detail	Description
a	All Residents	All available residents
b	Current Sample Candidates	Current residents in the sample
c	Final Sample	Final residents chosen
d	Start Sample Finalization	Click to start sample finalization. Closed Record Sample must be finalized first.
e	Finalize Sample	Click to complete task
f	Search Residents	Search list of residents
g	Expand All	Click checkbox to expand information
h	Facility Census	Shows the total residents
i	Target Sample Size	Automatically calculates the target sample size based on Facility Census and Sample Candidates .
j	Close Care Areas	Care Areas are open by default. Click to close.
k	Show No Coverage Only	Click to filter to care areas with no coverage
l	Resident Detail	Resident detail is open by default. Click caret to close. Review the care areas under investigation. Links are clickable, but no information can be modified.
m	Unnec Meds	Click to view Unnecessary Meds Calculation Details pop-up window that shows details on why resident was selected for unnecessary medications
n	View Intake	Click to view intake details
o	Actions	Click to Update Resident, Modify Care Areas, and Discharge Unnecessary Meds Candidate

19.2 Click the checkbox next to **Start Sample Finalization**. The **Unnecessary Medications Resident Selection** window pops up. See *Figure 131, Unnecessary Medications Resident Selection*.

Note: **Unnecessary Medications** shows information about residents who have been selected to have their medication reviewed.

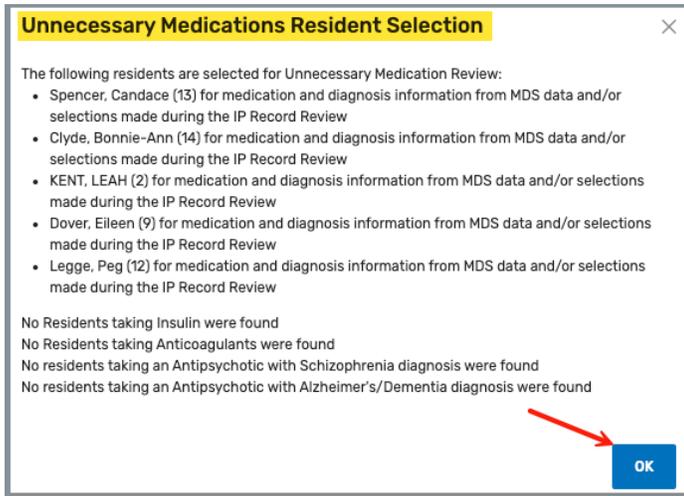


Figure 131: Unnecessary Medications Resident Selection

19.3 Click **OK** to close window. The **Finalize Sample** page is then enabled, and samples can be reviewed.

Note: The badges next to each care area show whether the care area is associated with a facility task or whether the resident was system-selected.

19.4 Click any care areas that are linked to view notes. See *Figure 132, Care Area Detailed Information*.

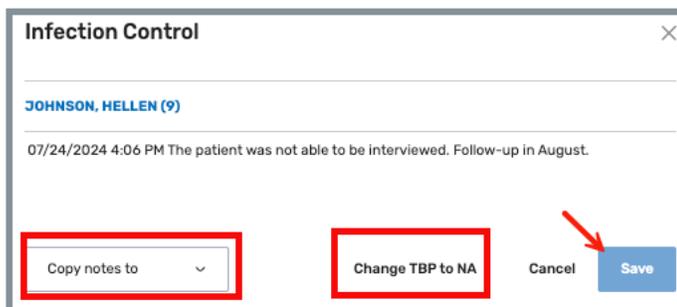


Figure 132: Care Area Detailed Information

Notes:

- Click **Copy notes to** copy notes to another care area.
- Click **Change TBP to NA** to change the response to N/A.
- Not all care areas have the same details available on the pop-up windows.

19.5 Click a green **Y** response to change it to an **N** response. If there are not enough patients in the sample, a warning window opens stating that there are not enough residents in that area. It is still possible to remove the response by providing a rationale. **Select Yes, Remove.** See *Figure 133, Remove a Resident Care Area.*

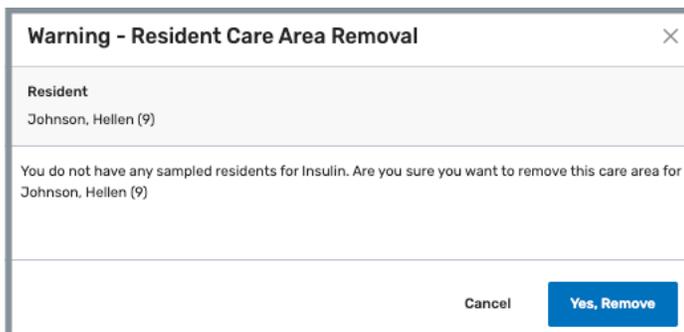


Figure 133: Remove a Resident Care Area

19.6 Click the **Actions** menu to **Update Resident** information, **Modify Care Areas** or **Discharge Unnecessary Meds Candidate.**

19.7 Click **Finalize Sample.**

19.8 Verify the blue notification banner confirms the sample was finalized. See *Figure 134, Sample Successfully Finalized Blue Notification Banner.*



Figure 134: Sample Successfully Finalized Blue Notification Banner

Note: When the sample is not ready to be finalized, a warning window opens with details of what needs to be reviewed or updated. See *Figure 135, Finalize Sample Warning Window.* Type a rationale in the **Rationale** box to override the warning and click **Save.**

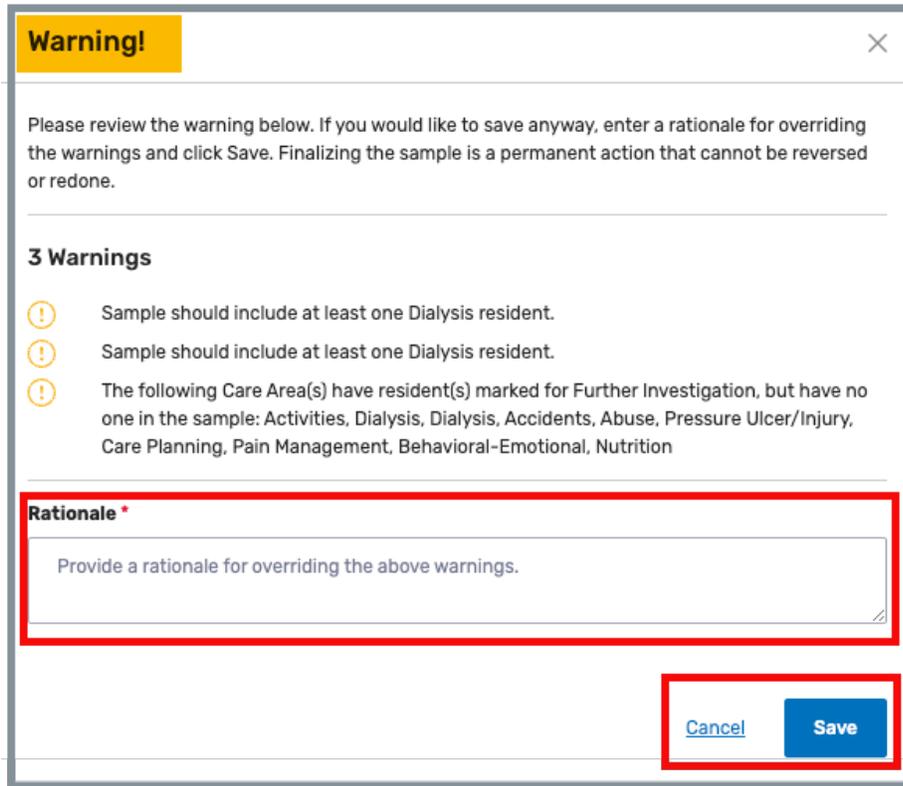


Figure 135: Finalize Sample Warning Window

20. Investigation Assignments

Purpose: To provide a snapshot of how the work is distributed among the team members. It is used to help balance the survey team's workload.

Notes:

- Only the TC can update Investigation Assignments.
- Multiple Surveyors can be assigned to a row.
- A Primary Surveyor must be selected for **Facility Tasks Dining Observation, Infection Control, and Sufficient and Competent Nurse Staffing.**
- Surveyors with drawings, responses, Investigation Notes, observations, or manually-added residents cannot be removed from an Investigation Area.
- Surveyors with drawings, responses, notes, observations, or manually added residents cannot be removed from a Facility Task.
- Investigative areas that have no residents with those specific concerns do not show on the list.
- Mandatory tasks always appear in the list.
- Changes made in Investigation Assignments are reflected in Facility Tasks.

20.1 Navigate to Investigation Assignments

Click **Assignments** on the drop-down left menu under **Investigation**. The Investigation Assignments window opens. See *Figure 136, Investigation Assignments* and *Table 23, Investigation Assignments Detailed Callout*.

Note: Columns are sortable.

The screenshot shows the 'Investigation Assignments' interface. On the left is a navigation menu with 'Assignments' highlighted. The main area displays a table of assignments with columns for Resident, Room, Number of Investigative Areas, Investigative Area, Number of Residents with IA, and Assigned To. A search bar and filter options are at the top.

Resident	Room	Number of Investigative Areas	Investigative Area	Number of Residents with IA	Assigned To
Facility Tasks	--	1	Kitchen	1	NHCS_Singy
Facility Tasks	--	1	Beneficiary Notification	1	NHCS_Singy
Facility Tasks	--	1	Resident Council	1	NHCS_Singy
Facility Tasks	--	1	Dining Observation	1	NHCS_Singy (P)
Facility Tasks	--	1	Medication Storage and Labeling	1	Select

Figure 136: Assignments Left Menu

Table 23: Investigation Assignments Detailed Callout

No.	Detail	Description
a	Survey Team Members names	All available survey team members
b	Search	Search list of residents by first or last name or resident ID. Also search investigative areas by name.
c	Assign to	Select the surveyor or surveyors to assign the investigation when selecting numerous lines. This field only appears when at least one line is selected.
d	Filter By	Filter by surveyor name or unassigned
e	Total Investigative Areas and Investigative Areas Not Assigned	Shows the total investigative areas and the unassigned areas.
f	Resident	Resident name or Facility Tasks
g	Room	Resident room number, if applicable
h	Number of Investigative Areas	Number of investigative areas for the resident
i	Investigative Area	The area being investigated
j	Number of Residents with IA	Number of residents who have that specific investigative area
k	Assigned To	The surveyor or surveyors who are assigned to the investigation

20.2 Assign a Surveyor to an Investigation

20.2.1 Select the **Investigative Area** and select the surveyor or surveyors under the drop-down menu under **Assigned To**. See *Figure 137, Assign a Surveyor to an Investigation*.

Resident	Room	Number of Investigative Areas	Investigative Area	Number of Residents with IA	Assigned To
<input type="checkbox"/>	Facility Tasks	--	1	Kitchen	1
<input type="checkbox"/>	Facility Tasks	--	1	Beneficiary Notification	1
<input type="checkbox"/>	Facility Tasks	--	1	Resident Council	1

NHCS_Singy

NH_CMS_ContractSurveyor_S...

NHCS_Singy

test2.ContractSurveyorCMS.Ch...

Figure 137: Assign a Surveyor to an Investigation

20.2.2 Verify a green task banner confirms the surveyor was updated. See *Figure 138, Facility Task Surveyors Green Notification Banner*.

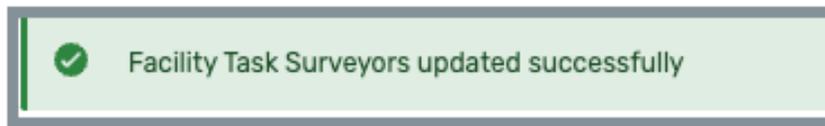


Figure 138: Facility Task Surveyors Green Notification Banner

20.3 Bulk Assign Investigations

- 20.3.1 Select as many **Investigative Areas** as desired. The **Assign [number] to** drop-down menu appears at the top of the screen. The number represents the number of lines selected.
- 20.3.2 Select the surveyor or surveyors under the drop-down menu under **Assigned [number] to**. See *Figure 139, Bulk Assign Investigations*.

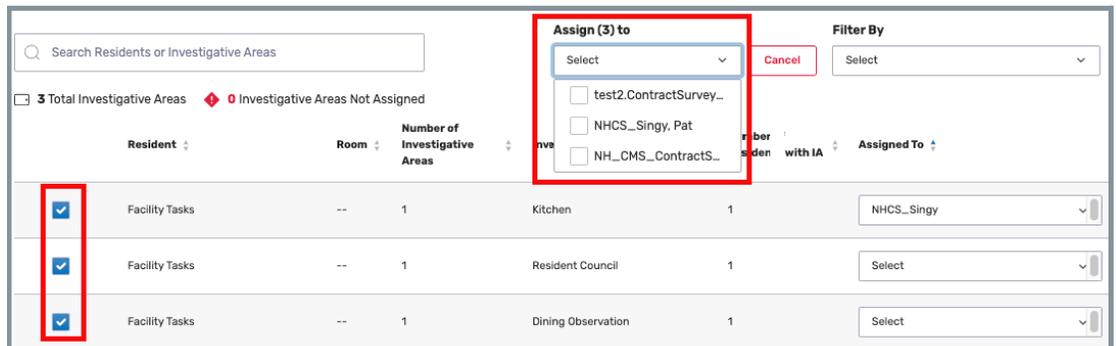


Figure 139: Bulk Assign Investigations

- 20.3.3 The **Confirm Assignment** pop-up window opens and asks for confirmation to assign the surveyor or surveyors. See *Figure 140, Confirm Assignment Pop-Up Window*.

Note: Be aware that a selected surveyor may be overriding a current surveyor when an investigative area was already assigned.

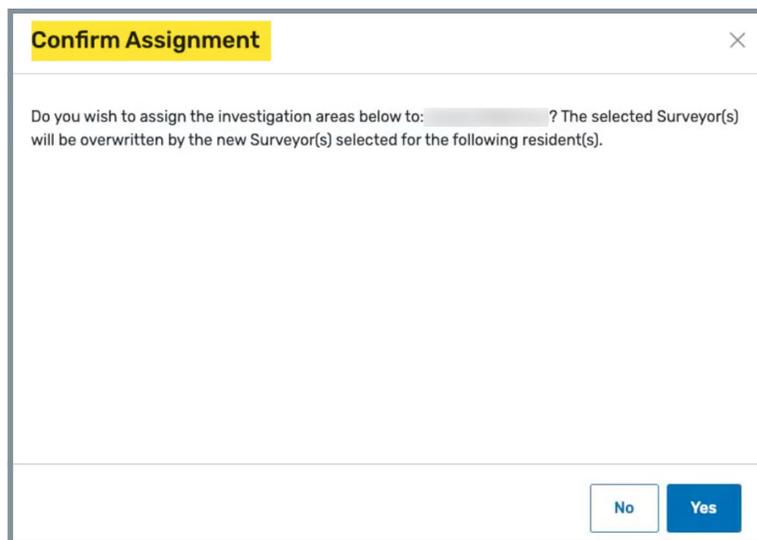


Figure 140: Confirm Assignment Pop-Up Window

20.3.4 Click **Yes**.

20.3.5 Verify a green task banner confirms the surveyor was updated. See *Figure 141, Facility Task Surveyors Green Notification Banner*.

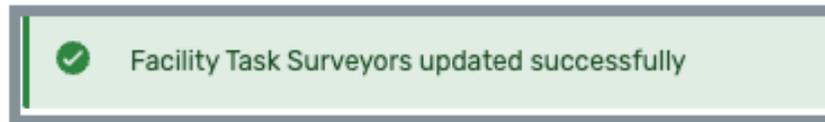


Figure 141: Facility Task Surveyors Green Notification Banner

21. Facility Tasks

Purpose: To guide the investigation with mandatory and triggered tasks.

21.1 Facility Tasks Overview

There are two types of facility tasks: Mandatory and Triggered.

- The following Mandatory Tasks are displayed for all initial and recertification surveys:
 - Beneficiary Notification
 - Dining Observation
 - Infection Control
 - Kitchen
 - Medication Administration
 - Medication Storage and Labeling
 - QAPI and QAA
 - Resident Council
 - Sufficient and Competent Nurse Staffing
- The following are Triggered Tasks for initial and recertification surveys:
 - Arbitration
 - Note:** Arbitration can also be triggered based on answers in Entrance Conference or Resident Council
 - Environment
 - Personal Funds
 - Resident Assessment
 - Extended Survey
- Triggered Tasks are displayed when any one of the following occurs:
 - A surveyor manually initiates a triggered task
 - The triggered task is linked to an intake in offsite prep
 - A resident with FI for a Care Area can trigger these tasks at final sample

21.2 Navigate to Facility Tasks

Click **Facility Tasks** on the drop-down left menu under **Investigation**. The **Facility Tasks** window opens to the **All Tasks** tab. See *Figure 142, Facility Tasks Left Menu*.

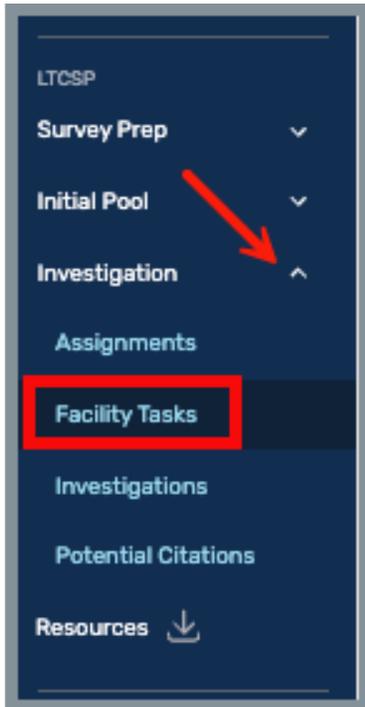


Figure 142: Facility Tasks Left Menu

21.3 View the Facility Tasks List

The **Facility Tasks** page shows all facility tasks, assigned surveyors, including primary surveyor, if any, potential citations, and a task process bar beneath each task. See *Figure 143, Facility Tasks List* and *Table 24, Facility Tasks List Detailed Callout*.

The screenshot displays the 'Facility Tasks' page. At the top, there are navigation links for 'Home / Marion Manor NH / Survey 1DF843-H1' and utility icons. The main header is 'Facility Tasks' with a '+ Add New Task' button. Below the header, there are two tabs: 'All Tasks' (11) and 'My Tasks' (7). The main content area is a table with the following columns: 'Facility Task', 'Assigned to', 'Primary', and 'Potential Citations'. The 'Assigned to' column has a dropdown arrow, and the 'Primary' column also has a dropdown arrow. The 'Potential Citations' column contains links to citation codes. A task process bar is visible for the 'Dining Observation' task, showing a progress indicator and a 'Complaint' label. A red circle 'c' is placed over the 'Dining Observation' task name. Other red circles 'a' through 'g' are placed over various UI elements: 'a' over the 'All Tasks' tab, 'b' over the 'My Tasks' tab, 'd' over the 'Assigned to' dropdown, 'e' over the 'Primary' dropdown, 'f' over the 'Potential Citations' header, and 'g' over a trash icon.

Facility Task	Assigned to	Primary	Potential Citations
Arbitration	NHCS_Singy, surveyor_roberts_alabama (918...		-
Beneficiary Notification	NHCS_Singy		-
Dining Observation Complaint FRI	cmsgu_jgreen, NH_Singy_Contract_Surveyor...	NHCS_Singy	F0804 , F0808
Infection Control	NH_CMSGU_Singy	NH_CMSGU_Singy	-
Kitchen	NHCS_Singy		F0812
Medication Administration	NHCS_Singy, surveyor_roberts_alabama (918...		-

Figure 143: Facility Tasks List

Table 24: Facility Tasks List Detailed Callout

No.	Name	Description
a	All Tasks	This is the default page and shows all tasks for the team.
b	My Tasks	Click this tab to see the tasks assigned to the surveyor. The residents are shown when the surveyor is both primary and nonprimary.
c	Task Completion Progress Bar	Shows the task completion percentage. Hover over the line to view surveyor progress. All Surveyor Progress and Primary Surveyor Progress is shown. Each time tasks are completed by team members, progress is updated.
d	Assigned to	Shows all surveyors to whom the facility task is assigned. More than one surveyor can be selected from the drop-down menu showing all the surveyors on the team. See Assign a Surveyor to a Facility Task or Remove a Surveyor from a Facility Task for more details.
e	Primary	Shows the primary surveyor. The task is disabled when a primary surveyor is not selected.
f	Potential Citations	Lists tags related to questions with a decision of noncompliance for all assigned surveyors. Bold texted tags are tags that the surveyor cited.
g	Trashcan	Click to remove a Facility Task. Review Remove a Facility Task for details.

21.4 Assign a Surveyor to a Facility Task

21.4.1 Click the drop-down menu under **Assigned to** on the desired facility task row. All survey team members are shown in the menu. See *Figure 144, Assign a Surveyor Drop-Down Menu*.

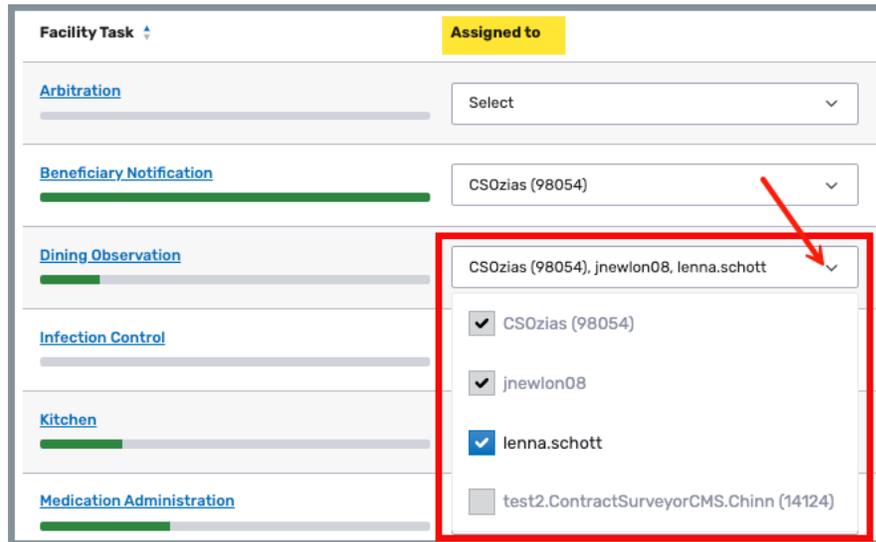


Figure 144: Assign a Surveyor Drop-Down Menu

21.4.2 Check the box next to surveyor to be added.

Notes:

- The surveyor can only add themselves to the task. Only the TC can add other surveyors.
- The **All** selection on the drop-down menu shows only for the TC.

21.4.3 Verify the green notification banner appears. See *Figure 145, Facility Task Surveyors updated successfully*.

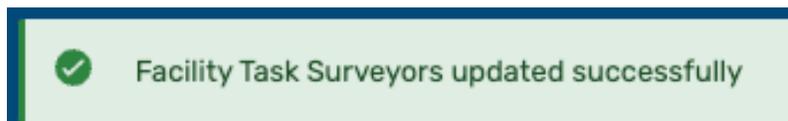


Figure 145: Facility Task Surveyors updated successfully

21.4.4 Does the task require a primary surveyor?

Note: These tasks require a primary surveyor:

- Dining Observation
- Infection Control
- Sufficient and Competent Nurse Staffing

If yes, select a primary surveyor from the drop-down menu under **Primary**. Only the TC can select a primary surveyor. If no primary surveyor is required, no field appears under **Primary**.

21.4.5 Verify the green notification banner appears. See *Figure 146, Facility Task Staff ID updated successfully Notification Banner*.

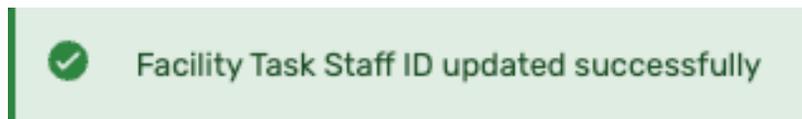


Figure 146: Facility Task Staff ID updated successfully Notification Banner

21.5 Remove a Surveyor from a Facility Task

21.5.1 Click the drop-down menu under **Assigned to** on the desired facility task row. All survey team members are shown in the menu.

21.5.2 Uncheck the box next to surveyor to be removed.

Notes:

- The surveyor can only remove themselves from the task. Only the TC can remove other surveyors.
- Only surveyors without data on the specific Facility Task can be removed from that task.
- The **All** selection on the drop-down menu shows only for the TC.

21.5.3 Verify the green notification banner appears. See *Figure 147, Facility Task Surveyors updated successfully Notification Banner*.

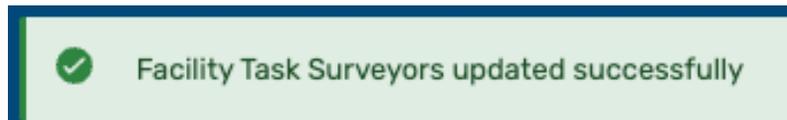


Figure 147: Facility Task Surveyors updated successfully Notification Banner

21.6 Add a Facility Task

Note: Tasks that require a [primary surveyor](#) are disabled until the primary surveyor is added.

21.6.1 Click **+ Add New Task** to add a new task. See *Figure 148, Add New Task*. The **Select One or More Task(s)** pop-up window opens.



Figure 148: Add New Task

Note: **+ Add New Task** clickable link only appears when all the available tasks are not on the **All Tasks** page.

21.6.2 Select one or all tasks from the drop-down menu. See *Figure 149, Select One or More Task(s)*.

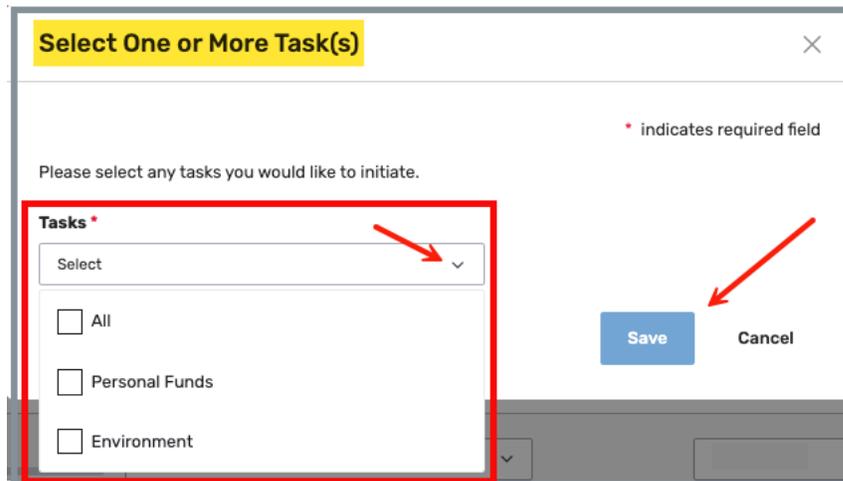


Figure 149: Select One or More Task(s)

21.6.3 Click **Save**.

21.6.4 Verify green notification banner appears. See *Figure 150, Facility Task created successfully Notification Banner*.

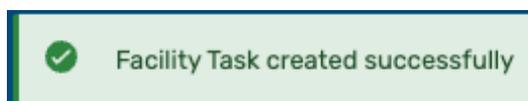


Figure 150: Facility Task created successfully Notification Banner

21.7 Remove a Facility Task

Notes:

- Only the TC can remove tasks.
- Only tasks without data can be removed.

[The task cannot be removed](#)

The trashcan is not clickable, and the black notification box opens when the task cannot be removed because it is linked to an intake in Offsite Prep. See *Figure 151, Task is Linked to an Intake and Cannot Be Removed*.

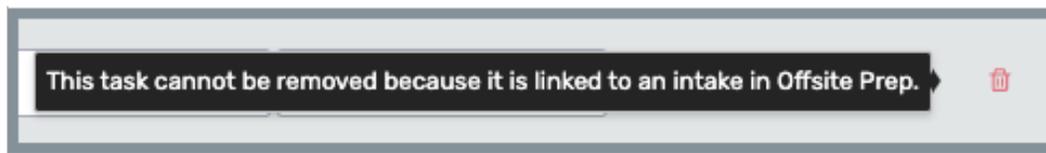


Figure 151: Task is Linked to an Intake and Cannot Be Removed

[The task cannot be removed until data is removed](#)

The trashcan is clickable, and a pop-up window opens that explains what needs to be done before the task can be removed. See *Figure 152, Task Contains Data and Cannot Be Removed Until Data is Removed*.

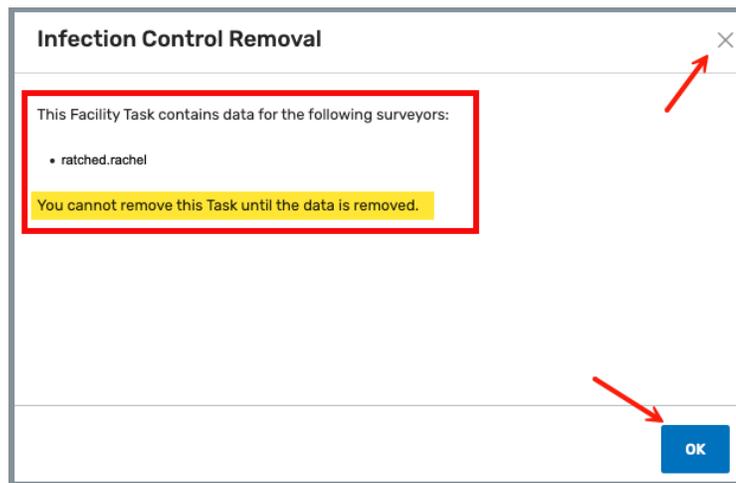


Figure 152: Task Contains Data and Cannot Be Removed Until Data is Removed

The task can be removed

21.7.1 Click the trash icon on the facility task line to remove the facility task. See *Figure 153, Remove a Facility Task*. The **Enter Task Removal Rationale** pop-up window opens.

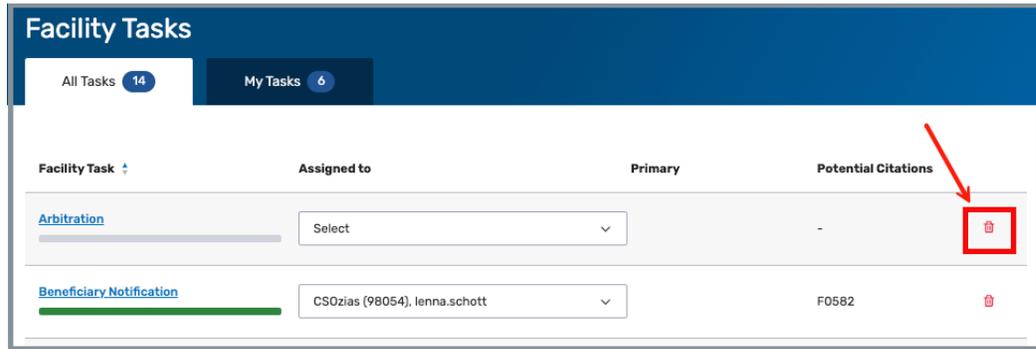


Figure 153: Remove a Facility Task

21.7.2 Select the rationale from the drop-down menu under **Rationale**. See *Figure 154, Enter Task Removal Rationale Pop-Up Window*.

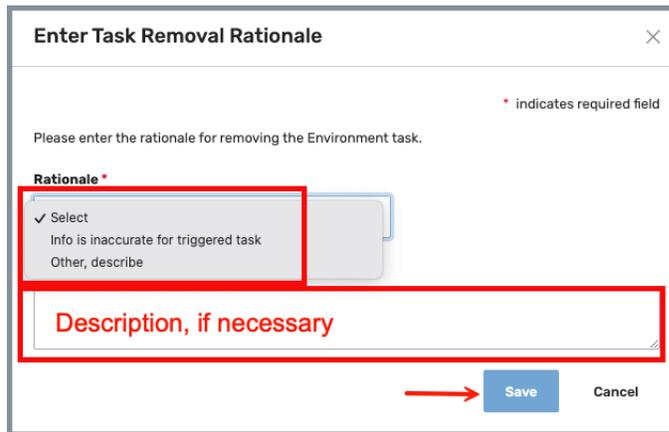


Figure 154: Enter Task Removal Rationale Pop-Up Window

21.7.3 Type a description, if necessary.

Notes:

- It is necessary to add a description when **Other, describe** is selected.
- **Save** is grayed out until all required fields are filled out.

21.7.4 Click **Save**. The task is removed from the **Facility Tasks** list.

21.8 Open a Facility Task

Click any task in the **Facility Tasks** list to open it and view details. See *Figure 155, Clickable Facility Tasks Links*. The task opens in the same window.

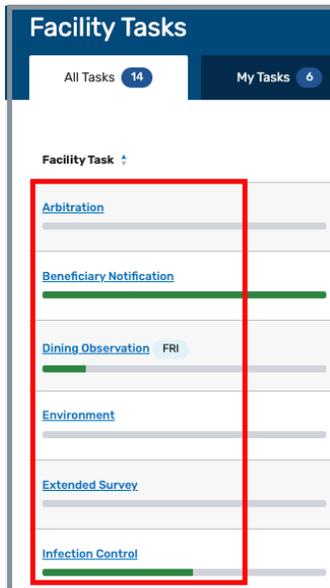


Figure 155: Clickable Facility Tasks Links

Notes:

- Clickable links are available in the **My Tasks** tabs as well.
- Tasks are editable only for the surveyors assigned to the task. Otherwise, the task is read-only.
- Each task has between two and four tabs. All tabs have the [Probes/CE](#) and [Use/Instructions](#) tabs. Some tasks have [Residents](#) and [Drawing Tool](#) tabs.
- The **Medication Administration** task has special callouts. Refer to the [Medication Administration](#) step for further details.
- Each task has a **View Pathway PDF** link. Some tasks have a **View Intakes [Complaint]** link. See *Figure 156, Task Tab Intakes and Pathway Links*. Click to view active intakes or the Pathway PDF.

Note: **View Intakes** only displays when a task is linked to an intake in Offsite Prep.



Figure 156: Task Tab Intakes and Pathway Link

21.9 Facility Task Notes

Purpose: To document notes for each facility task during the survey.

General Notes

- Facility Task Notes are not the same as Surveyor Notes and are in addition to Surveyor Notes. Refer to [Surveyor Notes](#) in this document for further details on those notes.
- Any survey team member assigned to the task can add, edit, delete, or view a Facility Note.

Navigate to Facility Task Notes

- Facility Task Notes can only be accessed and viewed within the specific Facility Task.
- Click the Notes icon on the top right of the screen to open all Notes. The icon is located directly under the user name. See *Figure 157, Notes Icon*.



Figure 157: Notes Icon

- Facility Notes open in combination with Resident Initial Pool and Surveyor Notes. Click on any tab to leave a note for that specific area. See *Figure 158, Facility Notes View*.

Notes:

- The note area that is in use has a white background.
- Initial Pool Notes are only available for Facility Tasks that have linked Care Areas.

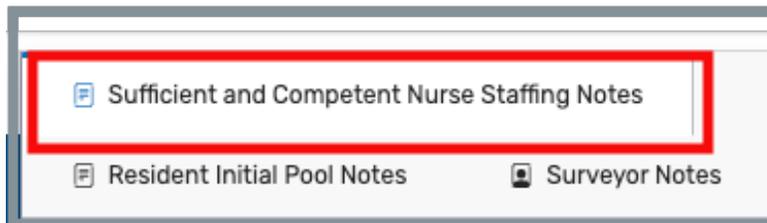


Figure 158: Facility Notes View

- The Facility Notes default to opening on the right. Click the Facility Notes bottom menu icon to open the Facility Notes on the bottom of the page. See *Figure 159, Facility Notes Bottom Screen Icon*.



Figure 159: Facility Notes Bottom Screen Icon

- Facility Notes can be resized on the screen by dragging the left line (when the notes are on the left) or the top line (when the notes are on the bottom) of the Facility Notes panel. Hover over line until the directional arrows are shown, then drag the line in either direction.
- Notes can be left open while navigating to other LTCSP screens.

Create a Facility Note

- Click in the Facility Notes text area to create a note.
- A date/time stamp is automatically inserted when the surveyor starts to type in the text area when the text area is blank. Click Date/Time Stamp icon to insert date for additional notes.
- Type notes. See *Figure 160, Sample Facility Note*.

Note: The notes below are stacked. Drag the window to the left to unstack the notes. They will then be aligned horizontally

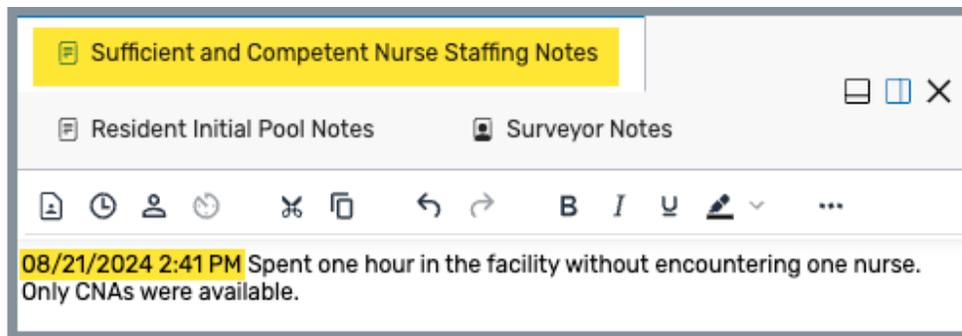


Figure 160: Sample Facility Note

- Facility Notes are autosaved.
- The **Last saved** date and time shows at the bottom of the Facility Notes. See *Figure 161, Facility Notes Last Saved Date and Time*.

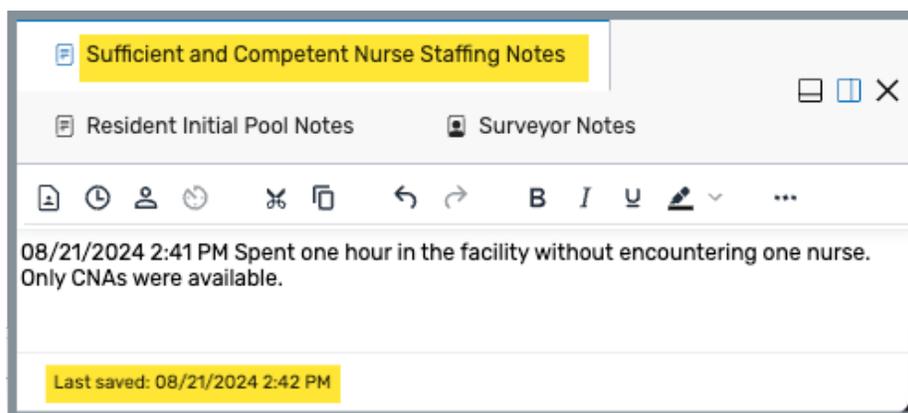


Figure 161: Facility Notes Last Saved Date and Time

Custom Toolbar Functions

There are 4 custom toolbar options among the normal standard formatting options. See *Figure 162, Facility Notes Custom Toolbar Functions*.

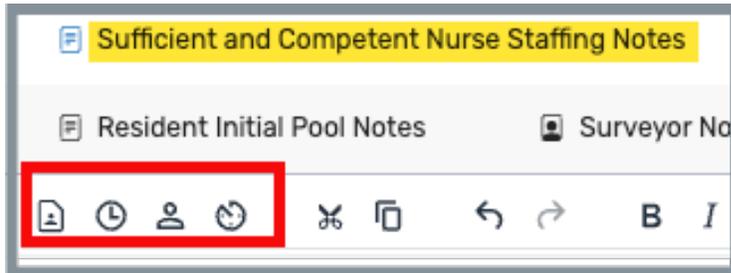


Figure 162: Facility Notes Custom Toolbar Functions

From left to right they are:

- [View All Facility Notes](#)
- [Insert Date/Time Stamp](#)
- [Insert Resident ID](#)
- [Notes History](#)

Note: Hover over the icon to see the name of the icon.

- **View All Facility Notes**

View all team member's Facility Notes. See *Figure 163, View All Facility Notes*. Click any name to view the Facility Note.

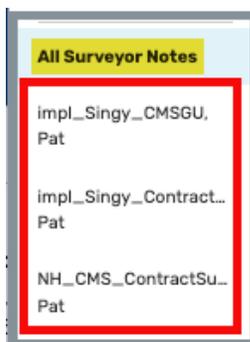


Figure 163: View All Facility Notes

Click **My Notes** to return to the user's Facility Notes.

- **Insert Date/Time Stamp**

Insert the current date/time at the cursor placement.

- **Insert Resident ID**

Select **Resident ID** to be inserted into the Facility Notes. Multiple residents can be selected.

- **Notes History**

View a history of all autosaved Facility Notes entries. If a previously saved entry is deleted in error, it can be accessed from the Facility Notes History and copied and pasted into the current Facility Notes.

- **Help**

There is also a help icon on the toolbar which can be accessed for additional information as well as keyboard shortcuts. See *Figure 164, Facility Notes Formatting Menu*.

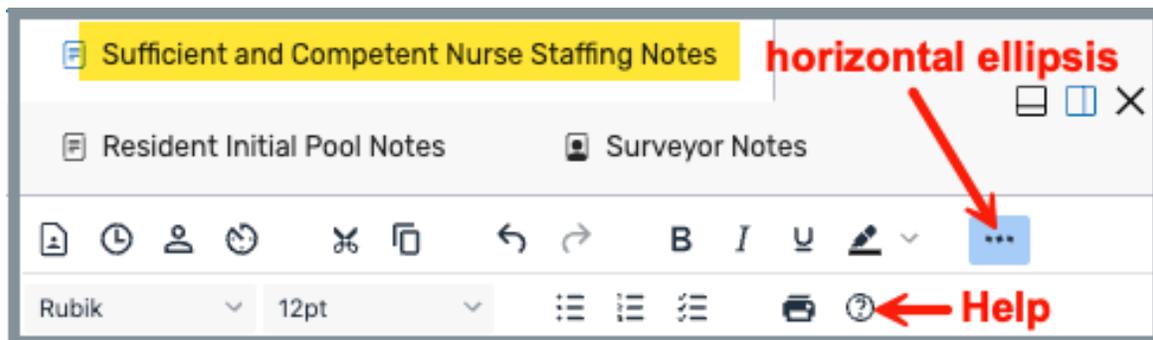


Figure 164: Facility Notes Formatting Menu

Note: Click the horizontal ellipsis to view the second row of formatting options.

21.10 Probes/CE Tab

Purpose: To allow the task assignee to make compliance decisions about the facility and when the facility is not in compliance, select the related tag and severity level.

Notes:

- All tasks have the **Probes/CE** tab.
- All tasks have CE questions, but not all tasks have probe text.
- Team members assigned to this task can respond to the question. All other team members have read-only access.
- This probe tab shows **Dining Observation**. Each Facility Task may look slightly different.

Answer the questions. See *Figure 165, Probes/CE Tab Example* and *Table 25, Probes/CE Tab Example Detailed Callout*.

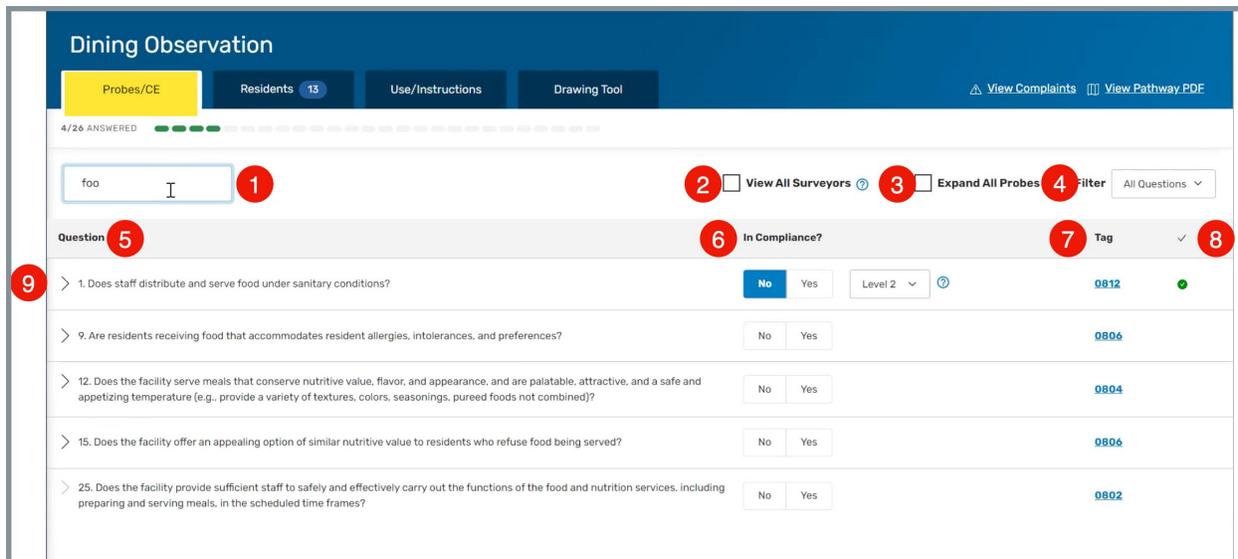


Figure 165: Probes Tab Example

Table 25: Probes/CE Tab Example Detailed Callout

No.	Name	Description
1	Search	Search questions in list to filter to questions with the search criteria.
2	View All Surveyors	Check this box to view answers for other task assignees at the highest level of noncompliance. Probes/CE tab is read-only when viewing all surveyor answers.
3	Expand All Probes	Select to view all probe text related to the Critical Element (CE) questions, where applicable, or to expand a CE question individually with the caret.
4	Filter	Filter on All questions, Answered, and Unanswered questions.
5	Question	Each CE question for the specific mandatory task.
6	In Compliance?	Allows task assignees to make compliance decisions for CE questions. When the response is No , a severity level drop-down menu opens. Select the severity level from 1 to 4. Level 1 No actual harm with potential for minimal harm Level 2 No actual harm with a potential for more than minimal harm that is not immediate jeopardy Level 3 Actual harm that is not immediate jeopardy Level 4 Immediate jeopardy to resident health or safety
7	Tag	Click the tag and the Regulation Text/Interpretive Guidance window pops up. Select Regulation or Interpretive Guidance tabs. See <i>Figure 166, Regulation Text Tag</i> .
8	✓	A white check mark in a green circle is shown in the far right column when the question has been answered.
9	Questions	Each question, when available, can be expanded to view details of the probe. Click the caret next to the probe to expand or click the checkbox next to Expand All Probes to expand all probes. <i>See Figure 167, Expand Question.</i>

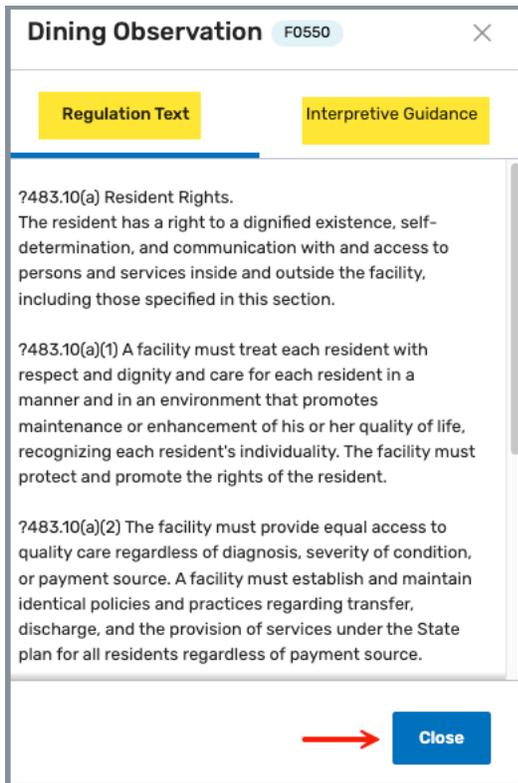


Figure 166: Regulation Text Tag

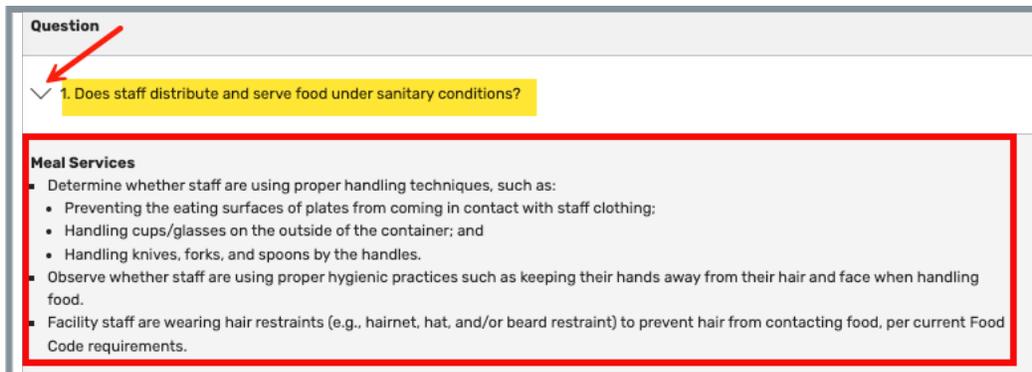


Figure 167: Expand Question

21.11 Residents Tab

Purpose:

Notes:

- The following tasks have the **Residents** tab:
 - Arbitration (triggered)
 - Beneficiary Notification
 - Dining Observation
 - Environment (triggered)
 - Infection Control
 - Personal Funds (triggered)
 - QAPI and QAA
 - Resident Assessment (triggered)
 - Resident Council
 - Sufficient and Competent Nurse Staffing
- The **Residents** tab in the figure below shows **Dining Observation**. Other Facility Tasks that have a **Residents** tab may look slightly different.
- The system automatically adds residents to Facility Tasks based on the following criteria:
 - Residents in the Initial Pool with Care Area FI
 - MDS Indicators of Weight Loss/Dehydration (Dining Observation only)
 - Intake for non-anonymous resident linked to the Facility Task
 - Residents in the Initial Pool with MDS Discrepancy with no concerns (Resident Assessment only)
 - Out of data MDS Assessment (Resident Assessment only)
 - F600 cited (QAPI and QAA only) for noncompliance with severity for Abuse or Neglect Investigative Areas
 - Residents cannot be removed from the task by a surveyor

Review dining information. See *Figure 168, Residents Tab Example* and *Table 26, Residents Tab Example Detailed Callout*.

The screenshot shows the 'Dining Observation' page with a navigation bar at the top. A red arrow points to a back arrow in the top left corner. The page has tabs for 'ProLas/CE', 'Residents 11', 'Use/Instructions', and 'Drawing Tool'. There are also links for 'View Intakes' and 'View Pathway PDF'. A message bar states: 'There is no minimum resident requirement for this task.' Below this is a table with the following columns: Resident, Notes, Room, Admit Date, Originating Initial Pool Area, and Added By. The table contains several rows of resident data. Red circles with letters 'a' through 'g' are overlaid on the table headers and data cells. A red circle with 'h' is overlaid on a 'View Complaint' link.

Resident	Notes	Room	Admit Date	Originating Initial Pool Area	Added By
Dover, Eileen (9)		L-R-L	08/01/2024	Nutrition	NHCS_Singy
KENT, LEAH (2)		60787049	05/24/2024	Food	MDS, NHCS_Singy
Legge, Peg (12)	View Complaint	F-1	07/17/2024		
MUELLER, AIMEE B. (1)		60787057	05/24/2024		MDS
Nutt, Hazel (11)	View FRI	N-8	04/01/2024		
OWEN, KHADJIA (7)		60787045	05/24/2024		MDS

Figure 168: Residents Tab Example

Note: Click the arrow next to the Task name to return to the **Facility Tasks** page.

Table 26: Residents Tab Example Detailed Callout

No.	Name	Description
a	Resident	The name of the resident with Initial Pool number
b	Notes	A notes icon is shown when notes are available. It is possible to view the specific facility task notes, the resident initial pool notes and the surveyor notes. Click icon to view notes.
c	Room	Resident room number
d	Admit Date	Resident admittance date
e	Originating Initial Pool Area	The care area linked to the task where the resident was marked for FI or MDS discrepancy.
f	Added By	<ul style="list-style-type: none"> • Added By is the [Surveyor] who marked the resident FI when marked FI for a linked Care Area. • Added By is MDS when the resident is added for MDS data. • Added By is Initiated by [Surveyor] when the resident was manually added to the task.
g	Trashcan	Only manually-added residents can be removed. See Remove Residents from a Task for more details.
h	Intake tag	An intake tag with a clickable link is shown next to a resident when an intake is associated with that resident.

21.12 Add Residents to a Task

Purpose: To manually add a resident to a facility task.

Notes:

- The **Add Residents for Task** button is not used to add a resident to a facility or survey.
- When a resident is added to a specific task, it is valid for that task only.
- Any survey team member can add a resident to a task.
- The **Add Residents for Task** button can be viewed in:
 - Survey Prep (Offsite Prep, Entrance Conference, Team Meeting)
 - Initial Pool (Resident Manager, Closed Record Sample, Finalize Sample)
 - Investigation (Facility Tasks, Investigations, Potential Citations).

21.12.1 Click the **Add Residents for Task** icon on the top right of the screen. See *Figure 169, Add a Resident for Task Icon*. The **Add Residents for Task** window opens. See *Figure 170, Add Residents for Task* and *Table 27, Add Residents for Task Detailed Callout*.

Note: It is located directly under the user name and next to the [Surveyor Notes](#) icon.



Figure 169: Add a Resident for Task Icon

21.12.2 Select the Facility Task from the drop-down menu next to **Add Residents to** field.

Notes:

- More than one Facility Task can be selected.
- The Survey Team Member who manually adds the resident is automatically added as a task assignee.

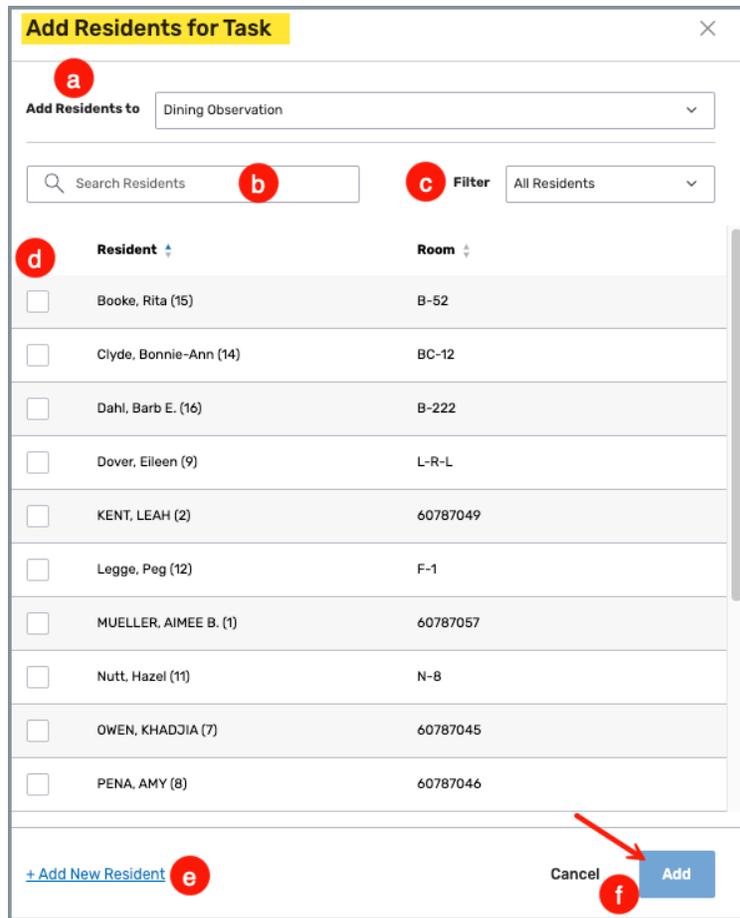


Figure 170: Add Residents for Task

Table 27: Add Residents for Task Detailed Callout

No.	Description
a	Add a Resident to one or more Facility Tasks. Select from the drop-down menu. Note: It is not necessary to select the specific task when adding a resident when the facility task is open. The facility task is automatically shown.
b	Search residents in list by name, room number, resident ID.
c	Filter on All Residents or only selected residents.
d	Check the box next to each resident to be added. More than one resident can be added at once.
e	Add a new resident , if necessary. Once the new resident is added, it is possible to select them from the resident list to add to a Facility Task.
f	Click Add [number] to set the facility task for each resident. Otherwise, click Cancel . Note: Add is grayed out until a resident is selected. The number to be added is updated when the resident is selected. For example, if five residents are selected, Add reads Add 5 .

21.12.3 Verify the green notification banner indicates the resident or residents were added successfully. See *Figure 171, Facility Task Residents Created Successfully*.



Figure 171: Facility Task Residents Created Successfully

Note: When no residents or an insufficient number of residents are on the task, the **Resident** tab shows the following:

- **There are no residents added to this task.** See *Figure 172, There Are No Residents Added to Task*. Click **+ Add Residents** to add residents and follow instructions in this step.

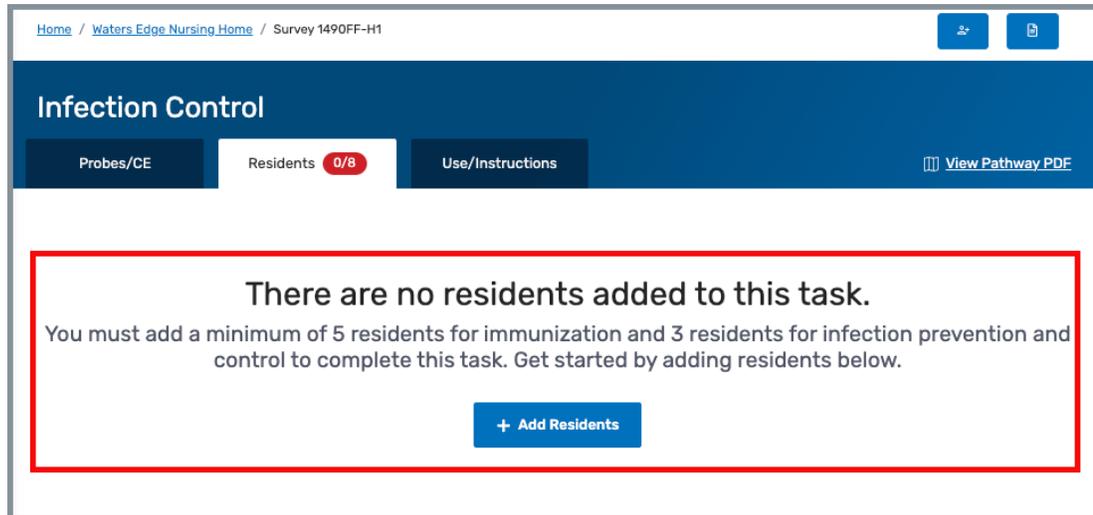


Figure 172: There Are No Residents Added to Task

- **You haven't met your resident minimum of [number] residents yet** notification banner. See *Figure 173, You haven't met your resident minimum of residents Notification*. Follow the step [Add Residents to a Task](#) to add the necessary minimum of residents.

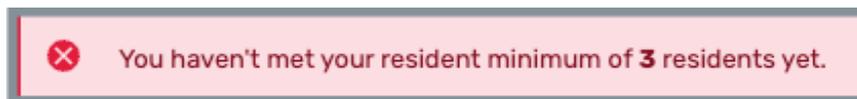


Figure 173: You haven't met your resident minimum of residents Notification

21.13 Remove Residents from a Task

Purpose: To remove a resident from a specific task.

Notes:

- Only manually-added residents can be removed from a task.
- When a resident is removed from a specific task, it is valid for that task only.
- Any Survey Team Member with edit access to the task can remove manually-added residents from a task.

21.13.1 Click the trashcan icon to the right of the resident name. See *Figure 174, Remove a Resident*. A **Yes, Remove** pop-up window opens.

Note: The trashcan must be red to be active. Grayed out trashcans mean the resident has either been system-added, or another user added the resident.

Resident	Notes	Room	Admit Date	Originating Initial Pool Area	Added By	
Able, Eve (19)		108	09/29/2023	Food, Nutrition	CSOzias (98054)	
Adams, Jane L. (29)		105	10/04/2023	Initiated by impl_Singy_Contract_Surveyor		
Anderson, Nancy A. (8)		100		Food	MDS, CSOzias (98054)	

Figure 174: Remove a Resident

21.13.2 Verify the correct resident is being removed. See *Figure 175, Yes, Remove*.

Remove - Adams, Jane L. (29) ✕

Are you sure you want to remove the following resident from the task?

Adams, Jane L. (29)

Cancel Yes, Remove

Figure 175: Yes, Remove

21.13.3 Click **Yes, Remove**.

21.13.4 Verify green notification banner appears. See *Figure 176, Resident Successfully Removed from Task*.

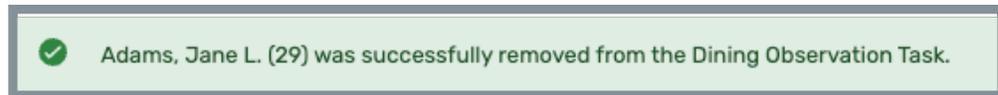


Figure 176: Resident Successfully Removed from Task

21.14 Use/Instructions Tab

Purpose:

Notes:

- All tasks have the **Use/Instructions** tab.
- This **Use/Instructions** tab shows **Beneficiary Notification**. Each Facility Task may look slightly different.
- Some **Use/Instructions** tabs may have links to additional documentation. Those links are on the top right menu.

Note: **Use/Instructions** default to open.

21.14.1 Click **Use/Instructions** tab to view the use and instructions for the facility task.

21.14.2 Click the caret next to **Use** to view the use text. Click the caret next to **Instructions** to view the instructions. See *Figure 177, Use/Instructions*.

Beneficiary Notification

Probes/CE Residents **0/3** Use/Instructions [View Pathway PDF](#)

Use

Beneficiary Notification Review: Complete the review for residents who received Medicare Part A Services. Medicare beneficiaries have specific rights and protections related to financial liability and the right to appeal a denial of Medicare services under the Medicare Program. These financial liability and appeal rights and protections are communicated to beneficiaries through notices given by providers. This protocol is intended to evaluate a nursing home's compliance with the requirements to notify Medicare beneficiaries when the provider determines that Medicare Part A coverage is ending or when services may no longer be covered. This review confirms that residents receive timely and specific notification when a facility determines that a resident no longer qualifies for Medicare **Part A** skilled services when the resident has not used all the Medicare benefit days for that episode. This review does not include Admission notifications or Medicare Part B only notifications.

The two forms of notification that are evaluated in this review are:

1. **Skilled Nursing Facility Advance Beneficiary Notice of Non-coverage (SNF ABN)--Form CMS-10055**, and
2. **Notice of Medicare Non-coverage (NOMNC)--Form CMS 10123**.

Instructions

Entrance Conference Worksheet: The following information was requested during the Entrance Conference:

- A list of Medicare beneficiaries who were discharged from a Medicare covered Part A stay with benefit days remaining in the past 6 months prior to the survey. Exclude the following residents from this review:
 - Beneficiaries who received Medicare Part B benefits only.
 - Beneficiaries covered under Medicare Advantage insurance.
 - Beneficiaries who expired during the sample date range.
 - Beneficiaries who were transferred to an acute care facility or another SNF.

Figure 177: Use/Instructions

21.15 Drawing Tool Tab

Purpose: To create a drawing detailing an issue.

Notes:

- The **Dining** and **Kitchen** Facility Tasks have the **Drawing Tool** tab.
- Only task assignees can use the drawing tool. All team members can view the drawing.
- Drawing pages can have multiple pages.
- The drawing is automatically saved.

21.15.1 Click the **Drawing Tool** tab to create a drawing for the facility task.

21.15.2 Click the pencil icon (a) to start drawing. See *Figure 178, Drawing Tool Tab Example* and *Table 28, Drawing Tool Tab Example Detailed Callout*.

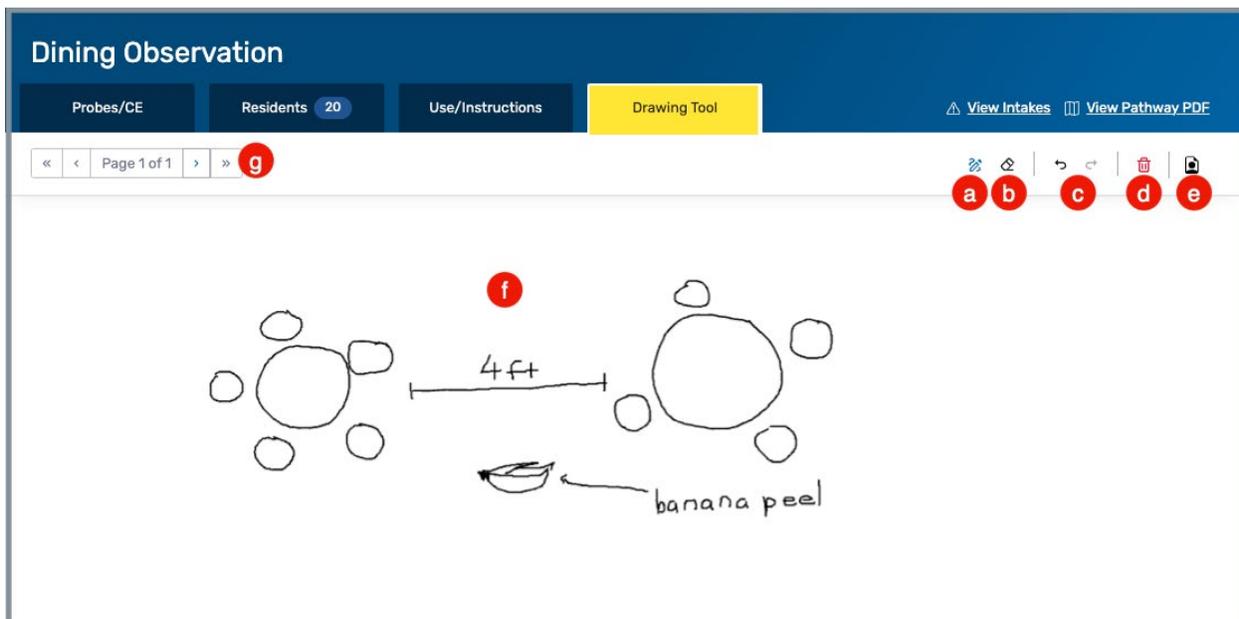


Figure 178: Drawing Tool Tab Example

Table 28: Drawing Tool Tab Example Detailed Callout

No.	Name	Description
a	Pencil icon	Click to start drawing.
b	Eraser icon	Click to erase parts of the drawing.
c	Undo/Redo icons	Click to undo the most recent action or to redo an action that was undone.
d	Trashcan icon	Click trashcan to remove all pages of the drawing. A pop-up window verifies removal.
e	Other Drawings	View all surveyor drawings. See <i>Figure 179, All Surveyor Drawings</i> .
f	Blank space	Draw in the blank space.
g	Pages	Click the single arrow to create a new drawing page or to review multiple pages of drawings.

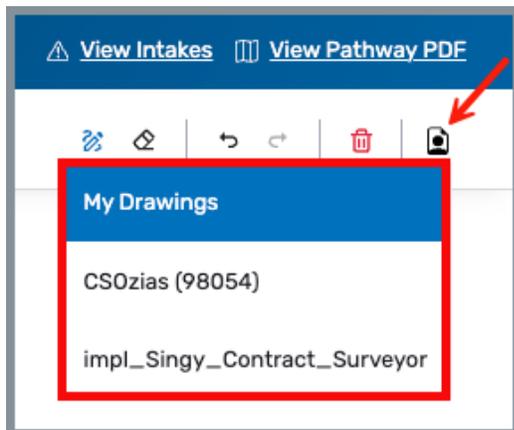


Figure 179: All Surveyor Drawings

21.16 Medication Administration

Purpose: To document a minimum of 25 medication observations and determine facility compliance for the task

Notes:

- The Medication Administration Facility Task is called out because it has additional information not found on other tasks, including the **Observation** Tab.
- Refer to [Probes/CE Tab](#) and [Use/Instructions Tab](#) for information on these tabs.

[Open Observations Tab in Medication Administration](#)

[Add or Edit a Medication Observation](#)

[Delete a Medication Observation](#)

[Delete a Medication](#)

[Filter Observations](#)

[Mark a Medication Observation Complete](#)

[Add Medication Observation Notes](#)

[Insert Error Text](#)

[Copy Medication Observation Notes to Facility Tasks Notes](#)

Open Medication Observations Tab in Medication Administration

- a. Open the **Medication Administration** Facility Task. See *Figure 180, Medication Administration Facility Task*. The task opens on the **Probes/CE** tab.

The screenshot shows the 'Medication Administration' task interface. At the top, there are three tabs: 'Probes/CE', 'Observations 0/25', and 'Use/Instructions'. A 'View Pathway PDF' link is visible in the top right. Below the tabs, a progress indicator shows '0/6 ANSWERED'. A search bar is labeled 'Search Probes / CE'. There are checkboxes for 'View All Surveyors' and 'Expand All Probes', and a 'Filter' dropdown set to 'All Questions'. The main content is a table with the following structure:

Question	In Compliance?	Tag
> 1. Does the facility ensure that it is free of medication error rates of five percent or greater? If more than one surveyor completes the task, be sure each participating surveyor shares their data with the TC and that the TC shares back to the surveyor primarily responsible for this task. The total number of opportunities and errors will be displayed under the "All Surveyors" tab.	Yes No	F0759
> 2. Does the facility ensure that residents are free of any significant medication errors?	Yes No	F0760
> 3. Did the facility provide medications and/or biologicals and pharmaceutical services to meet the needs of the resident?	Yes No	F0755
> 4. Did the facility appropriately label and store drugs and biologicals in accordance with currently accepted professional principles?	Yes No	F0761
> 5. Did the facility implement appropriate infection prevention and control practices during medication administration including hand hygiene, injection safety and point-of-care testing?	Yes No	F0880
> 6. Did the facility meet professional standards of quality? Note: If F658 is cited, an associated tag should be cited.	Yes No	F0658

Figure 180: Medication Administration Facility Task

- b. Click the **Observations** tab to view text. See *Figure 181, Medication Administration Observation Tab*.

Medication Administration

Probes/CE **Observations 0/25** Use/Instructions [View Pathway PDF](#)

0 Total Number of Errors 0 Opportunities for Errors 0% My Error Rate 0% Total Error Rate

Filter: All Observations [+ Add Observation](#)

CSOzias (98054) 03/19/2024 2:26 PM [Delete](#) [Add Notes](#)

RESIDENT **STAFF**

Adams, Jane L. (29) John Smith

MEDICATION 1

MEDICATION **ROUTE** **QUANTITY**

_____ _____ 2

FREQUENCY **CRUSHED** **REFUSED** **EXCLUDE** **ERROR**

ORIGINAL ORDER **ERROR REASON** **COMPLETED**

_____ Wrong Dosage

[+ ADD ANOTHER MEDICATION](#)

Figure 181: Medication Administration Observation Tab

Add/Edit a Medication Observation

Notes:

- Any surveyor assigned to the task can add Medication Observations and edit their own observations.
- The **Medication Administration** task requires a minimum of 25 Medication Observations
- a. Click **+ Add Observation** to add a new Medication Observation. See *Figure 182, Add Medication Observation*. The fields clear.



Figure 182: Add Medication Observation

- b. Fill out information. See *Figure 183, Add a Medication Observation* and *Table 29, Medication Observations Detailed Callout*.

Notes:

- Select from a list or type custom information in the **Medication**, **Route**, and **Frequency** fields.
 - Medication Observations are automatically saved but are not complete until specific areas are completed. See [Mark a Medication Observation Complete](#).
 - Medication Observations increase for each added observation. The error and error rate update as well. See *Figure 184, Medication Observation Updated Counts*.
- c. Check **Completed** when information is complete. See [Mark a Medication Observation Complete](#).

Note: The **Completed** field is grayed out until required fields are filled out.

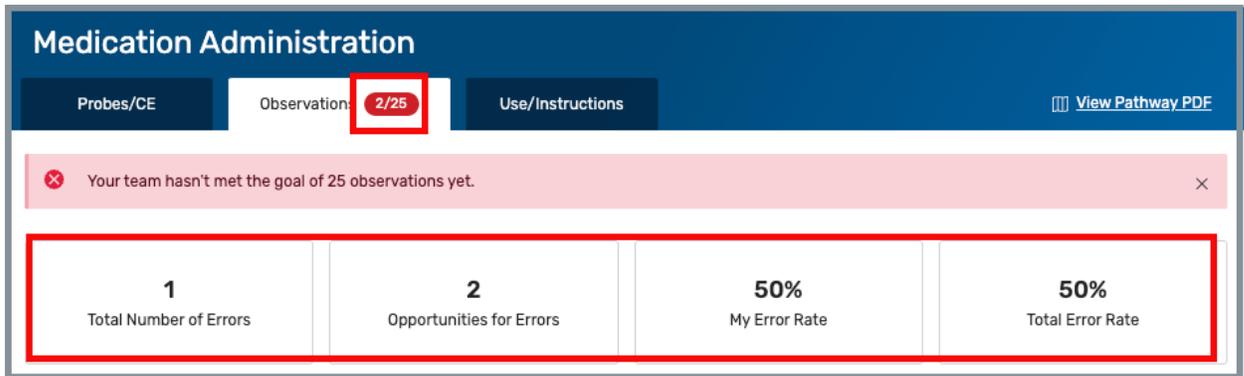


Figure 183: Medication Observation Updated Counts

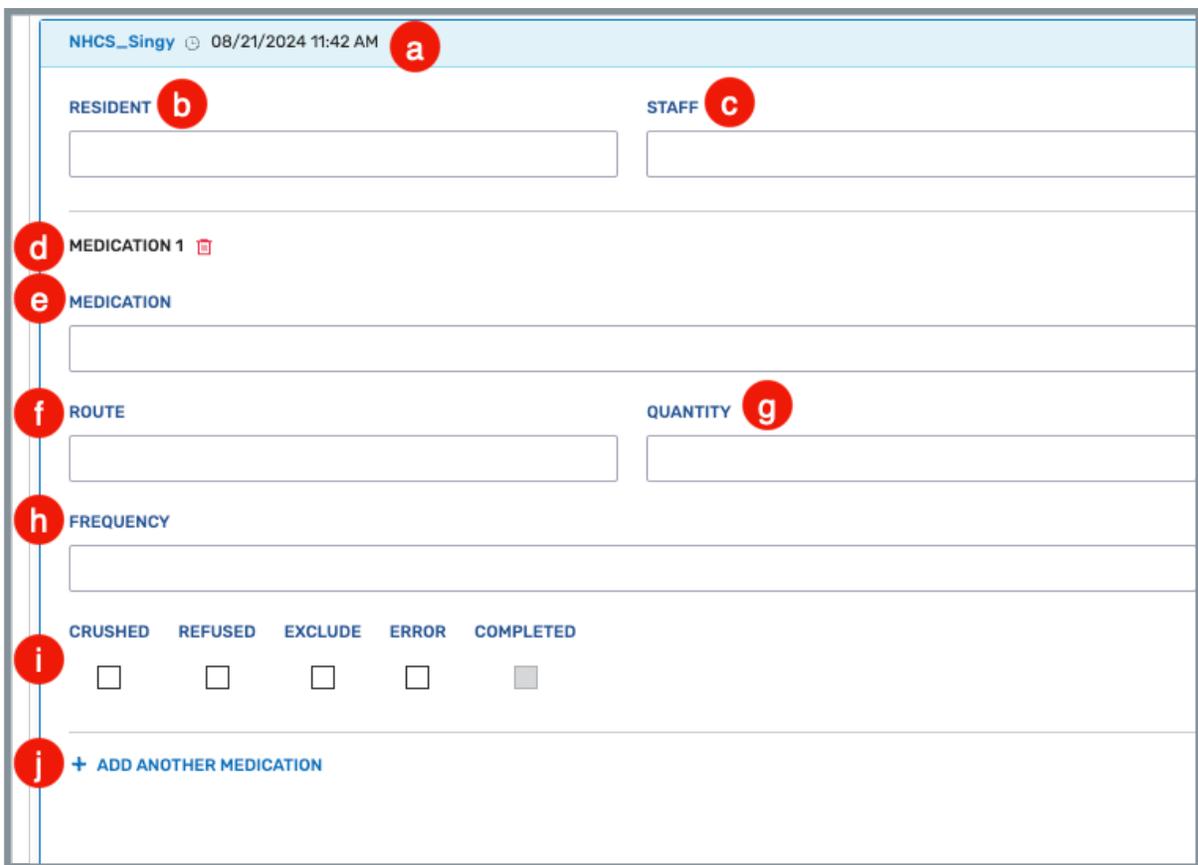


Figure 184: Add a Medication Observation

Table 29: Medication Observations Detailed Callout

No.	Name	Description
a	Date/Time	The observation is date and time stamped.
b	RESIDENT	Select the resident from the drop-down menu.
c	STAFF	Type the staff name of the person giving the medication.
d	MEDICATION/ TRASH CAN ICON	Click the trashcan to delete the medication. Note: Only the TC or the surveyor who entered the medication can delete the medication.
e	MEDICATION lookup	Filters for standard medications and dosages. Start typing the name of the medication. A list automatically appears with suggestions for the medication or type a custom medication in the blank field.
f	ROUTE	Select how the medication was administered or type a custom dose in the blank field.
g	QUANTITY	Type in number of medications given in blank field.
h	FREQUENCY	Select the frequency the medication was administered or type a custom value in the blank field.

No.	Name	Description
i	How medication was delivered	<p>Click the checkbox next to how the medication was delivered.</p> <p>Notes:</p> <ul style="list-style-type: none"> • Refused checkbox notes when a resident refuses the medication. • Exclude checkbox does not count the observation or include it in the error calculation (For example, supplement, vitamin). • Error checkbox when there is an error observed with the medication observation. • Original Order field only displays when Error is selected.
j	+ ADD ANOTHER MEDICATION	<p>Click to add an additional medication.</p> <p>Note: The additional medication must be for the same resident and staff member.</p>

Mark a Medication Observation Complete

- Medication Observations are completed when **Resident**, **Staff**, and **Medication** fields have values. See *Figure 185, Mark Observation as Completed*. The **Completed** field is grayed out until these three fields are updated.

CRUSHED	REFUSED	EXCLUDE	ERROR	COMPLETED
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Figure 185: Mark Observation as Completed

- The total observation count and percentages calculated at the top of the screen update once a Medication Observation is marked as complete. See *Figure 186, Medication Observation Percentages and Count*.

Probes/CE	Observations 2/25	Use/Instructions	View Pathway PDF
0 Total Number of Errors	2 Opportunities for Errors	0% My Error Rate	0% Total Error Rate

Figure 186: Medication Observation Percentages and Count

Delete a Medication Observation

Notes:

- Surveyors can only delete medication observations when they are the assigned surveyor.
- All associated medications and observation notes are deleted when a medication observation is deleted.
 - a. Click **Delete** to delete Medication Observation. See *Figure 187, Delete Medication Observation*. The **Delete Observation** pop-up window opens.

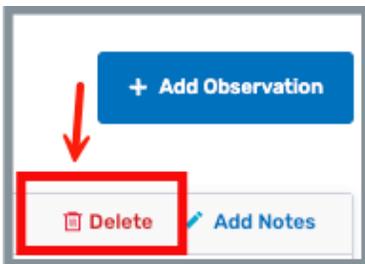


Figure 187: Delete Observation

- b. Click **Yes, Delete** to delete Medication Observation. See *Figure 188, Delete Observation*.

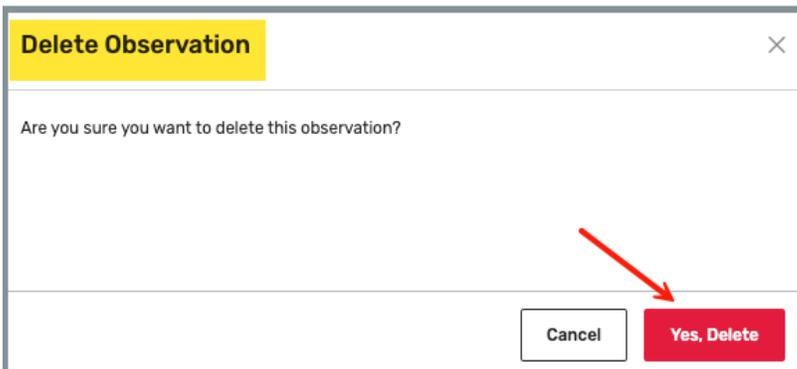


Figure 188: Delete Observation

Delete a Medication

Click the trashcan to delete the medication. See *Figure 189, Delete a Medication*.

Note: Only the surveyor who entered the medication can delete the medication.

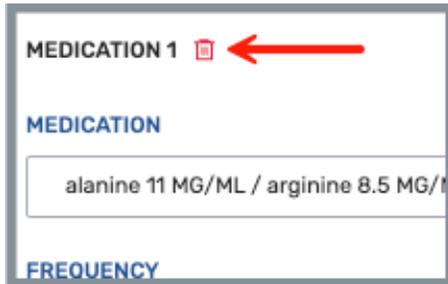


Figure 189: Delete a Medication

Filter Medication Observations

Click the drop-down menu next to **Filter** to filter Medication Observations. See *Figure 190, Filter Medication Observations*.

Note: Medication Observations can be filtered by:

- **All Observations**
- **Errored Observations**
- **My Observations.**

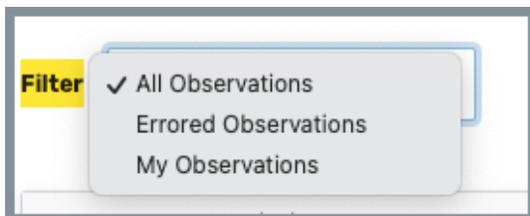


Figure 190: Filter Medication Observations

Add Medication Observation Notes

Notes:

- Medication Observation Notes can only be added for the surveyor's own observations.
 - Medication Observation Notes are different from Facility Task Notes.
 - Medication Observation Notes remain with the medication observation and do not move forward into **Potential Citations** unless they are copied into Facility Task Notes, and the task is cited for noncompliance.
- a. Click **Add Notes** to add Medication Observation Notes. See *Figure 191, Add Medication Observation Notes*. The **Notes** page slides open to the right. The observation remains visible on the left.

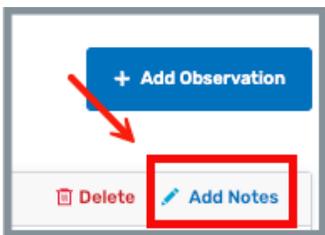


Figure 191: Add Medication Observation Notes

- b. Type notes. See *Figure 192, Medication Observation Notes*.

Note: The notes automatically save.

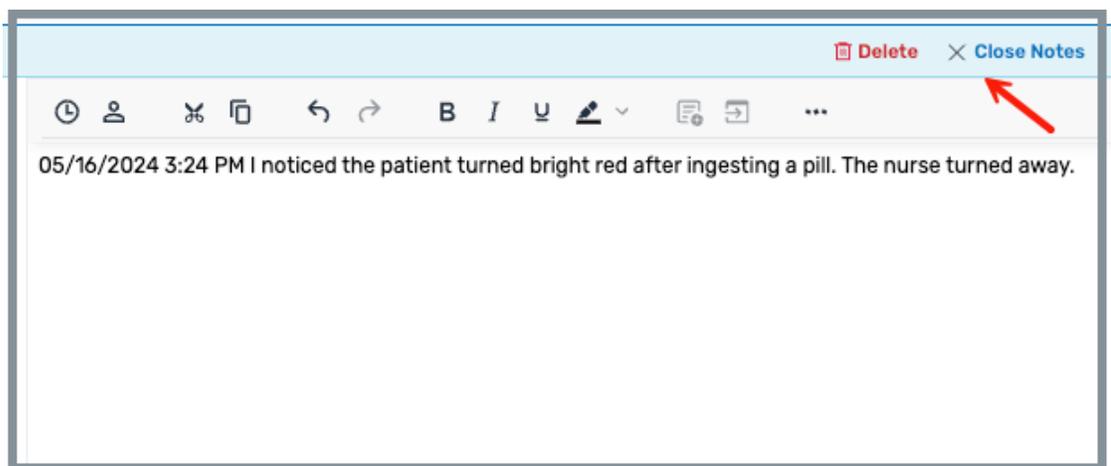


Figure 192: Medication Observation Notes

- c. Click **Close Notes** to close the notes. The notes toggle to **Edit Notes**.

Custom Toolbar Functions for Medication Observation Notes

The Medication Observation Notes toolbar has four custom functions that are explained below. See *Figure 193, Medication Observation Notes Custom Toolbar*.

- Insert Date/Time
- Insert Resident ID
- Insert Error Text
- Copy to Facility Task Notes

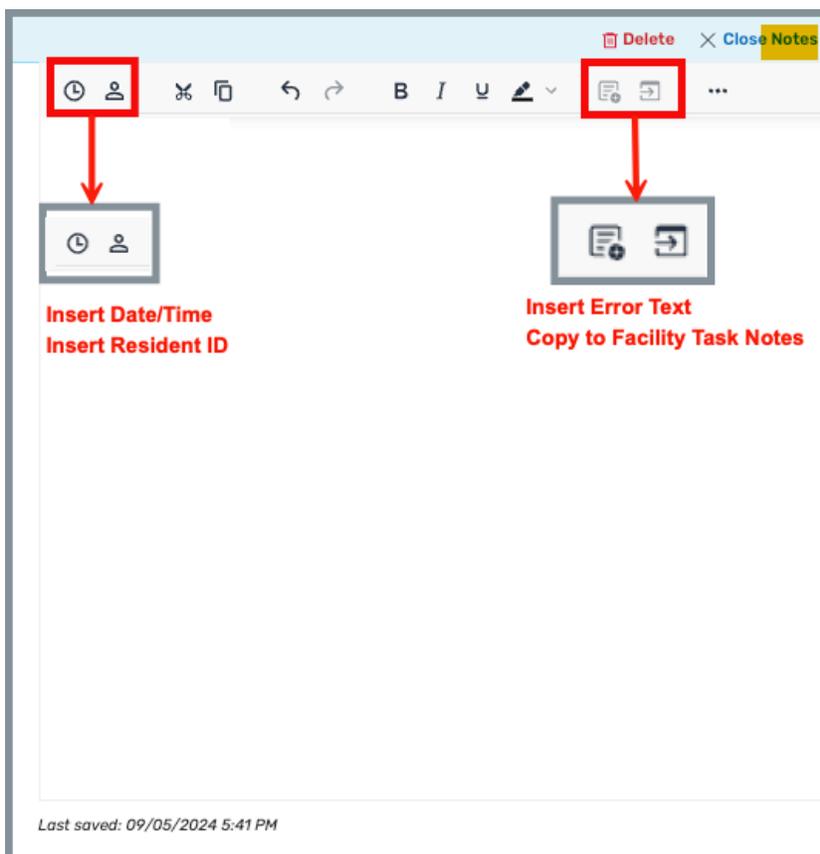


Figure 193: Medication Observation Notes Custom Toolbar

[Insert Date/Time \(a\)](#)

Insert the current date/time at the cursor placement.

[Insert Resident ID \(a\)](#)

Select **Resident ID** to insert resident ID into the Medication Observation.

[Insert Error Text](#)

Click the Insert Error Text icon to insert error text into medication observation notes. The text inserts automatically. See *Figure 194, Insert Error Text into Observation Notes*.

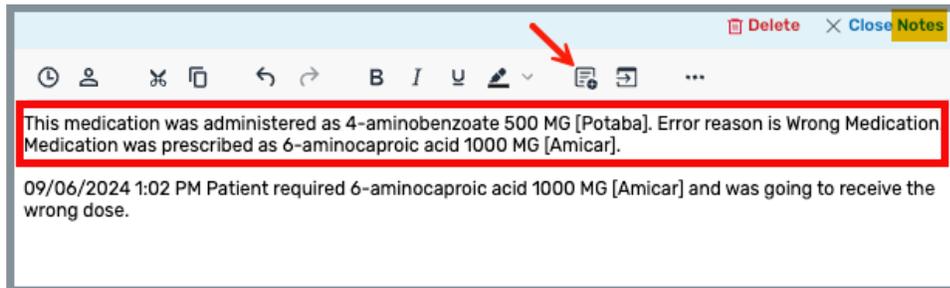


Figure 194: Insert Error Text into Observation Notes

[Copy Medication Observation Notes to Facility Tasks Notes](#)

- Click the Copy to Facility Tasks icon to copy all the medication observation notes into the facility task notes. See *Figure 195, Copy to Facility Tasks*.

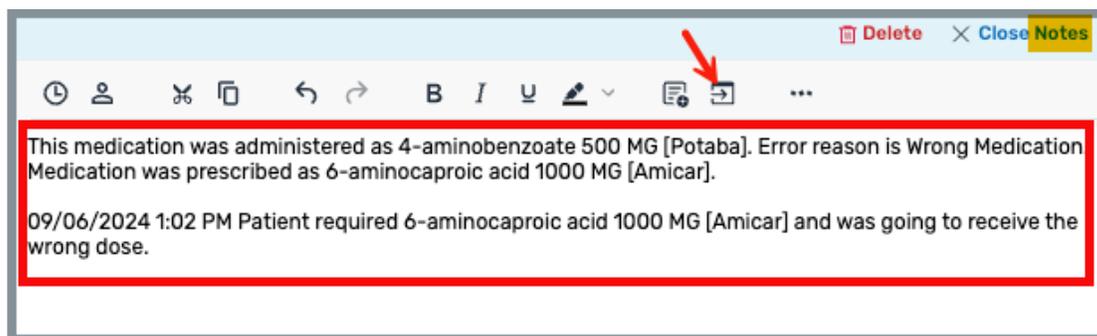


Figure 195: Copy to Facility Tasks

- b. The medication observation notes are automatically copied into the facility task notes. There is no need to do anything. See *Figure 196, Medication Observation Notes Automatically Copied to Facility Task Notes*.

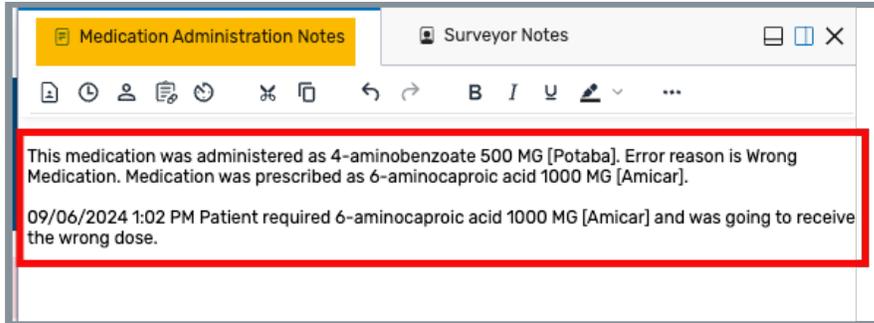


Figure 196: Medication Observation Notes Automatically Copied to Facility Task Notes

22. Investigations

Purpose: To investigate the following:

- Residents included in the final sample
- Residents included in the final closed record sample
- Residents selected as unnecessary meds candidates
- Any investigations created by a surveyor or created due to a linked intake in Offsite Prep

Note: Survey team members can assign themselves to an investigation.

22.1 Investigations Overview

Click **Investigations** on the left menu on the drop-down left menu under **Investigation**. The **Investigations** window opens to the **My Investigations** tab. See *Figure 197, Investigations* and *Table 30, Investigations Detailed Callout*.

The screenshot displays the 'Investigations' page. On the left is a dark sidebar with navigation items: 'Investigations' (highlighted with a red box and arrow), 'Potential Citations', 'Resources', 'Citations', 'Statement of Deficiencies', 'CMS-670', 'CMS-671', 'Notes', and 'Attachments'. The main content area has a blue header with 'Investigations' and a '+ Add New Investigations' button. Below the header are two tabs: 'All Investigations' (35) and 'My Investigations' (25). A 'Group Investigations By' dropdown is set to 'Resident'. A table lists investigations with columns: Resident, Investigative Area, Admit Date, Room, BIMS, Assigned To, Inv. Reason, and Potential Citations. The table contains several rows of data, including one for 'Booke, Rita (15)' with 'Care Planning' and another for 'Clyde, Bonnie-Ann (14)' with 'Abuse'. A red 'x' icon is visible in the 'Potential Citations' column for the 'Abuse' row.

Figure 197: Investigations

Table 30: Investigations Detailed Callout

No.	Name	Description
a	All Investigations	Investigations with no assignee or those assigned to other survey team members
b	My Investigations	Defaults to My Investigations tab. Shows the user’s investigations.
c	Add New Investigations	Click to add a new investigation. See Add New Investigations .
d	Group Investigations By	Select Resident or Investigative Area . The selection then shows either the Resident or the Investigative Area in the first column.
e	Hide Completed Investigations	Check this box to hide all completed investigations
f	Resident	Name of the resident and their ID. Click the resident’s name to find out further details and make compliance decisions.
g	Investigative Area	The area of investigation for the resident. Click the link to make compliance decisions for that area.
h	Admit Date	Resident admittance date
i	Room	Resident room number
j	BIMS	The Brief Interview for Mental Status score
k	Assigned To	Surveyor assigned to an investigation. More than one surveyor can be assigned to an investigation. A surveyor cannot be unassigned from an investigation when there is associated data with the investigation.

No.	Name	Description
l	Inv Reason	How the investigation (Inv) was created.
m	Potential Citations	Potential Citations are shown. Tags are displayed in bold text if cited by the surveyor.
n	Remove	<p>Only the TC or the assignee (when they are the only assignee) can remove an investigation and only investigations with no data can be removed.</p> <p>Click the trashcan. The Enter Investigation Removal Rationale pop-up window opens.</p> <p>Fill out Rationale and Description.</p> <p>Click Save. The investigation is removed.</p>

22.2 Add New Investigations

22.2.1 Click + **Add New Investigations** to add a new investigation. The **Add New Investigation** pop-up window opens. See *Figure 198, Add New Investigation Pop-Up Window*.

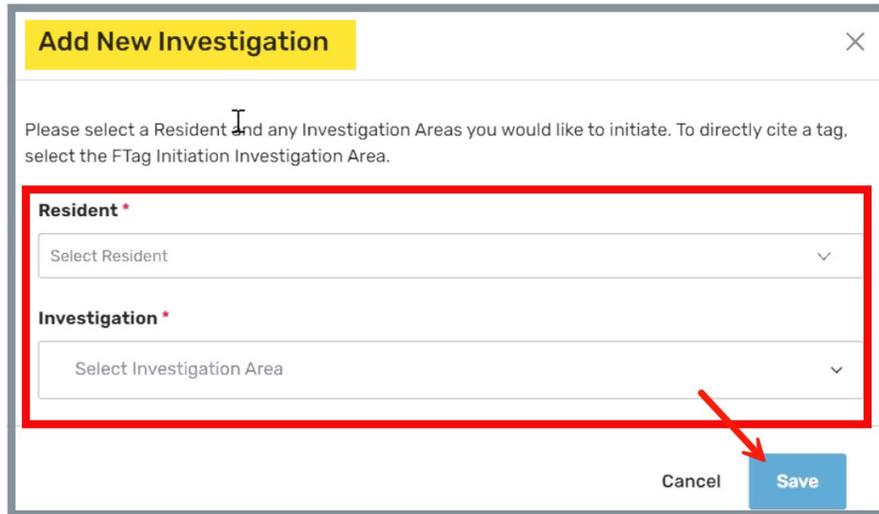


Figure 198: Add New Investigation Pop-Up Window

- 22.2.2 Select **Resident** from the drop-down menu.
- 22.2.3 Select **Investigation Area** from the drop-down menu.
- 22.2.4 Click **Save**. The investigation information populates for the resident under **Investigative Area**. See *Figure 199, Resident Investigation Information*.

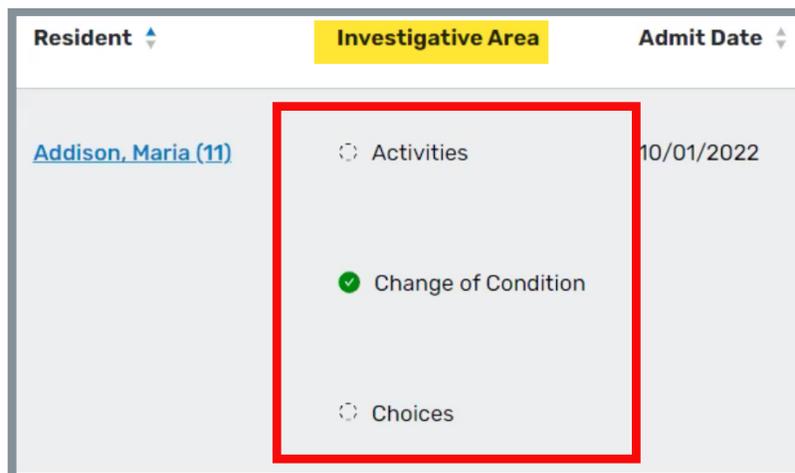


Figure 199: Resident Investigation Information

22.2.5 Verify the green notification banner indicates the new investigation has been successfully added. See *Figure 200, New Investigation Green Notification Banner*.

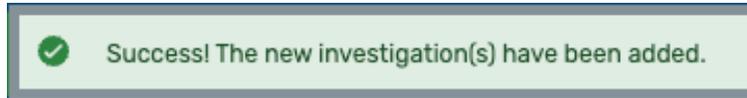


Figure 200: New Investigation Green Notification Banner

22.3 Remove an Investigation

Notes:

- The TC can remove any investigation.
- Survey team members can remove an investigation that does not have associated data where they are the only assignee.

22.3.1 Click the trashcan icon next to the investigation. See *Figure 201, Investigation Trashcan Icon*. The **Remove Investigation** pop-up window opens.



Figure 201: Investigation Trashcan Icon

22.3.2 Type a rationale in the **Rationale** field. See *Figure 202, Remove Investigation Rationale*.

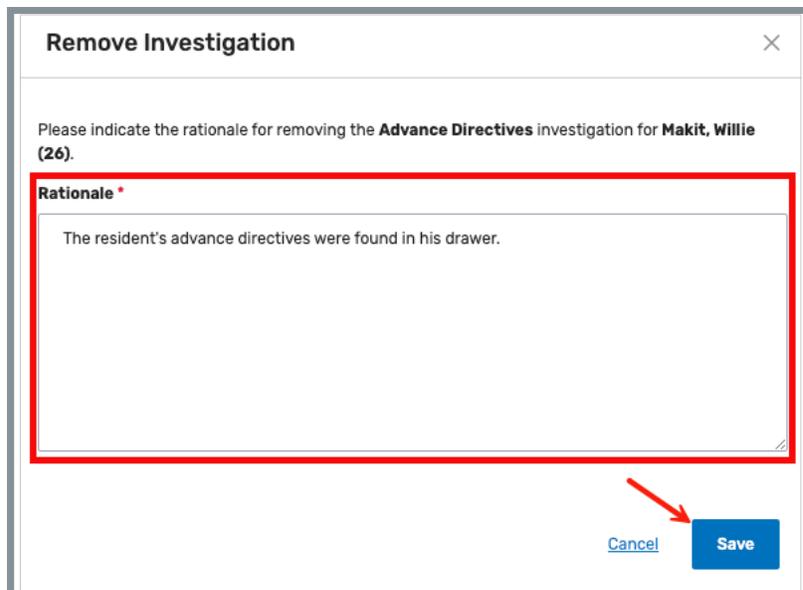


Figure 202: Remove Investigation Rationale

22.3.3 Click **Save**.

22.3.4 Verify the **Investigation deleted successfully** green notification banner is shown. See *Figure 203, Investigation Deleted Successfully Green Notification Banner*.

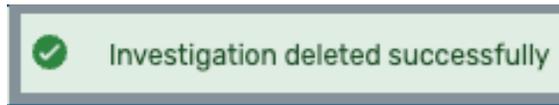


Figure 203: Investigation Deleted Successfully Green Notification Banner

22.4 Open an Investigation

Note: When a surveyor is assigned to the investigation, the investigation is editable. Otherwise, the investigation is read-only.

Click the name of the resident to open the investigation details. See *Figure 204, Resident Investigation Details Landing Page* Review each of the tabs below.

Notes:

- Select either the resident or the investigative area. See *Figure 205, Group Investigations by Resident* and *Figure 206, Group Investigations by Investigation*.

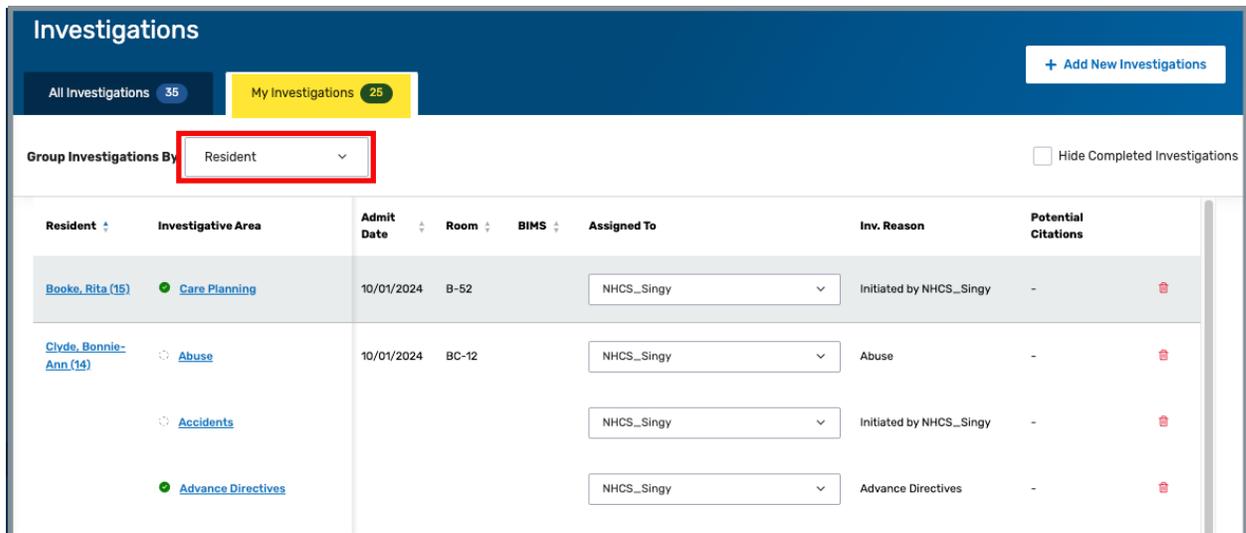


Figure 204: Group Investigations by Resident

Investigative Area	Resident	Admit Date	Room	BIMS	Assigned To	Inv. Reason	Potential Citations
Abuse	Clyde, Bonnie-Ann (14)	10/01/2024	BC-12		NHCS_Singy	Abuse	-
	KENT, LEAH (2)	05/24/2024	60787049	13	NHCS_Singy	Abuse	-
	Legge, Peg (12)	07/17/2024	F-1		NHCS_Singy		F0600, F0606, F0607
Accidents	Clyde, Bonnie-Ann (14)	10/01/2024	BC-12		NHCS_Singy	Initiated by NHCS_Singy	-

Figure 205: Group Investigations by Investigation

- Click the arrow next to the resident’s name to return to the **Investigations** page.

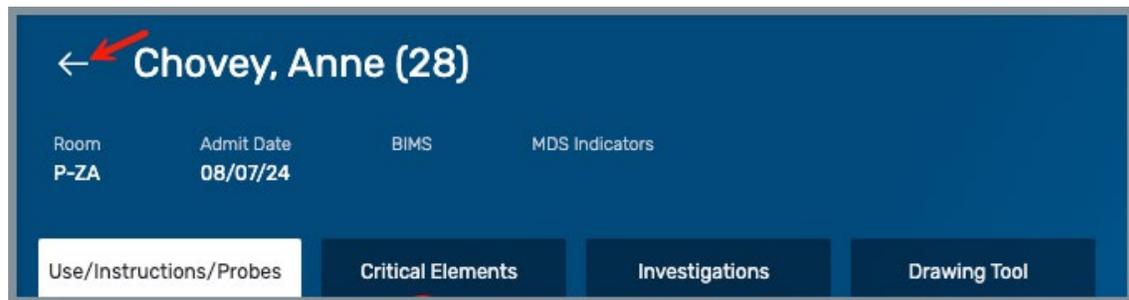


Figure 206: Resident Investigation Details Landing Page

22.5 MDS Information

Note: The MDS information can be accessed on the following three LTCSP pages when there is data on the MDS assessment. This section shows access from **Investigations** grouped by resident.

- [Resident Manager](#) - specific resident
- [Investigations](#) (grouped by resident) - specific resident
- [Investigations](#) (grouped by area) - specific area with specific resident selected

22.5.1 Click the resident name on the **Investigations** page. The **Investigations** resident page opens. See *Figure 207, Investigations Resident Page*.



Figure 207: Investigations Resident Page

22.5.2 Click **MDS Assessment**. The resident **Patient Information** and **Assessments** page opens in a different tab.

Notes:

- **Investigations:** The **MDS Assessment** link, when available, is located under the resident's name on the **Investigations Resident** page.
- **Resident Manager:** The **MDS Assessment** link, when available, is located to the right of the tabs on the **Resident Manager Resident** page. See *Figure 208, Resident Manager MDS Link*.

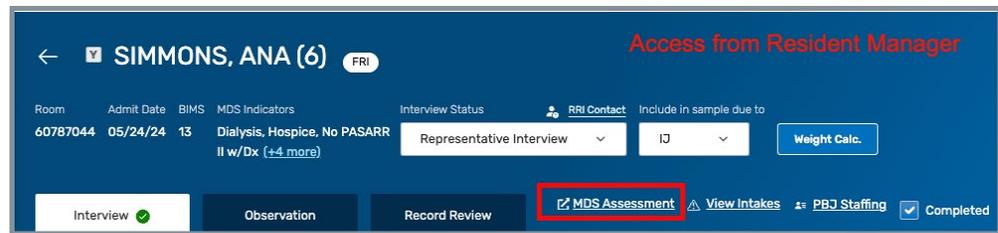


Figure 208: Resident Manager MDS Link

[View an MDS Assessment](#)

[Save/Print an MDS Assessment](#)

View an MDS Assessment

- a. Click **View** to view the assessment. See *Figure 209, Resident Patient Information and Assessments*. The **Assessments** page opens in a different tab.

Home / Create/Manage Assessments / ANA SIMMONS

ANA SIMMONS | 123 Test Provider
Test, AL 41232

Patient Information

Social Security Number: [Redacted] Date of Birth: [Redacted] Medicare ID: [Redacted]

Medicaid ID: No information Gender: male

Assessments

1 Assessment

Type	Created By	Admission Date	HIPPS Code	State	Status	Actions
Comprehensive	Pat test.tong.so	05/24/2024	JDAA1	Original	Accepted 07/12/2024 2:15 PM UTC	View Print

Figure 209: Resident Patient Information and Assessments

- b. Click each *section* on the left menu to view information about that section. See *Figure 210, Assessment Information*.

Notes:

- The assessment acceptance date is noted in the green notification banner.
- It may be necessary to scroll to view all the information in the section.
- Section A is shown.

< [Return to Patient](#) ←

→ [Print](#)

✔ This assessment was accepted on 07/12/2024 UTC

Section A
Identification Information

Section B
Hearing, Speech, and Vision

Section C
Cognitive Patterns

Section D
Mood

Section E
Behavior

Section F
Preferences for Customary Routine and Activities

Section GG
Functional Abilities and Goals

Section H
Bladder and Bowel

Section I
Active Diagnoses

Section J
Health Conditions

Section K
Swallowing/Nutritional Status

Section L
Oral/Dental Status

Section A: Identification Information

A0100. Facility Provider Numbers

National Provider Identifier (NPI) (A0100A)
^

CMS Certification Number (CCN) (A0100B)
015651

State Provider Number (A0100C)
^

Type of provider (A0200)
1 - Nursing home (SNF/NF)

A0310. Type of Assessment

Federal OBRA Reason for Assessment (A0310A)
01 - Admission assessment (required by day 14)

PPS Assessment (A0310B)
01 - 5-day scheduled assessment

Is this assessment the first assessment (OBRA, Scheduled PPS, or Discharge) since the most recent admission/entry or reentry? (A0310E)
0 - No

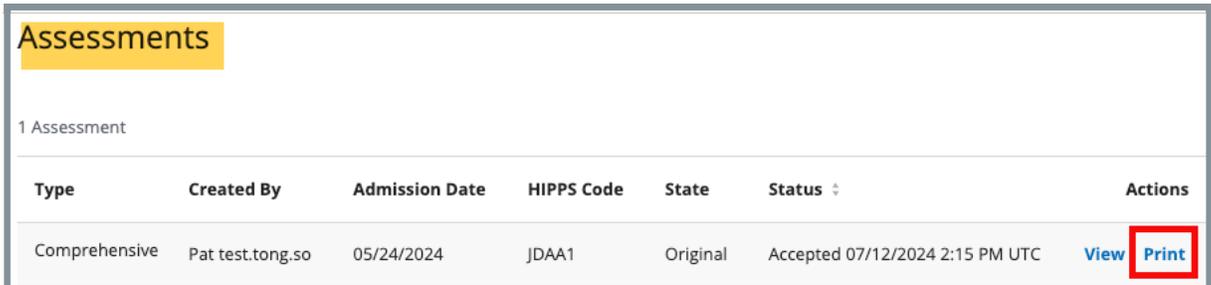
Some sections may require scrolling to view all information

Figure 210: Assessment Information

- c. Click **Return to Patient** to return to the resident information or [Print](#), to view a printable version of the assessment.

Save/Print a Complete MDS Assessment

- a. Click **Print** on the assessment page or on the resident page. See *Figure 211, Print*. A printable version of the assessment opens.



The screenshot shows a web interface with a yellow header labeled 'Assessments'. Below the header, it says '1 Assessment'. A table lists assessment details with columns: Type, Created By, Admission Date, HIPPS Code, State, Status, and Actions. The 'Print' button in the Actions column is highlighted with a red box.

Type	Created By	Admission Date	HIPPS Code	State	Status	Actions
Comprehensive	Pat test.tong.so	05/24/2024	JDA1	Original	Accepted 07/12/2024 2:15 PM UTC	View Print

Figure 211: Print

Note: The printable assessment is very large. Scroll to view it in its entirety, if desired. The **Top** button is shown on the bottom right of the screen during scrolling. Click **Top** to go to the top of the assessment. See *Figure 212, Top Button*.



Figure 212: Top Button

- b. Click the vertical ellipsis (hamburger or three dots) at the top right of the screen. A drop-down menu opens.

Note: Browsers look different. Be sure to review the figure for the appropriate browser.

Chrome *See Figure 213, Chrome Vertical Ellipsis Options Menu*

Microsoft Edge *See Figure 214, Edge Horizontal Options Menu*

Note: The options menu is a vertical ellipsis in Chrome.
The options menu is three horizontal lines Edge.

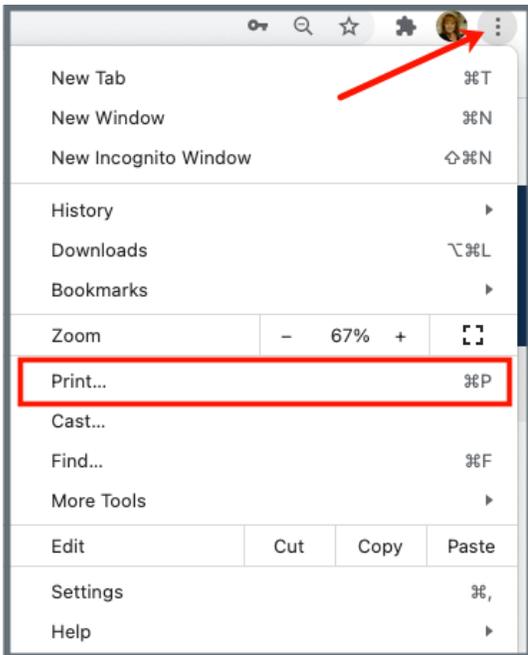


Figure 213: Chrome Vertical Ellipsis Options Menu

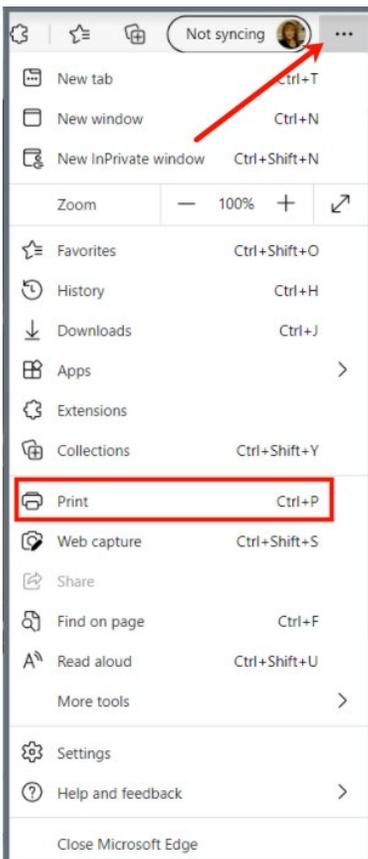


Figure 214: Edge Horizontal Options Menu

- c. Select **Print**. The **Print** menu opens.
- d. Select **Save as PDF** from the drop-down menu next to **Destination**. See *Figure 215, Print Menu*.

Note: Save as PDF is usually the default choice.

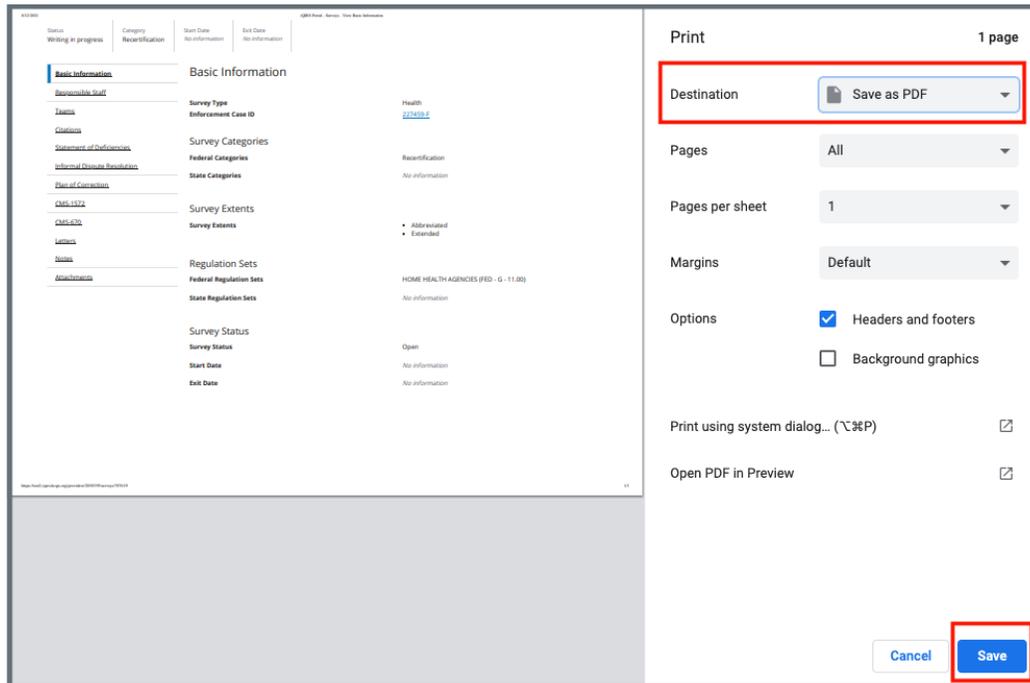


Figure 215: Print Menu

Note: The figure above is a Google Chrome print menu. Other print menus may look slightly different.

- e. Click **Save**. The **Save As** popup window opens. See *Figure 216, Save As Popup Window*.

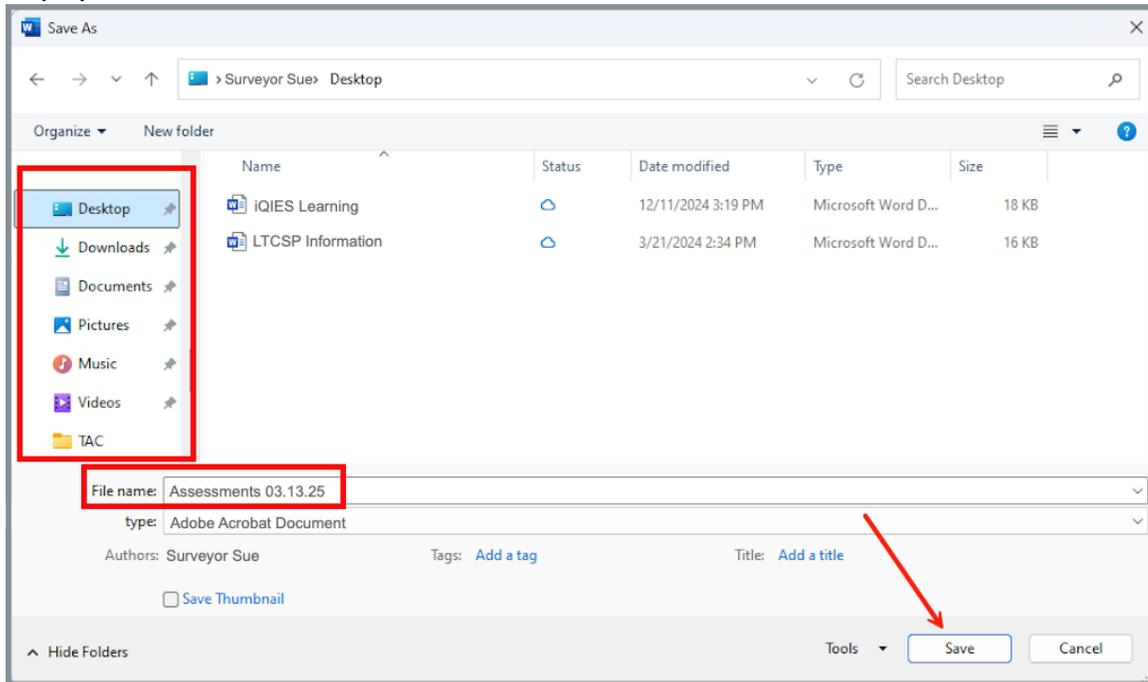


Figure 216: Save As Popup Window

- f. Select the destination folder on the left.
- g. Type the desired file name next to **File name**.
- h. Click **Save**.
- i. Open the .pdf from the destination folder selected.

Save/Print a Single Section of an MDS Assessment

- a. Click **View** on the assessment page or on the resident page. See *Figure 217, View*. The assessment sections opens.

Assessments						
1 Assessment						
Type	Created By	Admission Date	HIPPS Code	State	Status	Actions
Comprehensive	Pat test.tong.so	05/24/2024	JDA1	Original	Accepted 07/12/2024 2:15 PM UTC	View Print

Figure 217: View

- b. Select the section to be printed on the left menu. See *Figure 218, MDS Single Section Print*.

The blue line shows which assessment is active.

- Section A
Identification Information
- Section B
Hearing, Speech, and Vision
- Section C
Cognitive Patterns
- Section D
Mood
- Section E
Behavior
- Section F
Preferences for Customary Routine and Activities
- Section GG
Functional Abilities and Goals

Section E: Behavior

E0100. Potential Indicators of Psychosis

Hallucinations (perceptual experiences in the absence of real external sensory stimuli) (E0100A)

0 - Not checked (No)

Delusions (misconceptions or beliefs that are firmly held, contrary to reality) (E0100B)

0 - Not checked (No)

None of the above (E0100Z)

1 - Checked (Yes)

Behavioral Symptoms

E0200. Behavioral Symptom - Presence & Frequency

Figure 218: MDS Single Section Print

- c. Right click on the mouse. A pop-up window opens. See *Figure 219, Right Click Menu*.

Notes:

- Be sure to be in the middle of the desired section.
- Do not have any words highlighted.

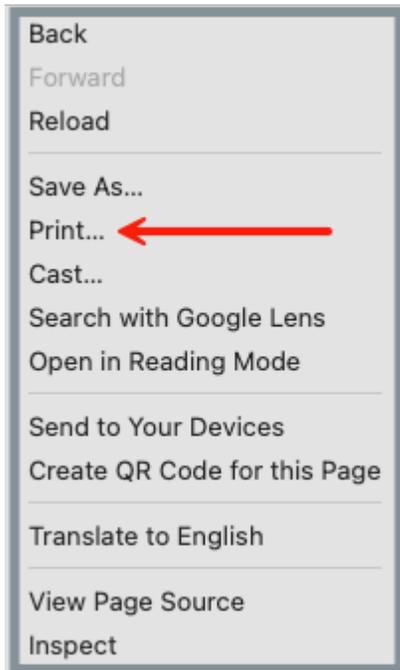


Figure 219: Right Click Menu

- d. Select **Print**. The **Print** menu opens.
- e. Select **Save as PDF** from the drop-down menu next to **Destination**. See *Figure 220, Print Menu*.

Note: Save as PDF is usually the default choice.

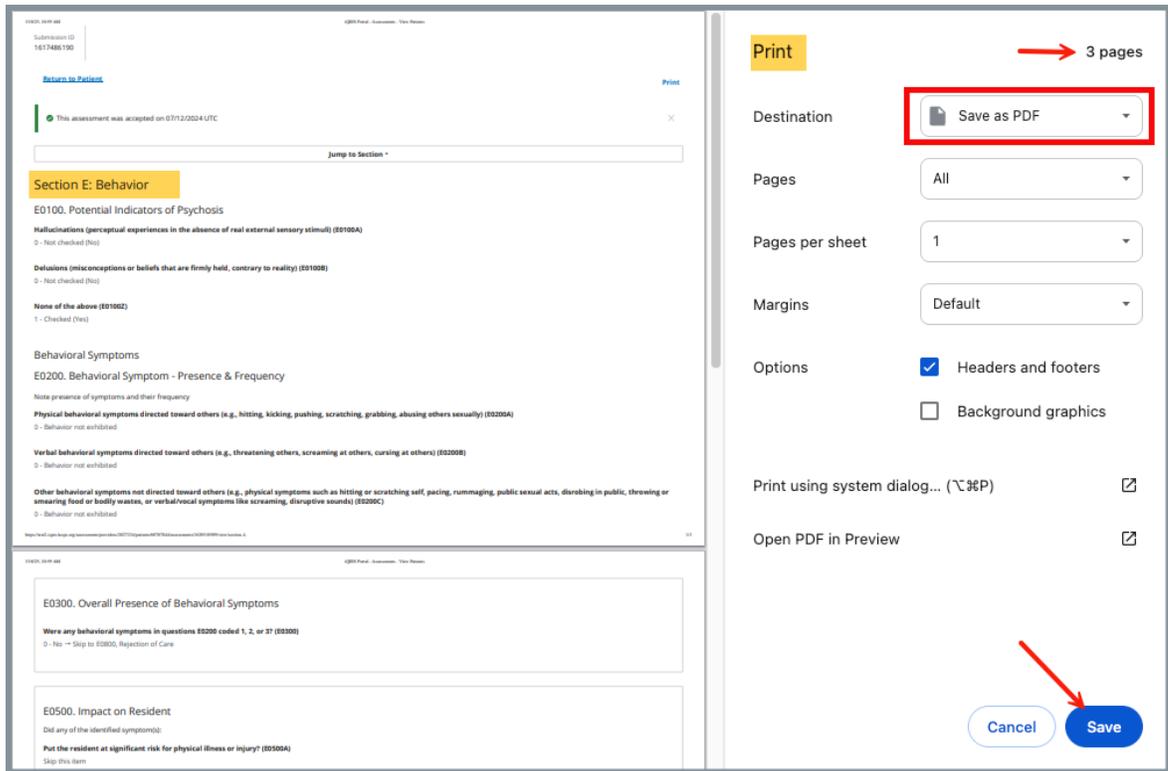


Figure 220: Print Menu

Note: The figure above is a Google Chrome print menu. Other print menus may look slightly different.

- f. Click **Save**. The **Save As** popup window opens. See *Figure 221, Save As Popup Window*.

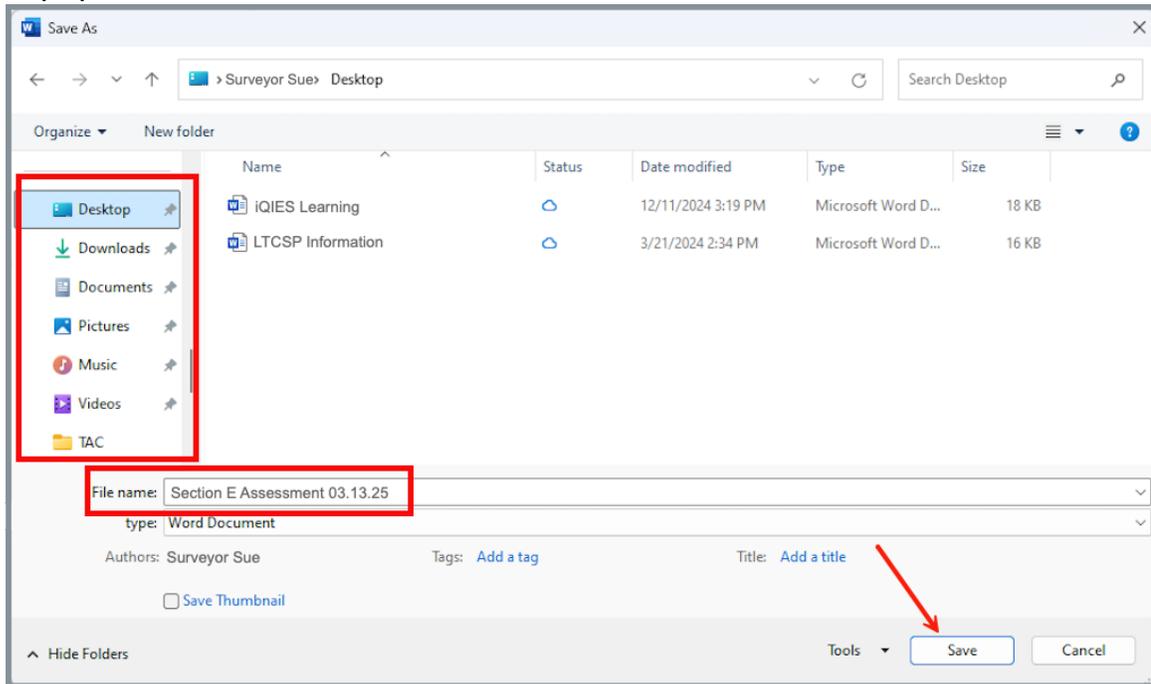


Figure 221: Save As Popup Window

- g. Select the destination folder on the left.
- h. Type the desired file name next to **File name**.
- i. Click **Save**.
- j. Open the .pdf from the destination folder selected.

Use/Instructions/Probes Tab

Notes:

- All investigative areas have the **Use/Instructions/Probes** tab.
- The **Use/Instructions/Probes** tab is the default landing tab when the resident is selected in **Investigations**. See *Figure 222, Use/Instructions/Probes Details Landing Page* and *Table 31, Use/Instructions/Probes Details Landing Page Detailed Callout*.
- This **Use/Instructions/Probes** tab shows **Pressure Ulcer**. Each **Use/Instructions/Probes** tab may look slightly different for different investigative areas.
- Some **Use/Instructions** tabs may have links to additional documentation. Those links are on the top right menu.

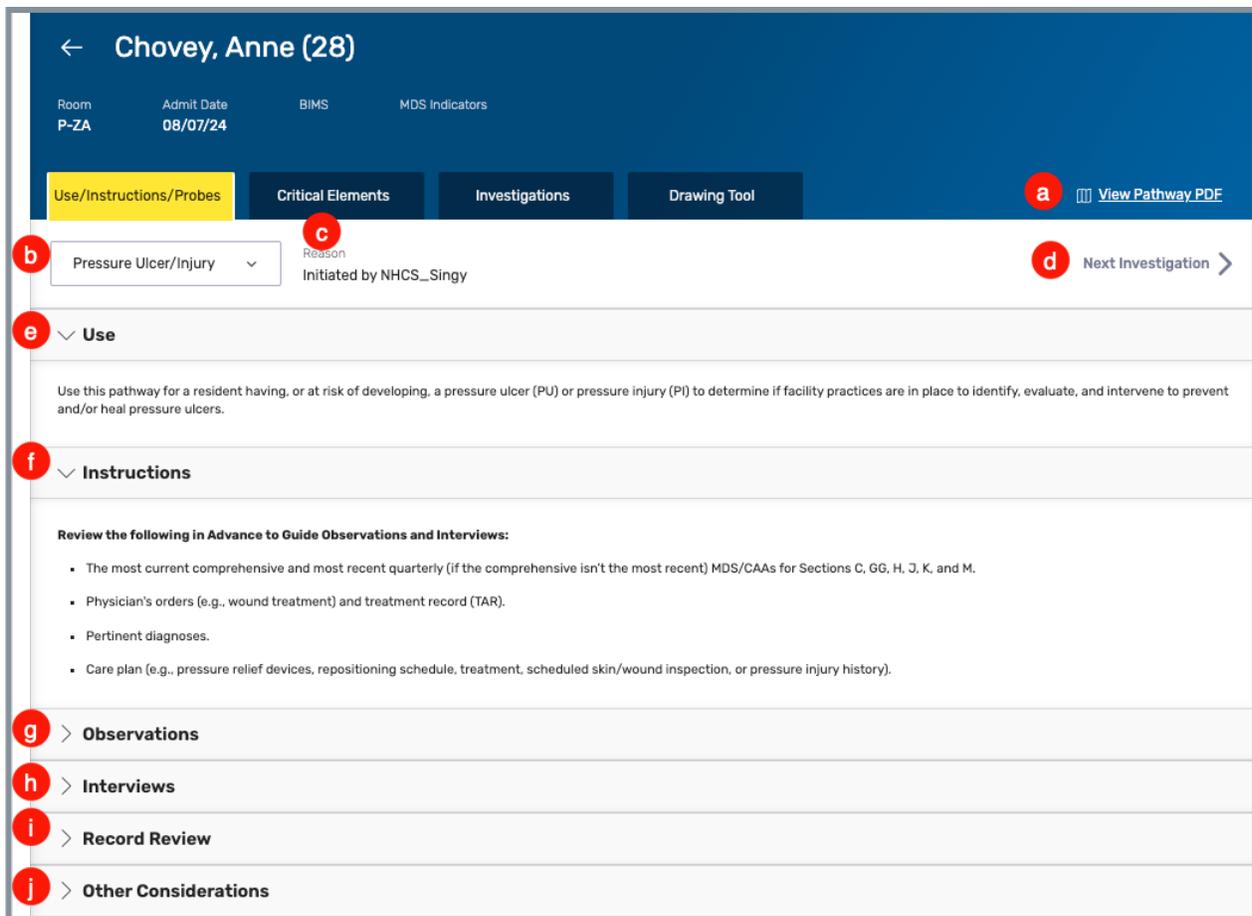


Figure 222: Use/Instructions/Probes Details Landing Page

Table 31: Use/Instructions/Probes Details Landing Page Detailed Callout

No.	Name	Description
a	View Pathway PDF	This is the pathway document for the investigative area. The pdf document opens in a new tab. Not all investigative areas have pathway documents.
b	Investigative Area	The investigative area for the resident
c	Reason	<p>Shows how the investigation was initiated.</p> <p>Investigations can be:</p> <ul style="list-style-type: none"> • Manually initiated by a surveyor • Created for a linked intake in Offsite Prep • Created when the sample is finalized for residents included in the final sample • Created for an unnecessary meds candidate • Created for residents included in the finalized closed record sample <p>For Unnecessary Medications Review:</p> <p>Click the link under Reason to open a pop-up window with Unnecessary Meds Calculation Details.</p>
d	Next Investigation	The link becomes active when there is more than one investigative area to investigate for a resident
e	Use	Review use of investigative area
f	Instructions	Review investigative area instructions
g	Observations	Review investigative area observations. Not all Use/Instructions have Observations .
h	Interviews	Review investigative area interview questions. Not all Use/Instructions have Interviews .

No.	Name	Description
i	Record Review	Review investigative area record. Not all Use/Instructions have Record Review .
j	Other Considerations	Review other tags that may help with the investigative area. Not all Use/Instructions have Other Considerations .

Critical Elements tab

Notes:

- All investigative areas have the **Critical Elements** tab.
- The **Critical Elements** tab is the default landing tab when the resident is selected in **Investigations**. See *Figure 223, Critical Elements Details Landing Page* and *Table 32, Critical Elements Details Landing Page Detailed Callout*.
- This **Critical Elements** tab shows **Pressure Ulcer**. Each **Critical Elements** tab may look slightly different for different investigative areas.
- Surveyors assigned to the investigation can make compliance decisions on this tab.

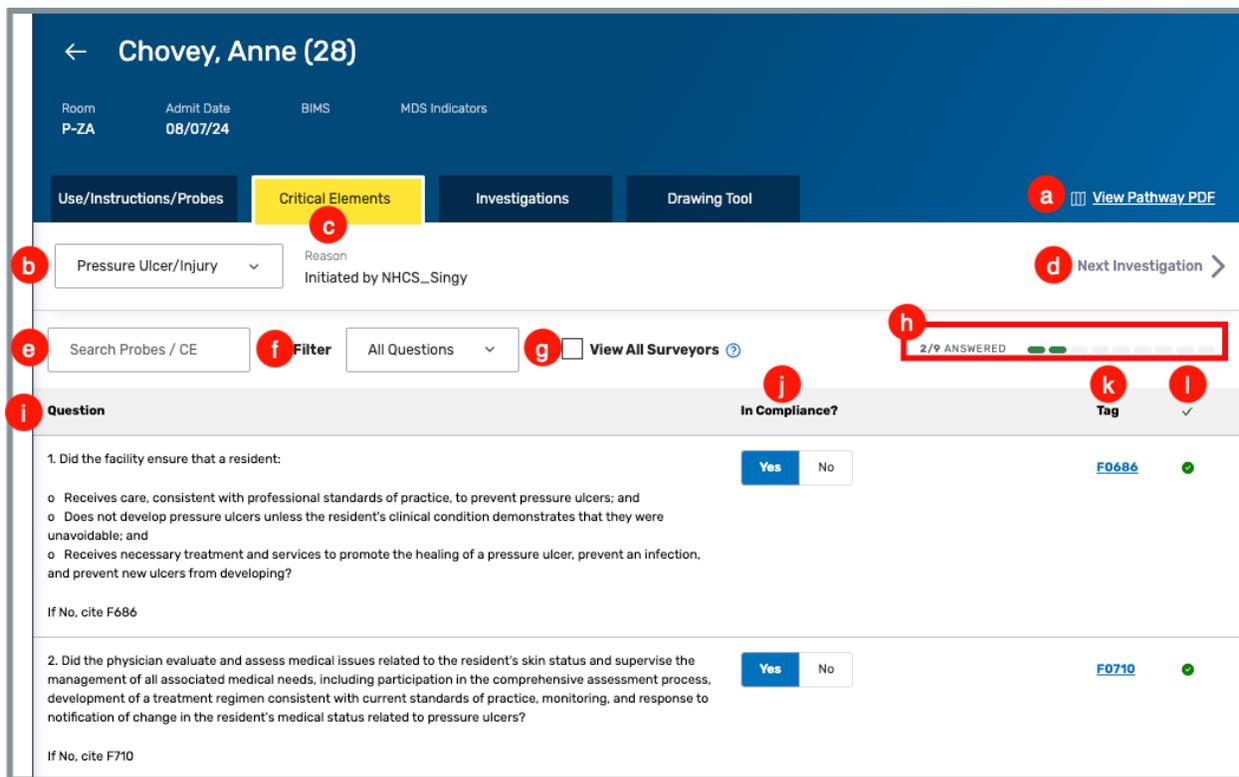


Figure 223: Critical Elements Details Landing Page

Table 32: Critical Elements Details Landing Page Detailed Callout

No.	Name	Description
a	View Pathway PDF	This is the pathway document for the investigative area. The pdf document opens in a new tab. Not all investigative areas have pathway documents.
b	Investigative Area	The investigative area for the resident
c	Reason	<p>Shows how the investigation was initiated.</p> <p>Investigations can be:</p> <ul style="list-style-type: none"> • Manually initiated by a surveyor • Created for a linked intake in Offsite Prep • Created when the sample is finalized for residents included in the final sample • Created for an unnecessary meds candidate • Created for residents included in the finalized closed record sample <p>For Unnecessary Medications Review:</p> <p>Click the link under Reason to open a pop-up window with Unnecessary Meds Calculation Details.</p>
d	Next Investigation	The link becomes active when there is more than one investigative area to investigate for a resident
e	Search	Search questions in list to filter to questions with the search criteria
f	Filter	Filter on All Questions, Answered and Unanswered questions.
g	View All Surveyors	Check this box to view answers for other investigation assignees at the highest level of noncompliance. Critical Elements tab is read-only when viewing all surveyor answers.

No.	Name	Description
h	Questions ANSWERED	Shows a count of questions answered next to total questions. The progress bar illuminates in green with each answered question.
i	Question	Each CE question for the investigative area
j	In Compliance	<p>Allows investigation assignees to make compliance decisions for CE questions. When the response is No, a severity level drop-down menu opens. Select the severity level from 1 to 4.</p> <p>Level 1 No actual harm with potential for minimal harm</p> <p>Level 2 No actual harm with a potential for more than minimal harm that is not immediate jeopardy</p> <p>Level 3 Actual harm that is not immediate jeopardy</p> <p>Level 4 Immediate jeopardy to resident health or safety</p>
k	Tag	Click the tag and the Regulation Text/Interpretive Guidance window pops up. Select Regulation or Interpretive Guidance tabs.
l	✓	A white check mark in a green circle is shown in the far right column when the question has been answered.

Investigations tab

Notes:

- The **Investigations** tab is only available when going into an investigation by resident. See *Figure 224, Investigations Tab* and *Table 33, Investigations Tab Detailed Callout*.
- The **Investigations** tab shows all investigative areas assigned to the resident.
- This **Investigations** tab shows **Pressure Ulcer**. Each **Investigations** tab may look slightly different for different investigative areas.

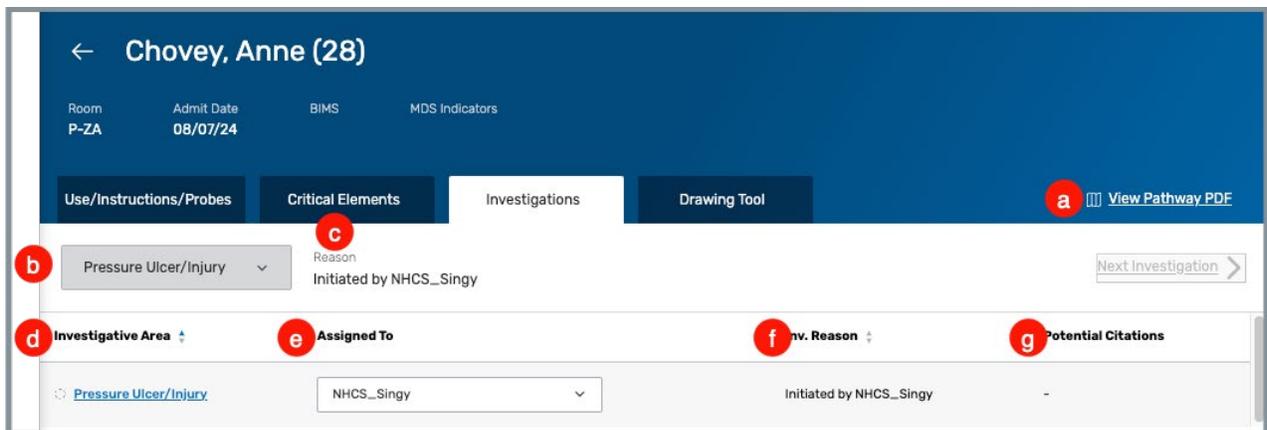


Figure 224: Investigations Tab

Table 33: Investigations Tab Detailed Callout

No.	Name	Description
a	View Pathway PDF	Click link to view specific investigations area. The form opens in a separate tab.
b	Investigative Area	The investigative area for the resident
c	Reason	<p>Shows how the investigation was initiated.</p> <p>Investigations can be:</p> <ul style="list-style-type: none"> • Manually initiated by a surveyor • Created for a linked intake in Offsite Prep • Created when the sample is finalized for residents included in the final sample • Created for an unnecessary meds candidate • Created for residents included in the finalized closed record sample <p>For Unnecessary Medications Review:</p> <p>Click the link under Reason to open a pop-up window with Unnecessary Meds Calculation Details.</p>
b	Investigative Area	<ul style="list-style-type: none"> • Click resident to see Investigations tab, which shows all investigative areas assigned to the resident. • Click investigative area to see the Residents tab, which shows all residents assigned to the investigative area.
c	Assigned To	Surveyor assigned to investigation. More than one surveyor can be assigned to an investigation.
d	Inv. Reason	How the investigation (Inv) was created.
e	Potential Citations	Shows potential citations

Drawing Tool tab

- All investigative areas have the **Drawing Tool** tab.
- This **Pressure Ulcer** and the **Abuse Drawing Tool** tabs are the only drawing tools that are different than the other investigative areas. Those tabs show four images of a body on which to place the ulcer or abuse. See *Figure 225, Drawing Tool Tab*. All other **Drawing Tool** tabs will be blank for free drawing.
- The **Drawing Tool** tab works exactly like the facility tasks drawing tool. Please review [Facility Tasks Drawing Tool](#) for details on how to use the drawing tool.

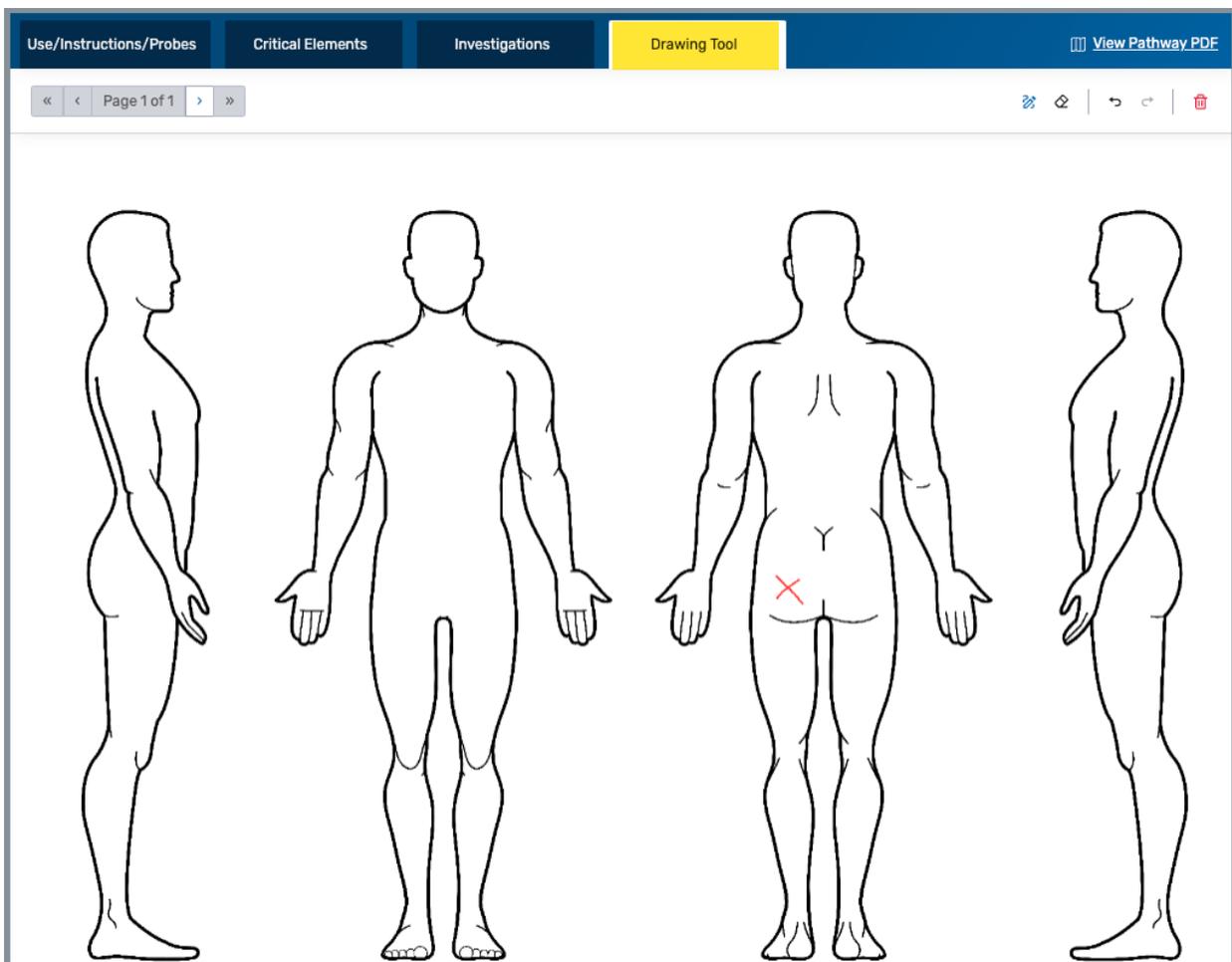


Figure 225: Drawing Tool Tab

Investigations Residents tab

Note: The **Investigations Residents** tab is only available when going into an investigation by investigative area.

Click the investigative area on **Investigations** landing page to see a list of all residents who fall under that specific investigative area. See *Figure 226, Investigations Residents Tab*.

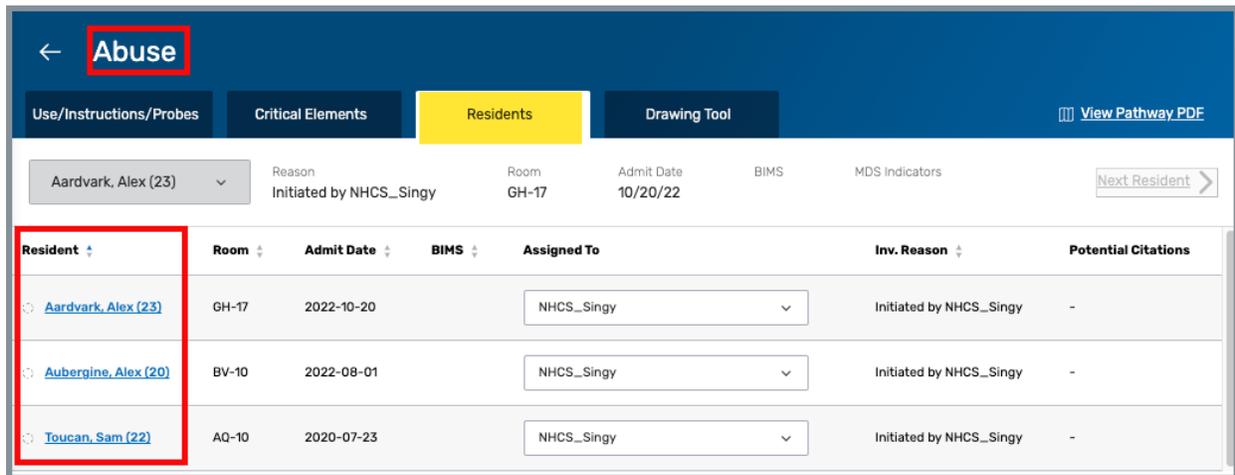


Figure 226: Investigations Residents Tab

22.6 Investigation and Resident Notes

Purpose: To document notes for each investigation during the survey.

General Notes

- Investigation and Resident Notes are not the same as Surveyor Notes and are in addition to Surveyor Notes. Refer to [Surveyor Notes](#) in this document for further details on those notes.
- Investigation notes are specific to the resident and investigative area.
- Resident notes display for all investigative areas for the resident.
- Any survey team member assigned to the investigation can add, edit, delete, or view Investigation and Resident Notes.
- Surveyors who are not assigned to the investigation, but are on the survey team, can view the Investigation and Resident Notes.
- Some roles that cannot be added to the Survey Team are able to view Investigation Notes and Resident Notes as read-only.

Navigate to Investigation and Resident Notes

- Click the Notes icon on the top right of the screen to open all Notes. The icon is located directly under the user name. See *Figure 227, Notes Icon*.



Figure 227: Notes Icon

- Investigation and Resident Notes open in combination with Surveyor Notes. Click on any tab to leave a note for that specific area. See *Figure 228, Facility Notes View*.

Note: The note area that is in use has a white background.

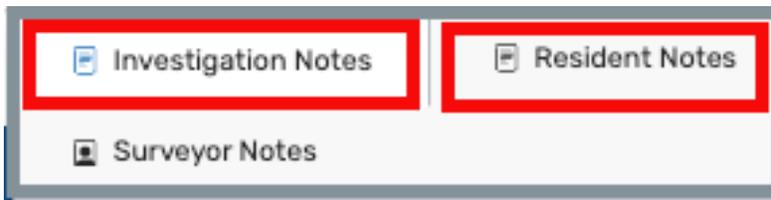


Figure 228: Facility Notes View

- The Investigation and Resident Notes default to opening on the right. Click either the Investigation or the Resident Notes bottom menu icon to open the Facility Notes on the bottom of the page. See *Figure 229, Investigation and Resident Notes Bottom Screen Icon*.



Figure 229: Facility Notes Bottom Screen Icon

- Notes can be resized on the screen by dragging the left line (when the notes are on the left) or the top line (when the notes are on the bottom) of the Notes panel. Hover over line until the directional arrows are shown, then drag the line in either direction.

Create an Investigation or a Resident Note

- When there are Care Area Notes for the Care Area linked to the investigative area, the Care Area Notes will be copied into the Investigation Notes for the investigation assignee at the time it was created. The surveyor assigned to the investigation can keep the copied notes or delete them from their Investigation Notes.
- The Care Area Notes are not copied for any surveyors subsequently assigned to the investigation. The copied Care Area Notes can be viewed by all Surveyors in the **View All Surveyors** view for Investigation Notes.
- Click in either the Investigation or Resident Notes text area to create a note.
- A date/time stamp is automatically inserted when the surveyor starts to type in the text area when the text area is blank. Click Date/Time Stamp icon to insert date for additional notes.
- Type notes. See *Figure 230, Sample Investigation Note*.

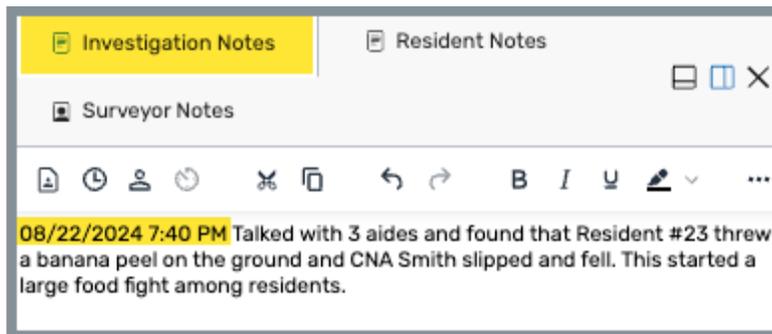


Figure 230: Sample Investigation Note

- Notes are autosaved.
- The **Last saved** date and time shows at the bottom of the Notes. See *Figure 231, Notes Last Saved Date and Time*.

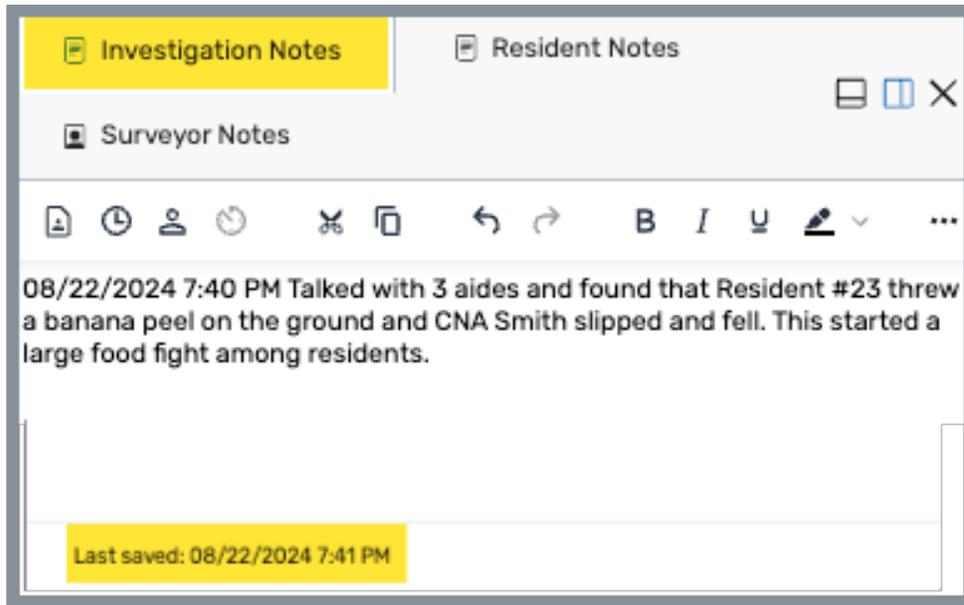


Figure 231: Notes Last Saved Date and Time

Custom Toolbar Functions

There are 4 custom toolbar options among the normal standard formatting options. See *Figure 232, Notes Custom Toolbar Functions*.

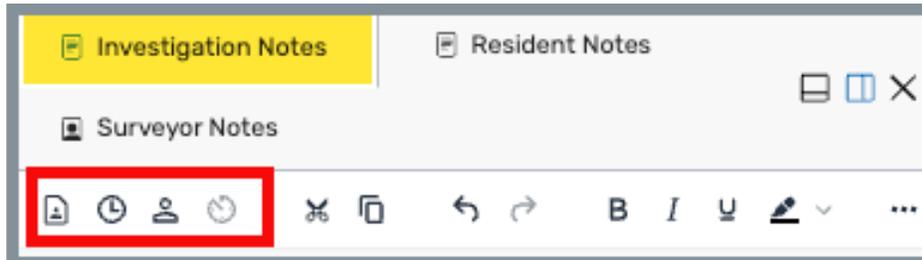


Figure 232: Notes Custom Toolbar Functions

From left to right they are:

- [View All Surveyor Notes](#)
- [Insert Date/Time Stamp](#)
- [Insert Resident ID](#)
- [Notes History](#)

Note: Hover over the icon to see the name of the icon.

- **View All Surveyor Notes**

View all team member's Surveyor Notes. See *Figure 233, View All Surveyor Notes*. Click any name to view the note.

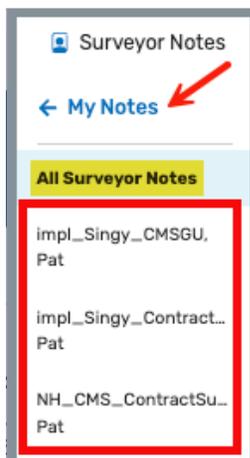


Figure 233: View All Facility Notes

Click **My Notes** to return to the user's Notes.

- **Insert Date/Time Stamp**

Insert the current date/time at the cursor placement.

- **Insert Resident ID**

Select **Resident ID** to be inserted into the Notes. The resident ID of the investigation resident is inserted.

- **Notes History**

View a history of all autosaved Notes entries. If a previously saved entry is deleted in error, it can be accessed from the Notes History and copied and pasted into the current Notes.

- **Help**

There is also a help icon on the toolbar which can be accessed for additional information as well as keyboard shortcuts. See *Figure 234, Notes Formatting Menu*.

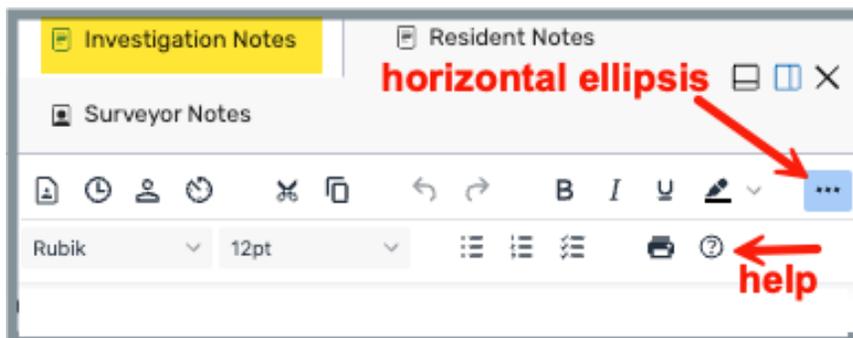


Figure 234: Notes Formatting Menu

Note: Click the horizontal ellipsis to view the second row of formatting options.

22.7 Complete an Investigation

Note: An investigation is completed when at least one assigned surveyor has answered all of the CE questions for an investigation. See *Figure 235, Completed Investigation*.



Figure 235: Completed Investigation

Check the **Hide Completed Investigations** checkbox to filter completed investigations. See *Figure 236, Hide Completed Investigations*.



Figure 236: Hide Completed Investigations

23. Potential Citations

Purpose: To review all tags from investigations and facility tasks marked as not in compliance and to evaluate survey data and determine whether or not to cite each tag.

Notes:

- Only the TC can edit potential citations.
- The highest noncompliance level is selected when a tag has multiple surveyors citing noncompliance, but all notes are included.
- The four tabs organize citations by **All Citations**, **Cited**, **Not Cited** and **Undeclared**. The numbers next to the tab titles shows how many tags there are.
- When a surveyor removes their notes or changes their compliance answers, it reflects immediately in Potential Citations.

23.1 Click **Potential Citations** on the left menu on the drop-down left menu under Investigation. The **Potential Citations** window opens to the **All Citations** tab. See *Figure 237, Potential Citations*.

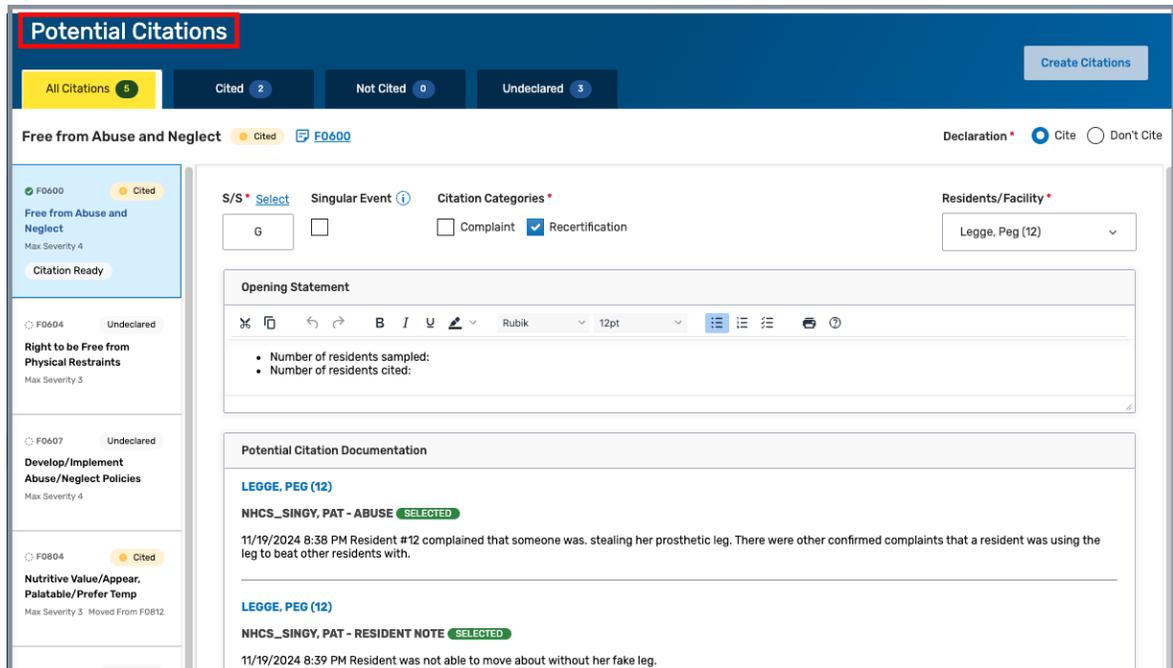


Figure 237: Potential Citations

23.2 Review citations.

Note: Click citation number link to review citation regulation text and interpretive guidance.

23.3 Review notes.

Note: Potential Citation documentation comes from Investigation Notes, Resident Notes, and Facility Notes that are relevant to the F-tag. The area is always cited. See [Citation Cited figure](#).

23.4 Select [Cite](#) or [Don't Cite](#).

[Cite](#)

a. Select the F-tag to update.

Note: F-tag is highlighted in blue.

b. Select the radio button next to **Cite**.

c. Add the **Scope/Severity (S/S)** level. See *Figure 238, F-Tag Cited*.

Notes:

- Click **Select** to review scope and severity levels.
- IJ date fields open when **S/S** is a **J** or higher. **IJ Start** and **End Dates** must be added, along with whether it was a singular event. See *Figure 239, IJ Start/End Dates*.
 - IJ scope/severity levels of **J, K, or L** trigger the IJ start/end date.
 - IJ scope/severity levels of **G or J** trigger singular events
 - IJ scope/severity levels of **F, H, I, J, K, or L** for an SQC tag trigger the Extended Survey Facility Task.

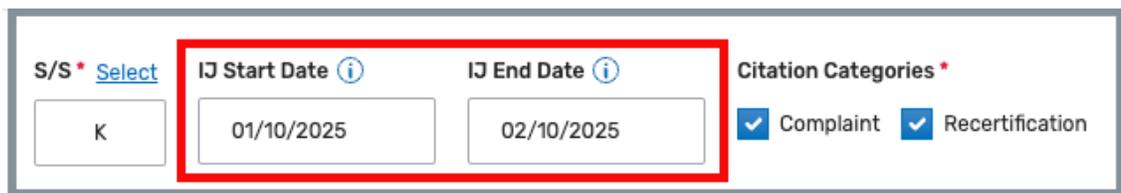


Figure 238: IJ Start/End Dates

- When **Citation Categories** is automatically checked, it can be changed by the TC.

Note: Citation Categories is dependent on the survey category as well as whether the investigation or facility task is associated to an intake.

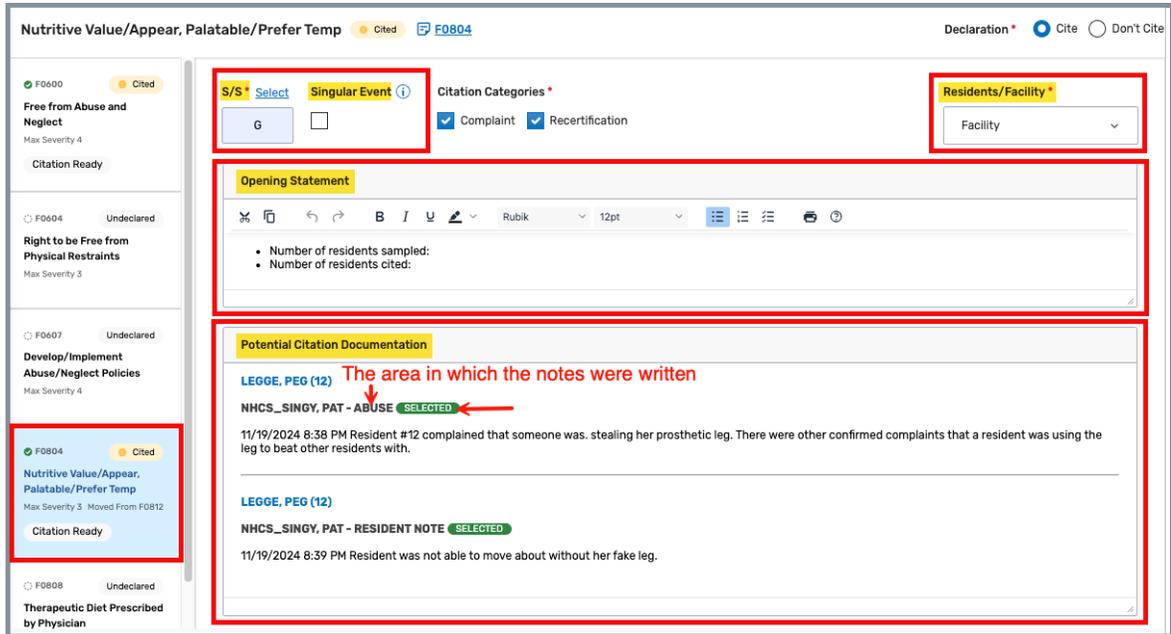


Figure 239: F-Tag Cited

d. Add the **Residents/Facility** from the drop-down menu.

Note: The **Residents/Facility** drop-down menu shows either the resident or the facility, along with the surveyor name and severity level. See *Figure 240, Residents/Facility Drop-Down Menu*.

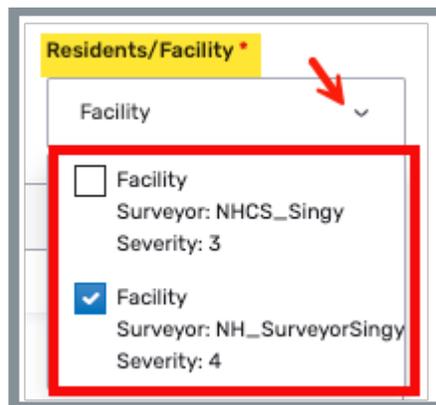


Figure 240: Residents/Facility Drop-Down Menu

e. Update the **Opening Statement**.

Notes:

- The automatic text in the **Opening Statement** field is there to help. It can be changed.
- The field automatically saves and shows the last saved date on the bottom of the field.

f. Review the **Potential Citation Documentation**.

Note: Only the selected **Potential Citation Documentation** notes become the **Citation Findings**. In the example in the [F-Tag Cited figure](#), the selected notes match the selected facility choice and severity.

[Don't Cite](#)

a. Select the F-tag to update.

Note: F-tag is highlighted in blue.

b. Select the radio button next to **Don't Cite**. The **Reason Not Cited** drop-down menu opens. See *Figure 241, Reason Not Cited*.

Note: Type **A citation can be moved to another tag when Other, Explain** is the reason.

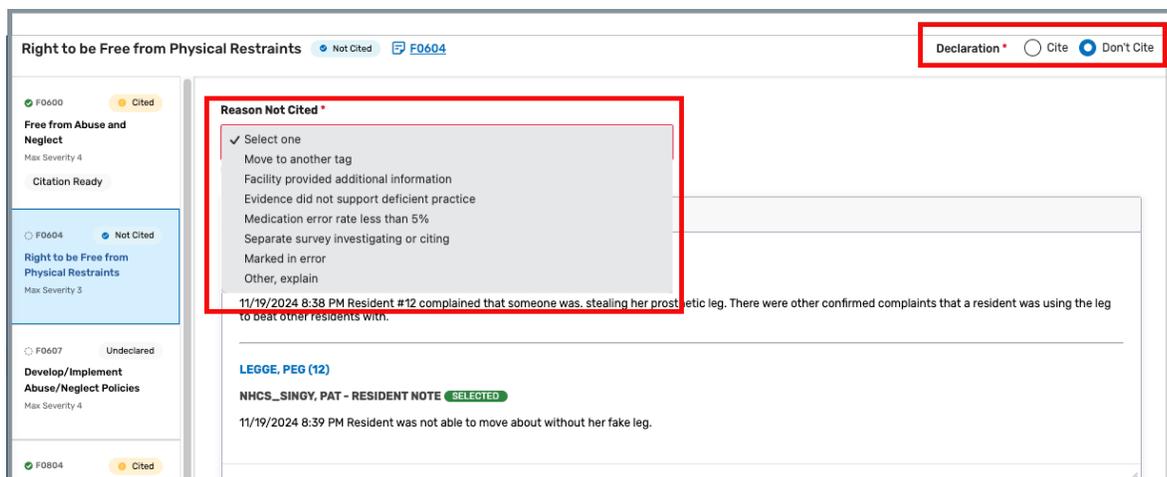


Figure 241: Reason Not Cited

- c. Verify the F-tag has a white checkmark in a blue circle for the tag and white checkmark in a blue circle for **Not Cited**. See *Figure 242, F-Tag Updates*.



Figure 242: F-Tag Updates

[Move to Another Tag](#)

An F-tag can be moved to another F-tag.

Notes:

- Any F-tag that has been moved is automatically set to **Cited**.
 - The notes from the original citation are moved and can be reviewed.
 - An F-tag cannot be moved to an F-tag that has already been moved.
- a. Select **Move to Another Tag** from the **Reason Not Cited** menu. See [Reason Not Cited](#) figure.
 - b. Type new F-tag number in **New Tag** field. The tag must be cited or undeclared to move the new citation.
 - c. Click **Save**.

Note: The citation now notes **Moved from [tag]** on citation. See *Figure 243, Move a Citation Tag*.

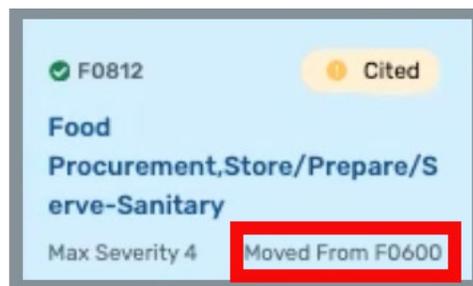


Figure 243: Move a Citation Tag

[Create Citation](#)

- a. The **Create Citation** button is disabled until all tags have been reviewed and completed.

Notes:

- The tag cannot already exist as a citation
 - Citations cannot be locked
- b. Click **Create Citation**. A pop-up window opens.

24. Resources

Purpose: Survey protocols and interpretive guidelines serve to clarify and/or explain the intent of the regulations. All surveyors are required to use them in assessing compliance with federal requirements. Deficiencies are based on violations of the regulations, which are to be based on observations of the nursing home's performance or practices.

Notes:

The resources provide additional information about the background and overview of the final rule, frequently asked questions, and other related resources.

Click **Resources** on the left menu. See *Figure 244, Resources*. The resources automatically download.

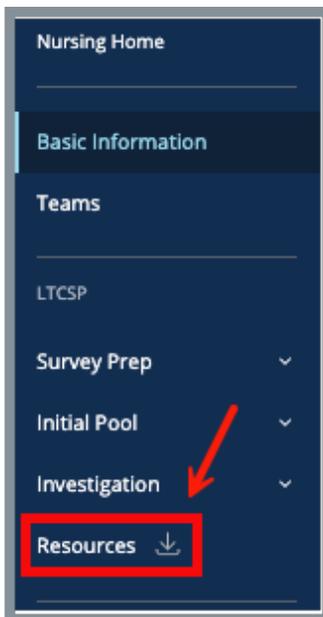


Figure 244: Resources

25. Search for a Survey

Purpose: To search for a survey.

- 25.1 Go to **Survey & Certification** at the top of the iQIES home page. Click the arrow to open the drop-down menu.
- 25.2 Click **Search**. The **Search** screen opens. See *Figure 245, S&C Search*.



Figure 245: S&C Search

- 25.3 Click **Surveys** tab.
- 25.4 Select **Provider** or **DBA** (Doing Business As), **CCN** (CMS Certification Number) or **Survey ID** from the drop-down menu under **Search for Surveys**. See *Figure 246, Search*.

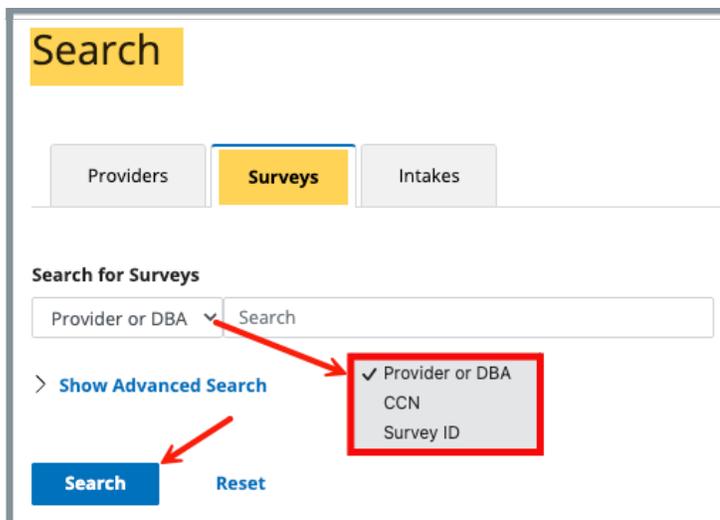


Figure 246: Search

- 25.5 Type search criteria.
- 25.6 Click **Search**. The survey information shows below. See *Figure 247, Survey Search Results*.

Note: Click **Show Advanced Search** for a more detailed search.

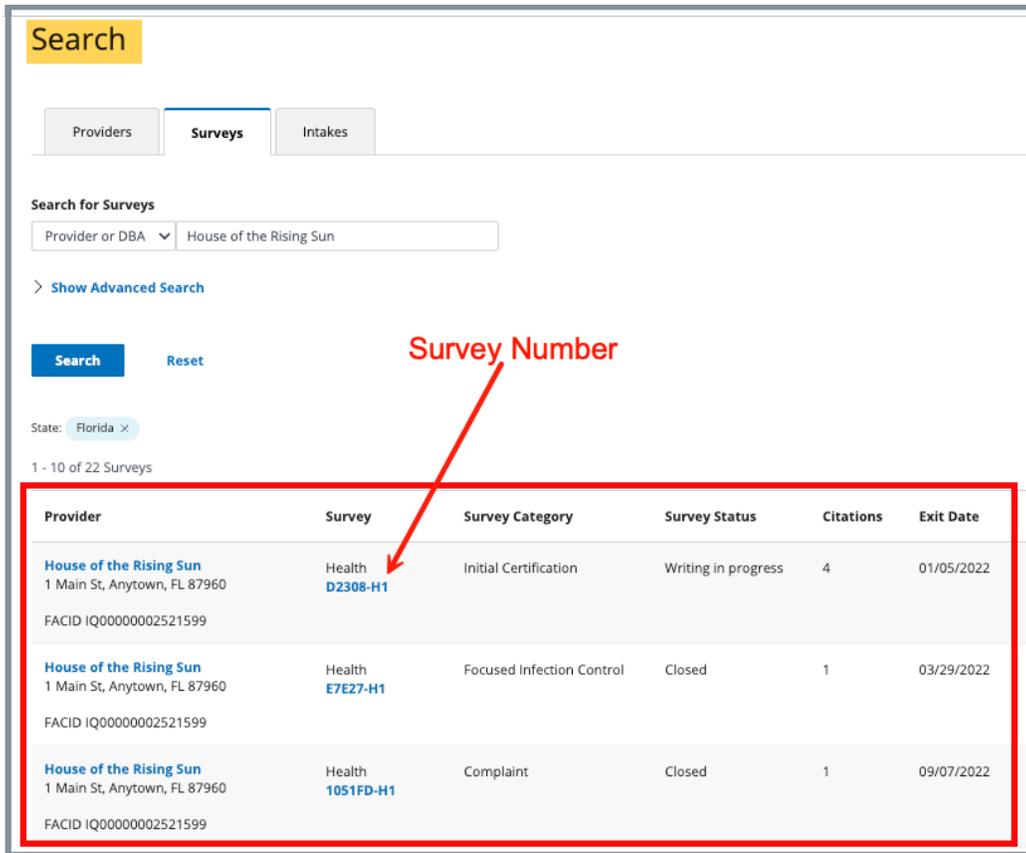


Figure 247: Survey Search Results

25.7 Click the survey number to view basic information. The **Basic Information** window opens. See *Figure 248, Survey Basic Information*. The top gray menu bar shows:

- Survey status
- Survey category
- Start and exit dates
- Revisit status
- [Track status](#)
- Survey actions drop-down menu

The survey basic information shows:

- Survey Type
- Enforcement Case ID
- Survey Categories
- Survey Extents
- Regulation Sets
- Survey Status

Status	Category	Start Date	Exit Date	Revisit Status	Track Status	Survey action -
New	<ul style="list-style-type: none"> Complaint Re-Licensure +1 more 	07/11/2020	No information	Not Determined	13C27C 25%	

Basic Information

[Edit](#)

Manage the basic information for this survey.

Survey Type	Health
Enforcement Case ID	No information
Survey Categories	
Federal Categories	<ul style="list-style-type: none"> Complaint Recertification
State Categories	Re-Licensure
Intakes to Include in Complaint Survey	Complaint 715229
Survey Extents	
Survey Extents	No information
Regulation Sets	
Federal Regulation Sets	Long Term Care Facilities (FED - F - 07.02)
State Regulation Sets	<ul style="list-style-type: none"> State: Nursing Facilities (ST - N - 4.1) NF State Licensing (ST - C - 2.5) Core Licensure (ST - C - 2.14)
Survey Status	
Survey Status	Open
Start Date	07/11/2020
Exit Date	No information
Survey Due Date	No information

Figure 248: Survey Basic Information

26. Citations

Purpose: Add, delete, edit, or review a citation for long term care facilities outside the long term care survey process.

Notes:

- The citations process works the same regardless of the provider type.
- Use [Potential Citations](#) to add a new citation when the survey is part of the LTCSP.
- Citation findings, memo text, and deficient practice statements are automatically saved as they are entered into iQIES.
- Only the team member who created a citation can delete that citation.
- QA team members can act on behalf of surveyors and have the same privileges as a survey team member does.
- Click **Return to Citations** to get to the **Citations** screen, if desired.
- Notifications are shown in yellow boxes. Refer to *Figure 249, Citation Notification Example*. Read the notification and follow the directions, if necessary.

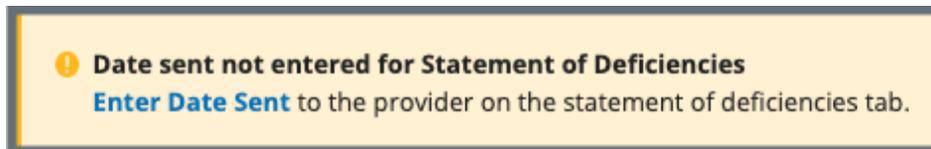


Figure 249: Citation Notification Example

Click any of the following links to go directly to the process:

[Citation Overview](#)

[Manage Survey Categories](#)

[Add a Citation to a Health Survey](#)

[Add a Citation to an LSC Survey](#)

[Delete a Citation](#)

[Add a Deficient Practice Statement](#)

[Add Findings to a Citation](#)

[Content Library](#)

[Add an Attachment](#)

[Conditions Needed to Lock a Citation](#)

[Lock/Unlock a Citation](#)

[Merge Citation Findings](#)

[Create a Revisit Survey](#)

[Create a Revisit Survey for Specific Citations](#)

[View Older Revisit Surveys](#)

[Immediate Jeopardy](#)

26.1 Citation Overview

Notes:

- Citation Statuses are:
 - **Not Started**
 - **In Progress**
 - **Ready for Merge**
 - **Merged – In Progress**
 - **Writing Complete**
 - **Corrected**
- The **Actions** menu has the following choices: **Add New Findings, Edit Findings, Delete Citation, View Findings**. The selection is dependent on the citation status.

26.1.1 Click **Citations** on the left menu. The **Citations** window opens. See *Figure 250, Citations*.

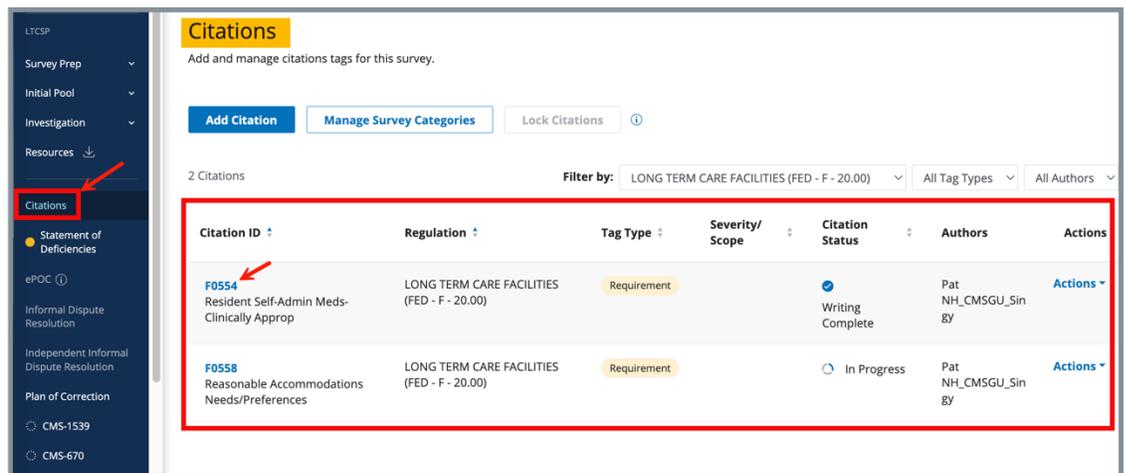


Figure 250: Citations

26.1.2 Click the citation to open **Citation Overview**. The Citation Overview window opens. See *Figure 251, Citation Overview*.



Figure 251: Citation Overview

Note: The **Edit** button is only viewable if the citation contains editable fields.

26.1.3 Click **Edit** to edit the Overview. The **Edit Citation Overview** window opens. See *Figure 252, Edit Citation Overview*.

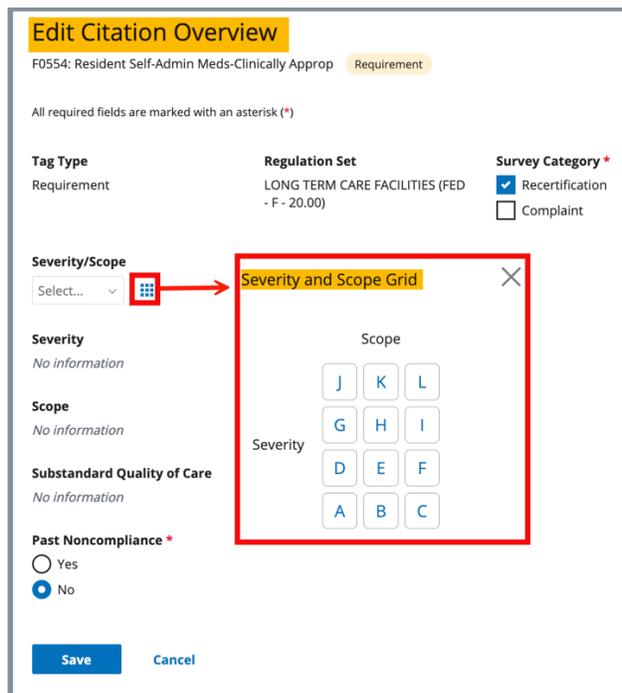


Figure 252: Edit Citation Overview

Note: Click the grid next to **Severity/Scope** to view the **Severity and Scope Grid**. The drop-down menu displays **Severity/Scope** letters.

26.1.4 Click **Save**. The screen returns to the **Citation Overview**.

26.2 Manage Survey Categories

Note: Citations that are associated with a complaint survey category can only be removed after the allegation is removed from the citation page.

26.2.1 Click **Manage Survey Categories**. See *Figure 253, Manage Survey Categories*. The **Manage Survey Categories** window opens.

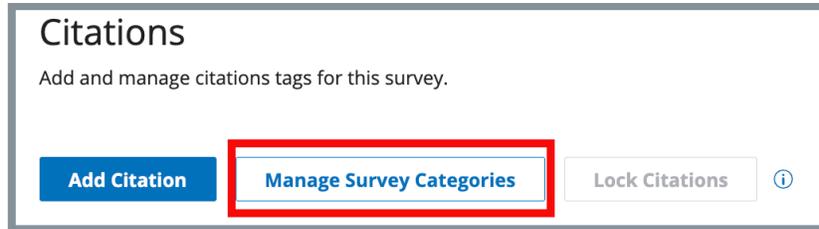


Figure 253: Manage Survey Categories

26.2.2 Check the box next the correct survey category. See *Figure 254, Manage Survey Categories Window*.

Note: More than one category can be checked.

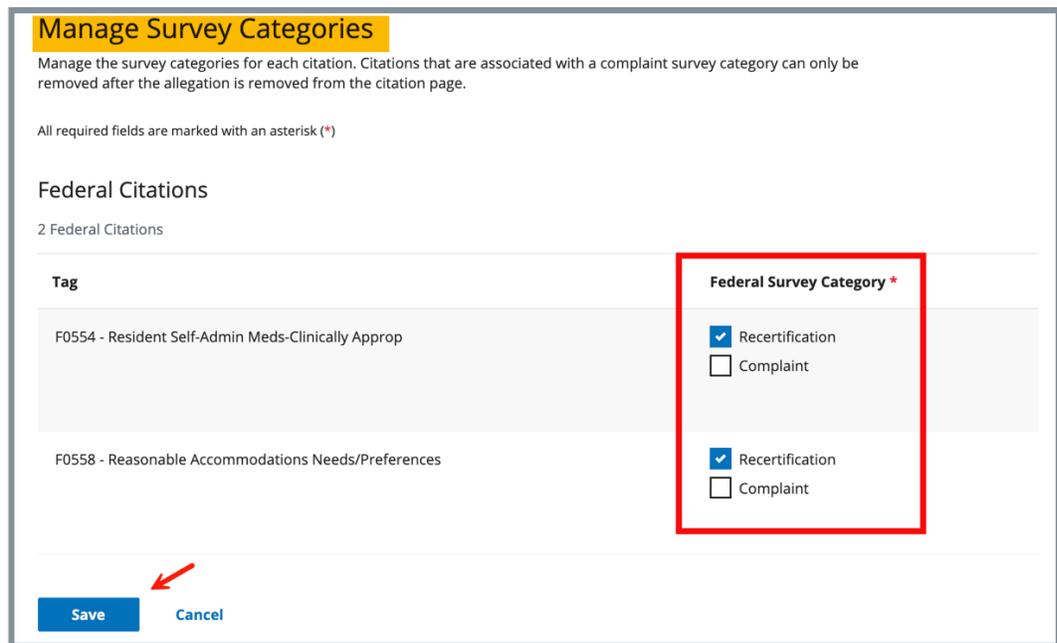


Figure 254: Manage Survey Categories Window

26.2.3 Click **Save**.

26.3 Add a Citation for a Health Survey

26.3.1 Click **Add Citation** in the **Citations** window to add a citation to the survey. The **Add Citations** window opens. See *Figure 255, Add Citation Window*.



Figure 255: Add Citation Window

Notes:

- Search for citations in the **Search by citation tag number, title, or keyword** text box. Click the magnifying glass icon to search.
- Filter citations by **Regulation Sets** and **Tag Types**, if desired.

26.3.2 Click **Add** next to any citation to add it. The citation will be added to the **Added Citations** list on the right. See *Figure 256, Added Citations* and *Table 34, Added Citations Detailed Callout*.

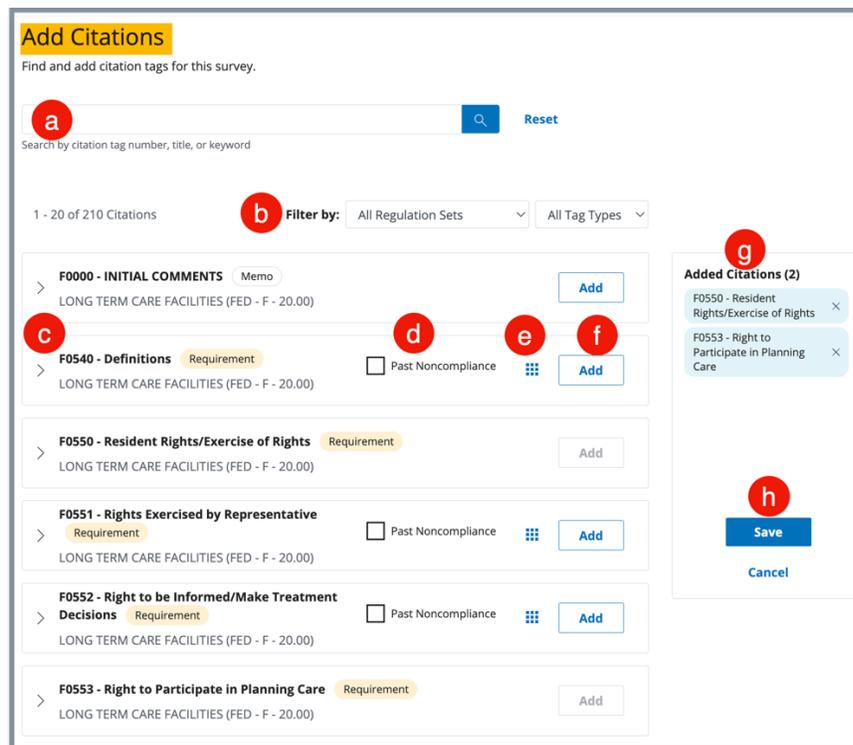


Figure 256: Added Citations

Table 34: Added Citations Detailed Callout

No.	Name	Description
a	Search	Search for a citation by tag number, title or keyword.
b	Filter by	Filter by regulation sets and tag types (Conditions, Standard, Licensure, Element, Memo, Requirement).
c	F-tag	The federal tag and title. Click the caret to view regulation text and interpretive guidelines.
d	Past Noncompliance	Click checkbox next to Past Noncompliance when facility is noncompliant. Checkbox is available when applicable.
e	Severity/Scope grid	Click the grid to view the severity/scope grid to select a severity/scope.
f	Add	Click Add to add the F-tag to the citation.
g	Added Citations [#]	Added citations appear on this list. The number next to Added Citations is the number of citations added.
h	Save	Click to add citation tags.

26.3.3 Click **Save** to save citation tags to the survey. The screen returns to the **Citations** window.

26.4 Add a Citation for an LSC Survey

Note: Citations are associated with a building for Life Safety Code Surveys.

26.4.1 Click **Add Citation** in the **Citations** window to add a citation to the survey. The **Add Citations** window opens. See *Figure 257, Add LSC Citation Window*.

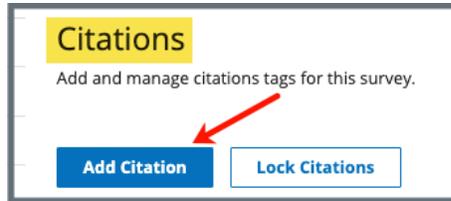


Figure 257: Add LSC Citations Window

26.4.2 Click the radio circle next to the desired building. See *Figure 258, Add LSC Citations Step 1*.

Note: Each citation must be associated with a building. This process must be repeated to add a citation to a different building. If the building is not in the building list, add the building. Review [Locations](#) for details on how to add a building.

26.4.3 Click **Save Building & Continue** to go to **Step 2** to complete adding the citation.

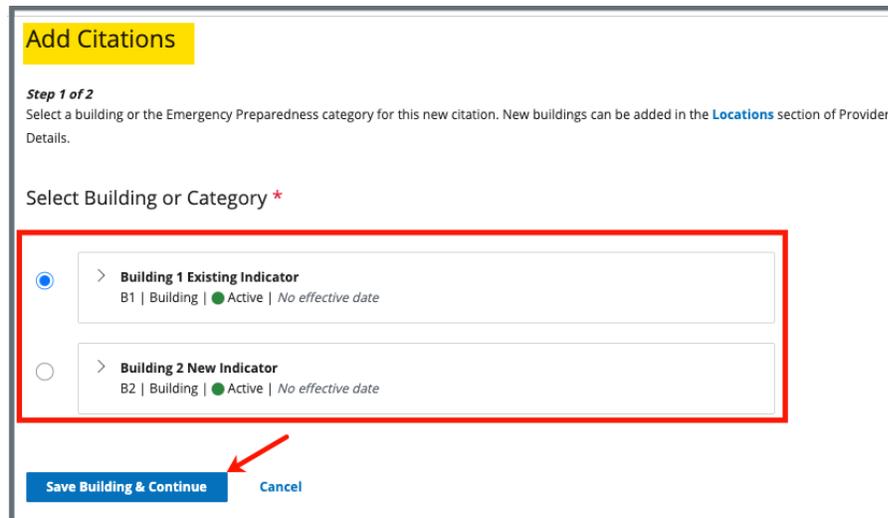


Figure 258: Add LSC Citations Step 1

26.4.4 Click **Add** next to any citation to add it. The citation will be added to the **Added Citations** list on the right. See *Figure 259, Add LSC Citations, Step 2*.

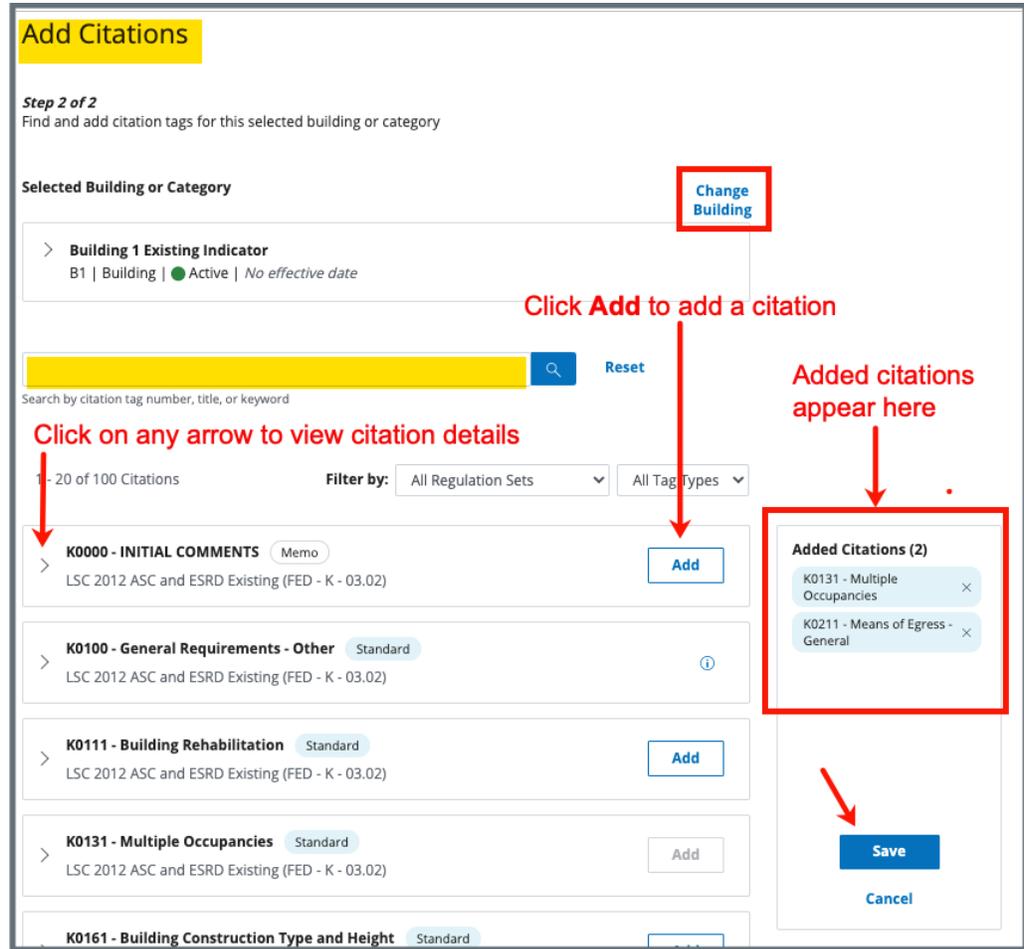


Figure 259: Add LSC Citations, Step 2

Notes:

- Click any citation to view details about the citation.
- Click the **X** next to the tag number under **Added Citations** to remove a citation before saving, if desired.

26.4.5 Click **Save** to save citations to the survey. The screen returns to the **Citations** window.

26.5 Delete a Citation

Note: The citation cannot be deleted by the user if another team member has added findings. A TC or a QA Teams member can delete the findings when findings are merged.

- 26.5.1 Click **Delete Citation** under the **Actions** menu on the Citations page. See *Figure 260, Actions Delete Citation Drop-Down Menu*. A confirmation pop-up window appears.

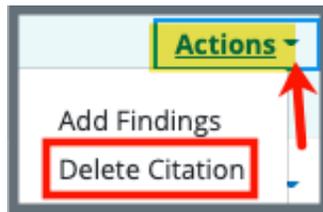


Figure 260: Actions Delete Citation Drop-Down Menu

- 26.5.2 Click **Confirm**. See *Figure 261, Delete Citation Confirmation Pop-up Window*. The citation has been deleted.

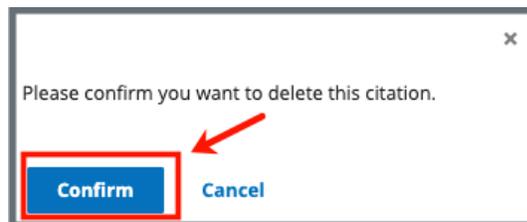


Figure 261: Delete Citation Confirmation Pop-up Window

26.6 Add a Deficient Practice Statement

Note: The Content Library stores reusable content. Refer to [Content Library](#), for more information.

26.6.1 Click the **Citation ID**. The **Citation Overview** window opens.

26.6.2 Click **Deficient Practice Statement** on the left menu. See *Figure 262, Deficient Practice Statement*. The **Deficient Practice Statement** window opens.

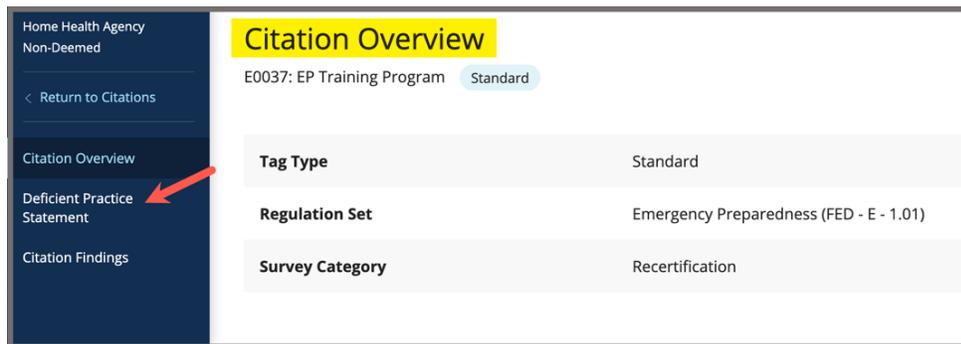


Figure 262: Deficient Practice Statement

26.6.3 Click the caret to review the **Regulation Text and Interpretive Guidelines**. See *Figure 263, Regulation Text and Interpretive Guidelines*.

Note: The **Regulation Text and Interpretive Guidelines** are helpful to write the **Deficient Practice Statement**.

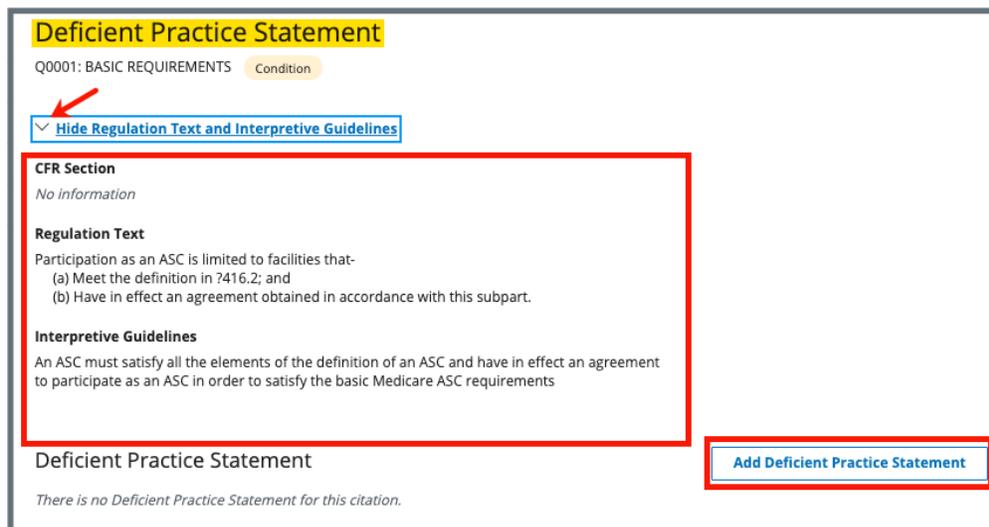


Figure 263: Regulation Text and Interpretive Guidelines

26.6.4 Click **Add Deficient Practice Statement**.

26.6.5 Type the Deficient Practice Statement in the text box. See *Figure 264, Deficient Practice Statement Text Box*.

Note: Click **Show Regulation Text and Interpretive Guidelines** for helpful text and guidelines in filling out the Deficient Practice Statement. Click again to hide the text.

Figure 264: Deficient Practice Statement Text Box

Note: Be aware that two users can be in **Edit** mode in the **Deficient Practice Statement** at the same time. See *Figure 265, Concurrent Editor Notification*.

One user will overwrite the other person's data.

- Exit **Edit** mode if either of these notifications appears: [Concurrent Editor Notification](#) or [DPS Pencil Icon](#).
- Carefully verify that any input has been saved correctly. Be sure to refresh the screen, if necessary.

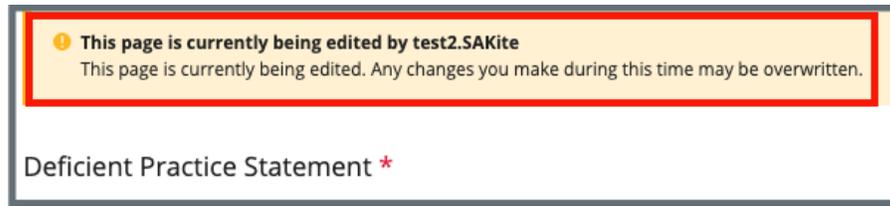


Figure 265: Concurrent Editor Notification

- A pencil icon is shown next to **Deficient Practice Statement** on the left menu when another user is editing the text area.
- Click the pencil and an explanatory text shows the name of the user who is editing the **Deficient Practice Statement**. See *Figure 266, DPS Pencil Icon*.

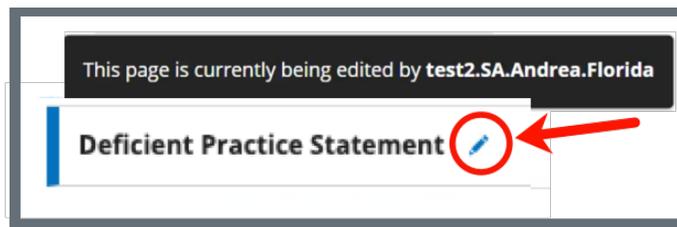


Figure 266: DPS Pencil Icon

26.6.6 Click **Save**.

26.7 Add Findings to a Citation

Note: The Content Library stores reusable content. Refer to [Content Library](#), for more information.

- 26.7.1 Click **Add Findings** in the **Actions** menu next to the correct citation on the **Citations** window. See *Figure 267, Citation Add Findings*. The Citation Findings window opens.



Figure 267: Citation Add Findings

Note: To view findings, edit comments, or delete memo for an existing citation, click the **Actions** drop-down menu in the **Citations** window. See *Figure 268, Actions Drop-Down Menu*. The respective window opens, and the specific action can be performed.

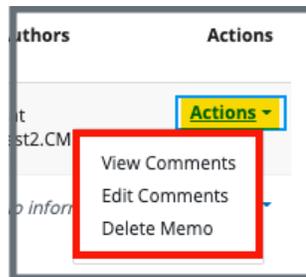


Figure 268: Actions Drop-Down Menu

26.7.2 Click **Add Findings**. The **Add Citation Findings** window opens. See *Figure 269, Add Citation Findings*.

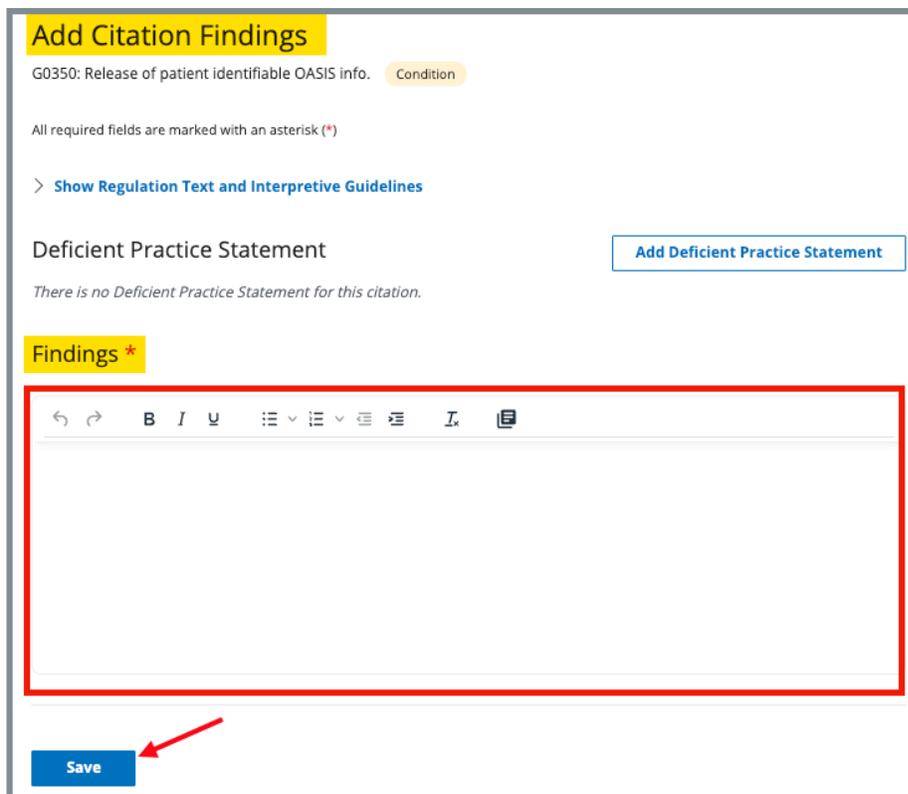


Figure 269: Add Citation Findings

Note: Be aware that two users can be in **Edit** mode in **Findings** at the same time. See *Figure 270, Concurrent Editor Notification*.

One user will overwrite the other person’s data.

- Exit **Edit** mode if either of these notifications appears: [Concurrent Editor Notification](#) or [DPS Pencil Icon](#).
- Carefully verify that any input has been saved correctly. Be sure to refresh the screen, if necessary.

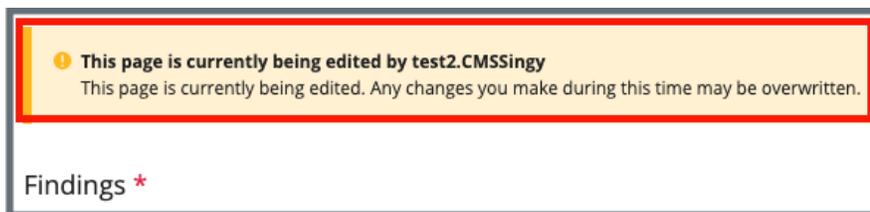


Figure 270: Concurrent Editor Notification

- A pencil icon is shown next to **Citation Findings** on the left menu when another user is editing the text area.
- Click the pencil and an explanatory text shows the name of the user who is editing the **Findings**. See *Figure 271, Findings Pencil Icon*.

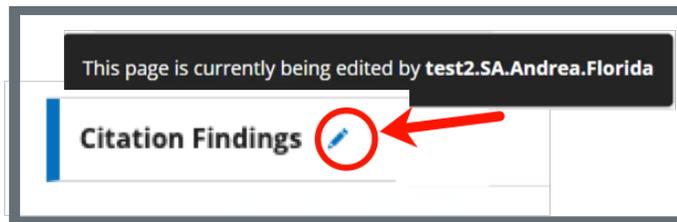


Figure 271: Findings Pencil Icon

26.7.3 Type details in the **Findings** fields. Once writing starts, the **Citation Findings Status** opens below.

Note: It is possible to copy existing text and paste it in the citation field. Copy the text (right click or **Ctrl + C**) and use **Ctrl + V** on the keyboard to paste.

26.7.4 Select **In Progress** or **Writing Complete** for the status.

26.7.5 Click **Save**. The **Citation** window opens. Citation details are shown.

26.8 Content Library

Purpose: The Content Library is a place where reusable text content can be stored.

Note: The Content Library can be accessed from both the **Deficient Practice Statement Edit** window and the **Citations Findings** or **Edit** window. See *Figure 272, Content Library Icon*.

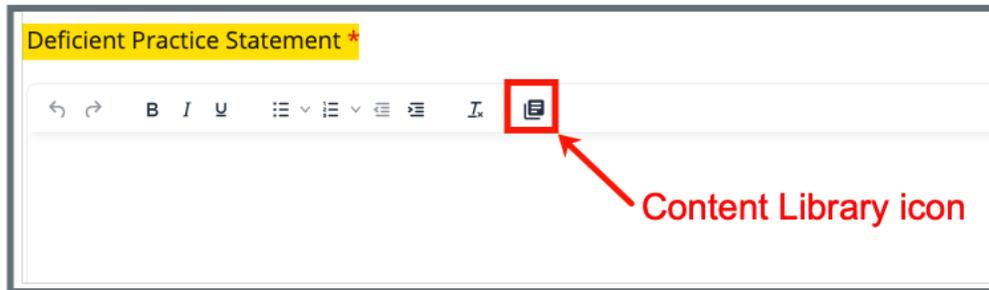


Figure 272: Content Library Icon

26.8.1 Click the **Content Library** icon. The **Content Library** pop-up window opens. See *Figure 273, Content Library Pop-up Window* and *Table 35, Content Library Popup Window Detailed Callout*.

Notes:

- The Content Library is optional.
- Once opened, some fields in the Content Library are required.

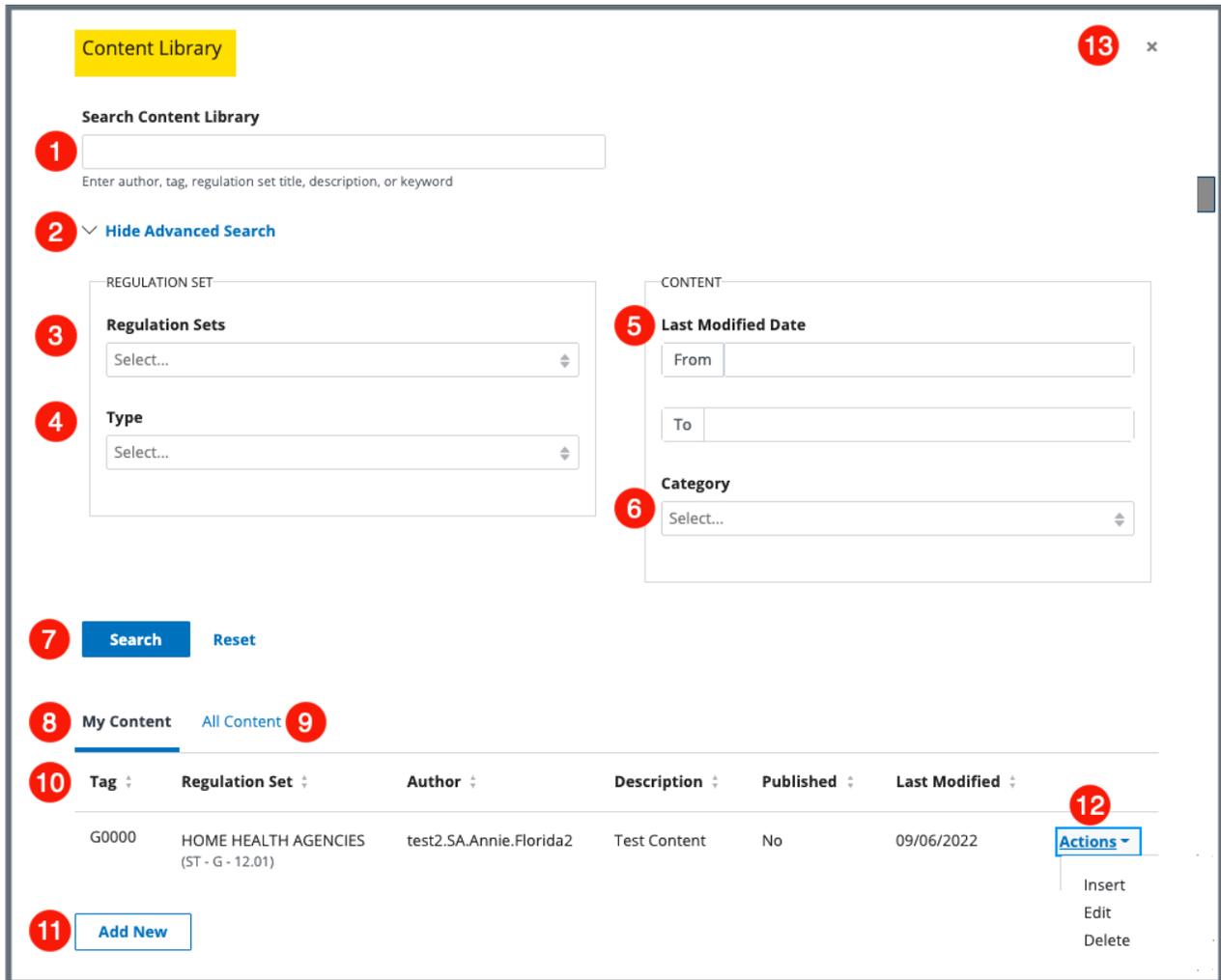


Figure 273: Content Library Pop-up Window

Table 35: Content Library Popup Window Detailed Callout

No.	Name	Description
1	Search Content Library	Type Author, Tag, Regulation Set Title, Description, Keyword
2	Show/Hide Advanced Search	Click Show Advanced Search to view additional selections. Click Hide Advanced Search to remove selections
3*	Regulation Set	Select from a list of regulation sets
4*	Type	Type options are State or Federal, not active reg sets
5*	Last Modified Date	The Last Modified Date is the date the content was initially created or last changed/modified
6*	Category	Search from All, Deficient Practice, Findings
7	Search	Click Search to search for the content
8	My Content	This tab has a list of all content created by the user
9	All Content	This tab has a list of all content that has been made available by all users
10	Table Headers	Content in My Content and All Content can be filtered by the headers. Click the upward and downward arrows to filter by any of the selections: Tag, RegSet, Content Type, Last Modified, Description, or Status.
11	Add New	Click Add New to add new content.
12	Actions	Click the Actions drop-down menu next to any content under My Content to Edit, Insert, or Delete content. The Actions drop-down menu under All Content only can be inserted or viewed.
13	X	Click to close the Content Library window

*These fields appear when **Show Advanced Search** is selected.

26.8.2 Click **Add New** in the **Content Library** window to add a new piece of content. The **New Content** window opens. See *Figure 274, New Content Pop-up Window* and *Table 36, New Content Popup Detailed Callout*.

Figure 274: New Content Pop-up Window

Table 36: New Content Popup Detailed Callout

No.	Name	Description
1	Return to Content Library	Return to the Content Library window and cancel New Content .
2*	Provider Type	Select the provider type from the drop-down menu.
3*	Survey Type	Select the survey type from the drop-down menu.
4*	Regulation Set	The regulation associated with the citation automatically appears. Click the caret to select a different regulation set from the drop-down menu.
5*	Tag	The tag associated with the citation automatically appears. Click the caret to select a different tag from the drop-down menu.
6	Publish Content	Check this box when the content created can be publicly accessed. This content will appear under All Content .
7	Content Category	Select Findings or Deficient Practice Statement .
8	Description	Type a description. This description is how the content can be found in the Content Library.
9	Text Box	The content goes here. It can be typed or pasted in the box.
10	Save	Click Save to save the content.
11	Save and Insert	Click to insert the information in the text box into the Deficient Practice Statement (DPS) or the Findings. Save and Insert saves any changes made to the content and inserts the content in the DPS or Citations Findings and closes the Content Library window.
12	X	Click to close the Content Library window.

*These fields are automatically generated but can be changed.

26.8.3 Insert, Edit, or Delete Information from the Content Library.

Note: Only content in **My Content** can be edited or deleted. Content from **All Content** can be viewed, inserted, or [duplicated](#).

- a. Open the Content Library.
- b. Click **Insert** under the **Actions** menu to insert existing content. See *Figure 275, Content Library: Insert, Edit, Delete*.
- c. Click **Edit** under the **Actions** menu to edit existing content.
- d. Click **Delete** under the **Actions** menu to delete existing content. A pop-up window opens and asks for confirmation to delete. Once deleted, the content is deleted from **My Content** and **All Content**.

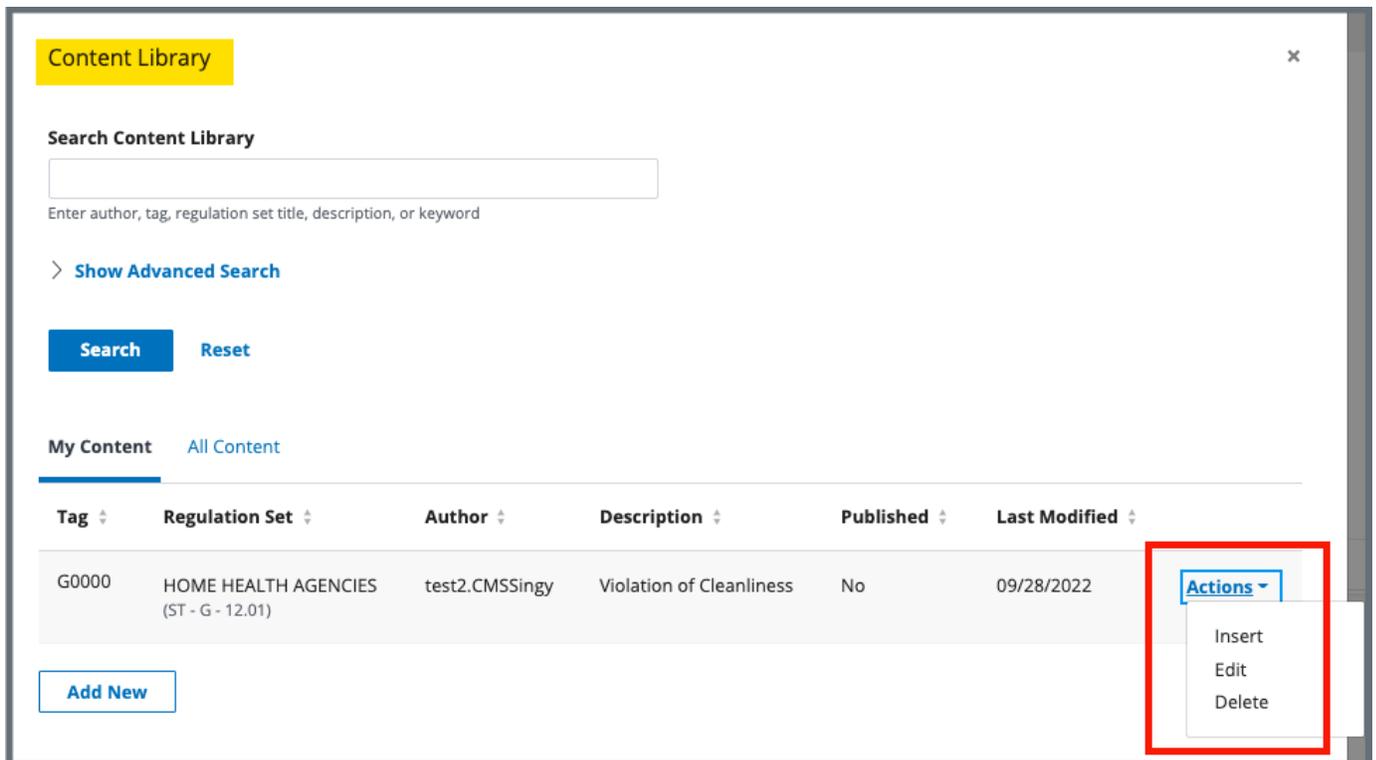


Figure 275: Content Library: Insert, Edit, Delete

26.8.4 Duplicate existing content

Purpose: Use **Duplicate** when there is existing content in **All Content** that you would like to use, but that may need to be edited.

- a. Click the **All Content** tab and search for content.
- b. Select **View** from the **Actions** drop-down menu. See *Figure 276, View Drop-Down Menu*.

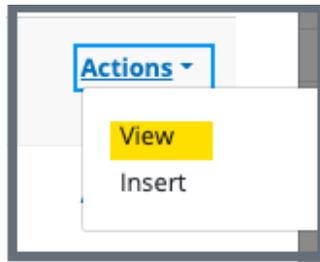


Figure 276: View Drop-Down Menu

- c. Click **Duplicate**. See *Figure 277, Duplicate*. The **Add New Content** window opens.

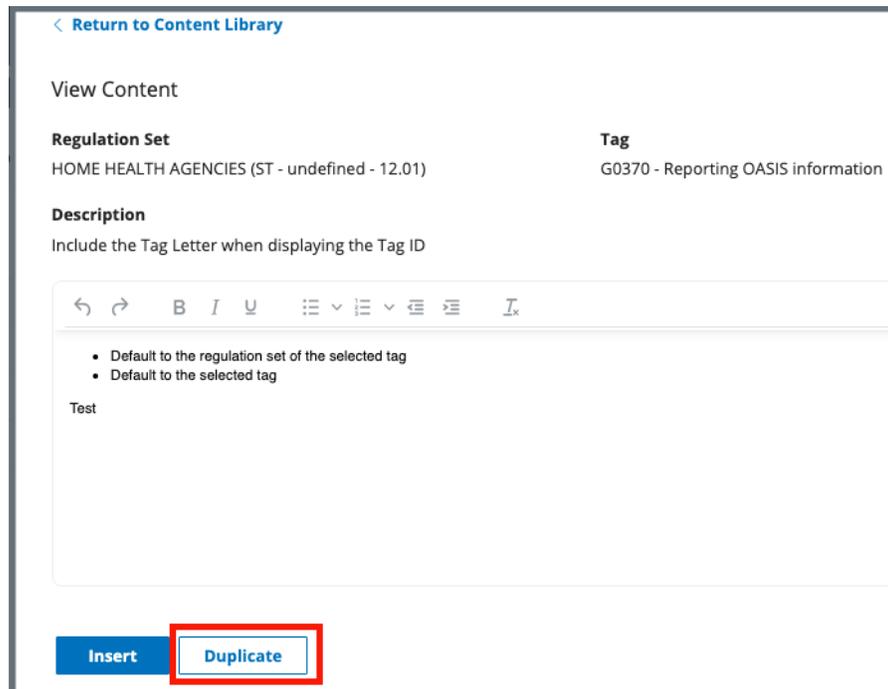


Figure 277: Duplicate

- d. Make any desired changes.

- e. Click **Save** to save the document to **My Content**. See *Figure 278, Edit Duplicated Content*.
- f. Click **Save and Insert** to save the documents to **My Content** and insert the content into the DPS or the Findings.

[Return to Content Library](#)

Add New Content

Provider Type *
Home Health Agency

Survey Type *
Health

Regulation Set *
HOME HEALTH AGENCIES (FED - G - 12.01)

Tag *
0370 - Reporting OASIS information

Publish Content

Content Category *
 Findings Deficient Practice Statement

Description *
COPY - Include the Tag Letter when displaying the Tag ID

↶ ↷ **B** *I* U

- Default to the regulation set of the selected tag
- Default to the selected tag

Tests

Edit content, if desired

Save **Save and Insert**

Figure 278: Edit Duplicated Content

Note: Duplicated Content has **COPY** in the description. See *Figure 279, Duplicated Content with COPY in Description*. To remove the word **COPY** from the description, select **Edit** from the **Actions** drop-down menu and delete the word from the description.

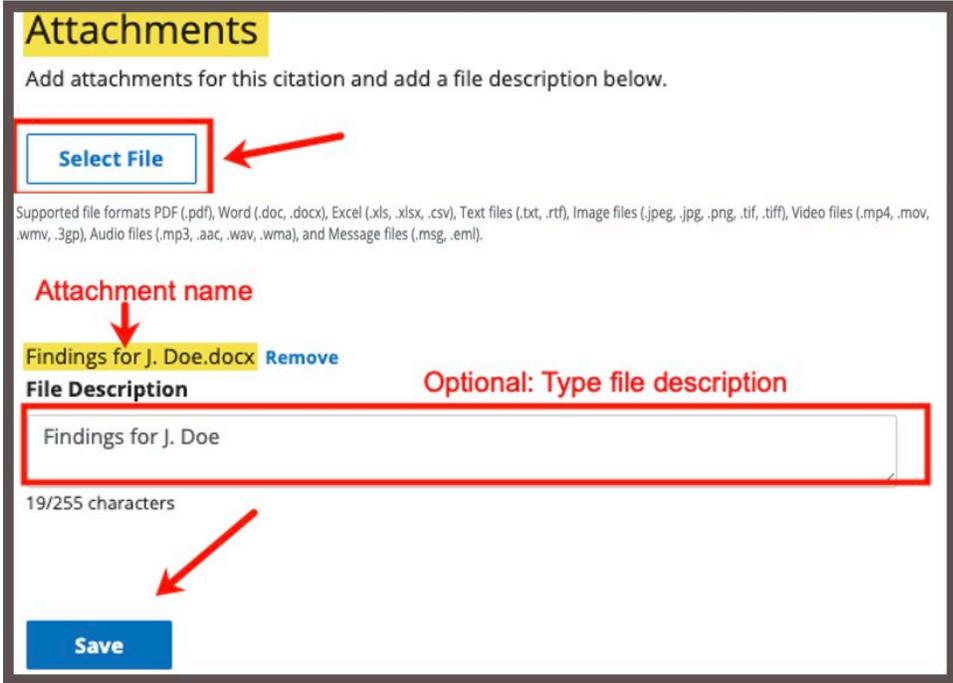
My Content		All Content				
Tag	Regulation Set	Author	Description	Published	Last Modified	
G0370	HOME HEALTH AGENCIES (ST - G - 12.01)	test2.CMSSingy	COPY - Include the Tag Letter when displaying the Tag ID	Yes	09/29/2022	Actions
G0370	HOME HEALTH AGENCIES (ST - G - 12.01)	test2.CMSSingy	COPY - Include the Tag Letter when displaying the Tag ID	Yes	09/29/2022	Actions
G0000	HOME HEALTH AGENCIES (ST - G - 12.01)	test2.CMSSingy	Violation of Cleanliness	No	09/28/2022	Actions

Figure 279: Duplicated Content with COPY in Description

26.9 Add an Attachment

Note: Only one attachment can be added at a time.

- 26.9.1 Click **Attachments** on the left menu on either the **Citation Overview** or **Citations** page. The **Attachments** window opens. See *Figure 280, Attachments*.



The screenshot shows the 'Attachments' window with the following elements:

- Attachments** (Title bar)
- Instruction: "Add attachments for this citation and add a file description below."
- Select File** button (highlighted with a red box and arrow)
- Supported file formats: PDF (.pdf), Word (.doc, .docx), Excel (.xls, .xlsx, .csv), Text files (.txt, .rtf), Image files (.jpeg, .jpg, .png, .tif, .tiff), Video files (.mp4, .mov, .wmv, .3gp), Audio files (.mp3, .aac, .wav, .wma), and Message files (.msg, .eml).
- Attachment name** field: "Findings for J. Doe.docx" (highlighted with a yellow box) and a **Remove** link.
- File Description** field: "Findings for J. Doe" (highlighted with a red box) and a red label "Optional: Type file description".
- Character count: "19/255 characters"
- Save** button (highlighted with a red box and arrow)

Figure 280: Attachments

- 26.9.2 Click **Select File**. The Windows Explorer window pops up. For Mac users, the Finder window pops up.
- 26.9.3 Select the file to be attached. Click **Open**. The file is attached and ready to be saved.
- 26.9.4 Type a file description in the **File Description** field, if desired.
- 26.9.5 Click **Save**. The file is attached to the Citation.

26.10 Conditions to Lock a Citation

The following conditions must be met to lock a citation:

- Refer to the [Immediate Jeopardy section](#) for locking citations with IJ
- All citation statuses are marked **Writing Complete**
- The survey has a start date and an exit date
- At least one survey extent (i.e., **Standard**, **Abbreviated**, or **Other**) is selected

Notes:

- The **Citations ready to be locked** notification banner appears when all citation writing has been marked complete.
- Unlock the citation to add a new citation or edit a locked citation.

26.11 Lock/Unlock a Citation

26.11.1 Click **Lock Citations** on the Citations page. See *Figure 281, Citations Ready to be Locked*. The **Survey Extents** popup opens.

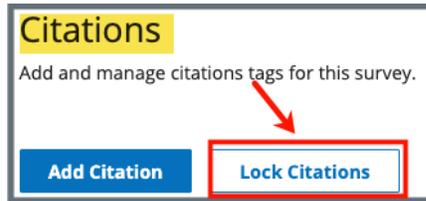


Figure 281: Citations Ready to be Locked

26.11.2 Click **View Survey Extents** to review or edit survey extents. See *Figure 282, Survey Extents Popup*.

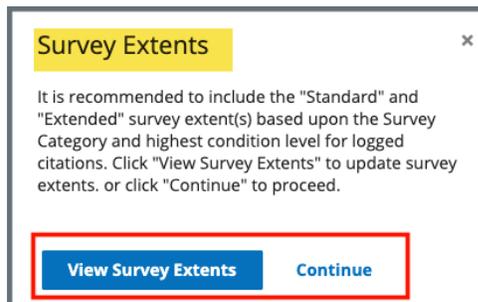


Figure 282: Survey Extents Popup

26.11.3 Click **Continue**, to lock citations. The **Lock Citations** popup opens. See *Figure 283, Lock Citations*.

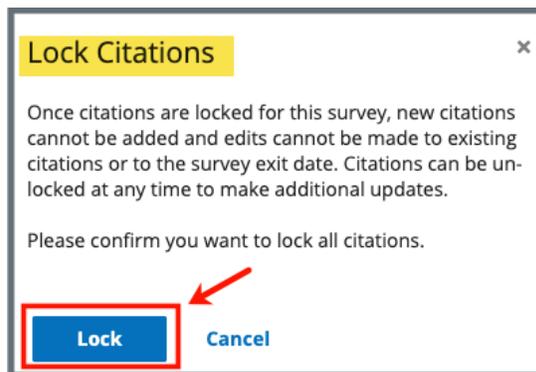


Figure 283: Lock Citations

26.11.4 Click **Lock** to lock citations. The **Citations** window opens and citations are locked.

26.11.5 Click **Unlock Citations** on the **Citations** window to unlock citations. See *Figure 284, Unlock Citations Pop-Up Window*. The **Unlock Citations** popup opens.

Note: A citation cannot be unlocked once a Revisit Survey has been started.



Figure 284: Unlock Citations Pop-Up Window

26.11.6 Click **Unlock Citations**. The **Citations** window opens, and citations are unlocked.

26.12 Merge Citation Findings

Note: Only the TC can merge citations.

26.12.1 Go to **Citations**. Verify that the **Citation Status** is **Ready for Merge**. See *Figure 285, Ready for Merge*.

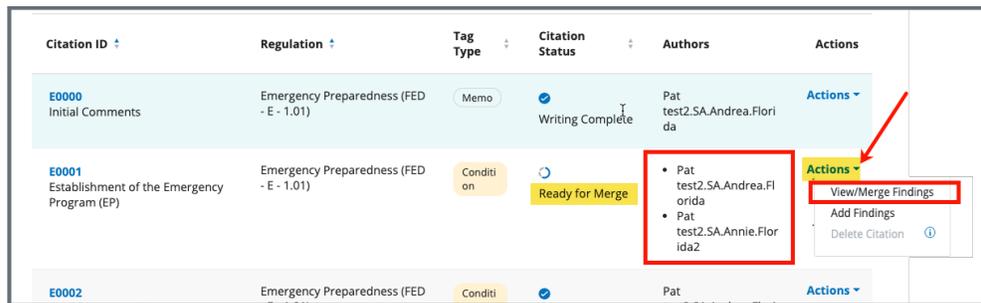


Figure 285: Ready for Merge

26.12.2 Click **View/Merge Findings** on the drop-down menu under **Actions**. The **Findings** window opens. See *Figure 286, Findings*.

Note: Click arrows next to findings to rearrange the order of the findings. Once findings are merged, the order cannot be changed.

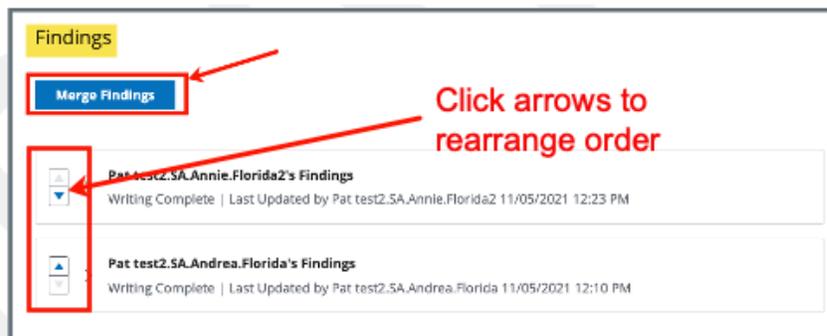


Figure 286: Findings

26.12.3 Click **Merge Findings**. The **Merge Findings** pop-up window opens. See *Figure 287, Merge*.

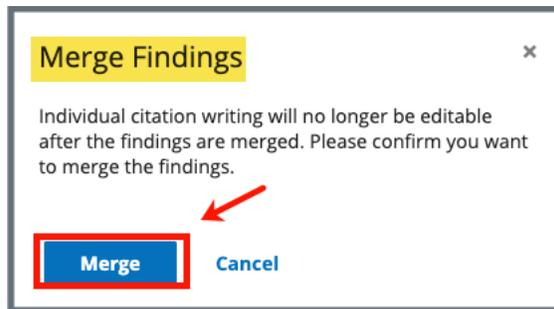


Figure 287: Merge

26.12.4 Click **Merge**. The **Findings** window opens with the merged findings. See *Figure 288, Ready for Merge*.

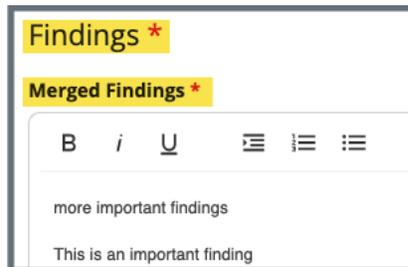


Figure 288: Ready for Merge

26.12.5 Update or edit findings, if desired. See *Figure 289, Findings*.

26.12.5.1 Click **Edit Findings** to edit the findings. The **Citations Findings Status** automatically changes to **In Progress**.

26.12.5.2 Click **Save Status** to save the edits. The **Citation Status** on the top menu is updated to **In Progress**.

26.12.6 Click **Save**.

Notes:

- View **Merged Findings** under **Citation Findings**. Click **Show Original Findings** and the original findings open. Click **Hide Original Findings** to hide original findings.
- Only a TC or a QA Teams member can delete a merged citation.
- A merged citation can be edited to remove one of the merged citations.

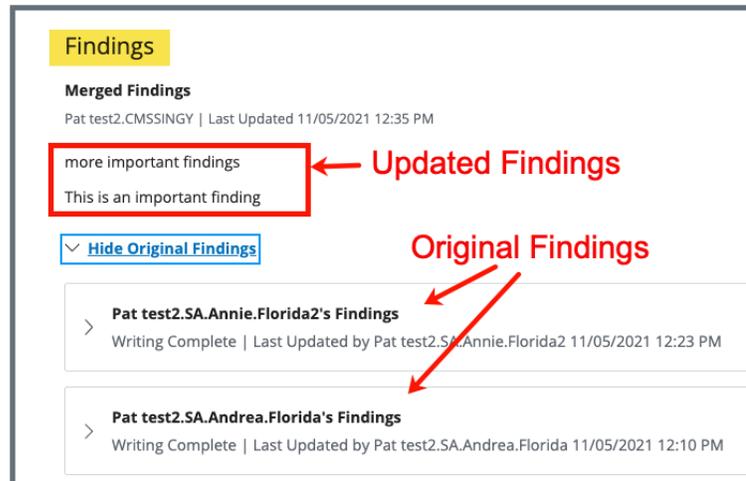


Figure 289: Findings

26.13 Create a Revisit Survey

Notes:

- A revisit is required when there are federal condition level deficiencies.
- A revisit is recommended when there are federal standard level deficiencies or state licensure deficiencies.
- The revisit can be set to **Not Required** on the [Plan of Correction](#) for any non-condition level citations to override the revisit recommendation for standard or licensure deficiencies. The revisit survey is then updated so that the citations that are marked **No Revisit Needed** in the original survey do not carry over to the revisit survey.
- **No Revisit Needed** cannot be unchecked for federal standard level deficiencies associated with condition level citations that remain open.
- A follow up visit can be scheduled as necessary until all deficiencies are corrected.
- Confirm the following before creating a revisit survey:
 - All citations and findings have been added
 - The survey has an exit date
 - Citations are locked
 - The Plan of Correction (POC) information is complete
- Once a revisit survey is created, it cannot be deleted. Contact the [iQIES Service Center](#) for help, if necessary.
- If carried-over citations have been corrected during the follow up visit, go to the [Plan of Correction](#) on the revisit survey and add the corrected dates.
- A revisit may not be necessary for all citations. Review [Create a Revisit Survey for Specific Citations](#) for what to do when all citations do not need to have a revisit survey created.
- All revisits can be seen back to the previous survey. See [View Older Revisit Surveys](#).

26.13.1 Click **Survey action** on the gray survey bar and select **Create Revisit** from the drop-down menu. See *Figure 290, Create Revisit Drop-Down Menu*. The **Basic Information** page opens.

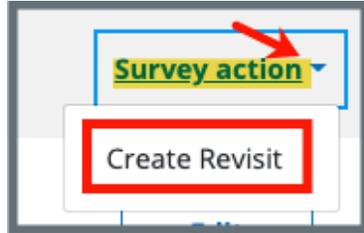


Figure 290: Create Revisit Drop-Down Menu

Note: When citations are issued, a notification message appears in **Citations** and states: **A revisit is required for this survey.** A link to create a revisit survey is in the notification.

26.13.2 Update the page as necessary. Be sure to click **Save Basic Information**.

26.14 Create a Revisit Survey for Specific Citations

Purpose: To create a revisit survey for some, but not all, of the citations on a survey.

Notes:

- Once a revisit survey is created, it cannot be deleted. Contact the [iQIES Service Center](#) for help, if necessary.
- If a survey contains federal citations with condition-level tags, then all citations in the survey are carried over to the revisit survey. When this happens, all the **Needs Revisit** checkboxes will be checked and disabled (grayed out).
- Once a revisit survey is created, all the **Needs Revisit** checkboxes in the survey prior to the revisit survey are disabled and cannot be edited.

26.14.1 Go to the **Plan of Correction** page and scroll to **Corrective Actions**.

26.14.2 Each citation has a **Needs Revisit** column. See *Figure 291, Needs Revisit Column*.

Note: The default response to **Needs Revisit** is **Yes**.

Citation ID	Immediate Jeopardy	Complete Date	Corrected Date	Correction Status	Needs Revisit
G0372 Encoding and transmitting OASIS	No	No information ⓘ	No information ⓘ	Not Corrected	Yes
G0374 Accuracy of encoded OASIS data	No	No information ⓘ	No information ⓘ	Not Corrected	Yes
H0110 Hours of Operation	No	No information ⓘ	No information ⓘ	Not Corrected	Yes
H0111 On-Call Staff	No	No information ⓘ	No information ⓘ	Not Corrected	Yes

Figure 291: Needs Revisit Column

26.14.3 Click **Edit All Actions**. The fields are now editable. See *Figure 292, Needs Revisit Editable Fields*.

Corrective Actions

Enter dates once the Plan of Correction has been accepted.

Citation ID	Immediate Jeopardy	Complete Date (X5)	Corrected Date	Correction Status	Needs Revisit
CZ800 Applicability; Definitions	No	<input type="text"/>	No information ⓘ	Not Corrected	<input type="checkbox"/> ⓘ
G0372 Encoding and transmitting OASIS	No	<input type="text"/>	No information ⓘ	Not Corrected	<input checked="" type="checkbox"/> ⓘ
H0103 Accreditation	No	<input type="text"/>	No information ⓘ	Not Corrected	<input checked="" type="checkbox"/> ⓘ

Save
Cancel

Figure 292: Needs Revisit Editable Fields

26.14.4 Uncheck the boxes under **Needs Revisit** for each citation that does not need to be corrected in a follow up visit.

26.14.5 Click **Save**.

26.15 View Older Revisit Surveys

26.15.1 Go to the latest revisit survey and click **Plan of Correction** on the left menu. Scroll down to **Corrective Actions**. See *Figure 293, Revisits Corrective Actions*.

Corrective Actions					
Enter dates once the Plan of Correction has been accepted.					Sort by:
					Citation ID
Citation ID G0372 Encoding and transmitting OASIS	Immediate Jeopardy No	Complete Date 03/01/2022	Corrected Date No information ⓘ	Correction Status Accepted	Needs Revisit Yes
Citation ID G0374 Accuracy of encoded OASIS data	Immediate Jeopardy No	Complete Date 03/01/2022	Corrected Date No information ⓘ	Correction Status Not Corrected	Needs Revisit Yes
Citation ID H0104 HHA Operational	Immediate Jeopardy No	Complete Date 03/01/2022	Corrected Date No information ⓘ	Correction Status Not Corrected	Needs Revisit Yes
Citation ID H0105 Unlicensed Activity	Immediate Jeopardy No	Complete Date 03/01/2022	Corrected Date No information ⓘ	Correction Status Not Corrected	Needs Revisit Yes

Figure 293: Revisits Corrective Actions

26.15.2 Click **Edit All Actions**.

26.15.3 Add the **Corrected Date** to any citations that have been corrected.
See *Figure 294, Citation Corrected Dates*.

Corrective Actions

Enter dates once the Plan of Correction has been accepted.

Citation ID	Immediate Jeopardy	Complete Date (X5)	Corrected Date	Correction Status	Needs Revisit
G0372 Encoding and transmitting OASIS	No	03/01/2022 ⓘ	<input style="width: 100%;" type="text" value="03/03/2022"/>	Accepted	<input checked="" type="checkbox"/> ⓘ
G0374 Accuracy of encoded OASIS data	No	03/01/2022 ⓘ	<input style="width: 100%;" type="text"/>	Not Corrected	<input checked="" type="checkbox"/> ⓘ
H0104 HHA Operational	No	03/01/2022 ⓘ	<input style="width: 100%;" type="text" value="03/03/2022"/>	Not Corrected	<input checked="" type="checkbox"/> ⓘ
H0105 Unlicensed Activity	No	03/01/2022 ⓘ	<input style="width: 100%;" type="text"/>	Not Corrected	<input checked="" type="checkbox"/> ⓘ

Figure 294: Citation Corrected Dates

26.15.4 Click **Save**. The **Corrective Actions** are updated with a link to the original survey. See *Figure 295, Revisits Linked in Corrective Actions*.

26.15.5 Click the link to view details about the revisit survey.

Corrective Actions					
Enter dates once the Plan of Correction has been accepted.					Sort by:
Citation ID	Immediate Jeopardy	Complete Date	Corrected Date	Correction Status	Needs Revisit
G0372 Encoding and transmitting OASIS	No	03/01/2022	03/03/2022 ⓘ Survey 105A94-H2	Corrected	Yes
G0374 Accuracy of encoded OASIS data	No	03/01/2022	No information ⓘ	Accepted	Yes
H0104 HHA Operational	No	03/01/2022	03/03/2022 ⓘ Survey 105A94-H2	Corrected	Yes
H0105 Unlicensed Activity	No	03/01/2022	No information ⓘ	Accepted	Yes

Figure 295: Revisits Linked in Corrective Actions

27. Immediate Jeopardy

Purpose: IJ is a situation in which the provider's noncompliance with one or more requirements of participation has caused or is likely to cause serious injury, harm, impairment, or death to a patient. Refer to the [Immediate Jeopardy Job Aid](#) for detailed information, including the IJ workflow.

Note: See also [Add Immediate Jeopardy](#) button to add IJ in the LTCSP.

27.1 Add IJ to a citation.

27.1.1 Add a citation. See [Citations](#) for more details.

27.1.2 Click the Scope/Severity grid. See *Figure 296, Add IJ to a Citation*.

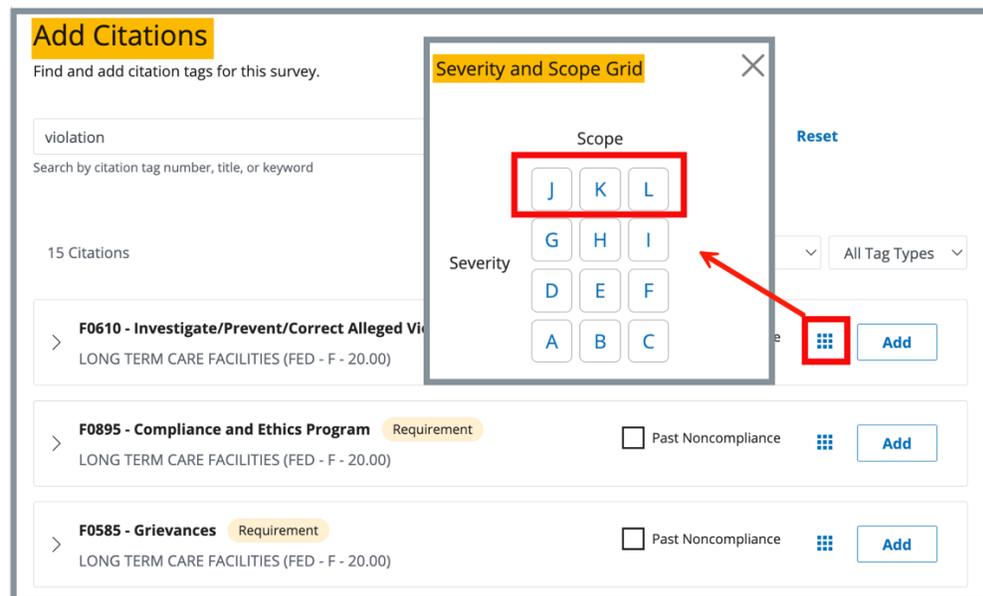


Figure 296: Add IJ to a Citation

27.1.3 Select **J**, **K**, or **L**.

27.1.4 Click **Add**.

27.1.5 Click **Save**. The **Citations** window opens.

Note: A Statement of Deficiency can be generated with IJ, but the date sent, and a revisit survey cannot be created. **Lock IJs** bypasses this requirement and allows the citations not associated with IJ to move forward. All other citations must be updated.

27.2 Update any citations not associated with IJ. See [Add Findings](#), if necessary.

27.3 Click **Lock IJs**. See *Figure 297, Lock IJs*. The **Lock IJ Citations** window opens.

Notes:

- The **Lock IJs** box highlights in solid red when all conditions have been met.
- All citations associated with the survey are locked. They can be unlocked once the SOD is generated with **Date Sent**.

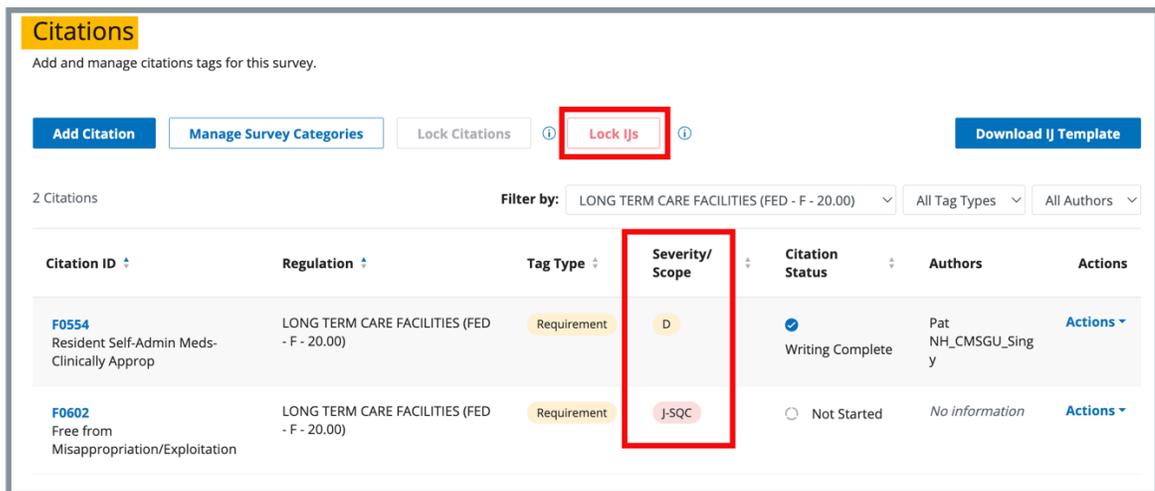


Figure 297: Lock IJs

27.4 Click **Lock as IJ**. See *Figure 298, Lock IJ Citations Popup Window*. The **Citations** page opens, and a Statement of Deficiencies can now be generated with **Date Sent**.

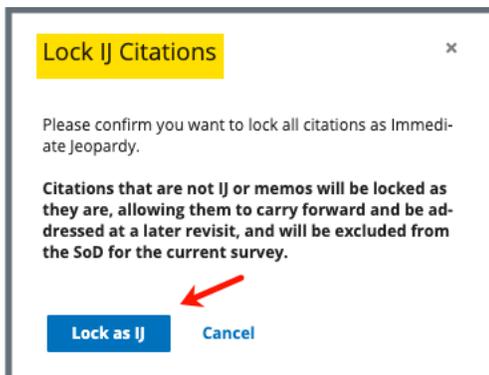


Figure 298: Lock IJ Citations Popup Window

27.5 Click **Statement of Deficiencies** on the left menu. The **Statement of Deficiencies** page opens.

27.6 Click **Generate Form**.

27.7 Check the **CMS-2567 – Federal Statement of Deficiencies** box. The **Statement of Deficiencies** page expands to show additional fields. See *Figure 299, IJ Citation Check Box*.

Figure 299: IJ Citation Check Box

27.8 Click the box next to **Include only IJ citations and memos** on the **Statement of Deficiencies** page. Only IJ citations are included on the SOD.

Notes:

- When an IJ citation is locked, an SOD can be generated with **Date Sent** when the non-IJ citation status is **Citation Status is Not Started**.
- An SOD can be created, but it cannot be generated with **Date Sent** prior to locking citations.

28. Statement of Deficiencies

Purpose: To issue CMS-2567 form when the survey or investigation identifies violations of federal regulations.

Note: Citations must be complete, merged, and locked before CMS-2567 is completed.

28.1 Create the CMS-2567 form.

28.1.1 Click **Statement of Deficiencies** on the left menu. The **Statement of Deficiencies** screen opens. See *Figure 300, Statement of Deficiencies*.

Note: **Edit** is not active for Statements of Deficiencies until the survey has an exit date.

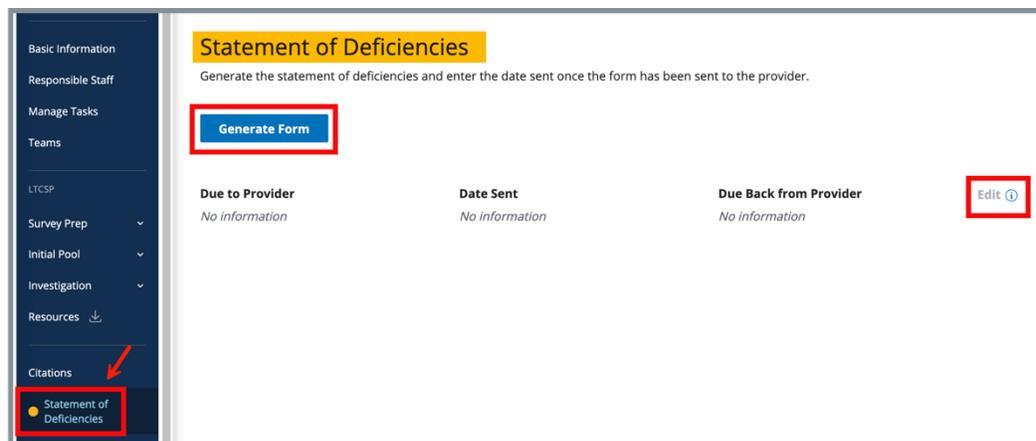


Figure 300: Statement of Deficiencies

28.1.2 Click **Generate Form**.

28.1.3 Check the **CMS-2567 – Federal Statement of Deficiencies** box. The **Statement of Deficiencies** page expands to show additional fields. See *Figure 301, Statement of Deficiencies: CMS-2567 Selection*.

Notes:

- The **LONG TERM CARE FACILITIES** check box is automatically checked.
- Review the [Immediate Jeopardy](#) section prior to checking the **IJ Survey** check box.

Figure 301: Statement of Deficiencies: Preferred Options

28.1.4 Click **Download Form**. The **Statement of Deficiencies** form downloads.

Notes:

- If the form does not show at the bottom of the screen, go to the **Downloads** folder on the computer.
- See [CMS-2567](#) example.

28.2 Edit the statement of deficiencies dates.

Note: The **Statement of Deficiencies** can only be edited when a survey has an exit date.

28.2.1 Click **Edit**. See *Figure 302, Statement of Deficiencies*.

Figure 302: Statement of Deficiencies

28.2.2 Type dates under **Date Sent** and **Due Back from Provider**, in a **MM/DD/YYYY** format. See *Figure 303, Statement of Deficiencies Edit Screen*.

Note: The **Due to Provider** date is automatically set to ten (10) days after the survey exit date.

Statement of Deficiencies

Generate the statement of deficiencies and enter the date sent once the form has been sent to the provider.

Generate Form

Due to Provider	Date Sent	Due Back From Provider
08/04/2024 MM/DD/YYYY	08/04/2024 MM/DD/YYYY	08/14/2024 MM/DD/YYYY

Save **Cancel**

Figure 303: Statement of Deficiencies Edit Screen

28.2.3 Click **Save**.

DEPARTMENT OF HEALTH AND HUMAN SERVICES CENTERS FOR MEDICARE & MEDICAID SERVICES		PRINTED: 09/14/2022 FORM APPROVED OMB NO. 0938-0391	
STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTIONS	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER:	(X2) MULTIPLE CONSTRUCTION A. BUILDING B. WING	(X3) DATE SURVEY COMPLETED
NAME OF PROVIDER OR SUPPLIER House of the Rising Sun		STREET ADDRESS, CITY, STATE, ZIP CODE 1 Main St , Anytown, Florida, 87960	
(X4) ID PREFIX TAG	SUMMARY STATEMENT OF DEFICIENCIES (EACH DEFICIENCY MUST BE PRECEDED BY FULL REGULATORY OR LSC IDENTIFYING INFORMATION)	ID PREFIX TAG	PROVIDER'S PLAN OF CORRECTION (EACH CORRECTIVE ACTION SHOULD BE CROSS-REFERENCED TO THE APPROPRIATE DEFICIENCY)
G0000	INITIAL COMMENTS	G0000	
G0370	Reporting OASIS information CFR(s): 484.45 Condition of participation: HHAs must electronically report all OASIS data collected in accordance with §484.55. This CONDITION is NOT MET as evidenced by: This is for MichelleThis is for AndreaMichelle didn't start this citation, but she can edit the Deficient Practice Statement including deleting what Andrea wrote here. (I deleted, "Wow. I can edit!") First findings recorded here by Michelle Second findings recorded here by Michelle after modifying the Deficient Practice Statement above. I cannot edit Andrea's findings below. We'll add more findings here. More findings here. This is Michelle, a member of the QA Team, writing Findings on behalf of Andrea, The Team Coordinator, who is the only person on the Survey Team list. I deleted the findings.	G0370	
<p>Any deficiency statement ending with an asterisk (*) denotes a deficiency which the institution may be excused from correcting providing it is determined that other safeguards provide sufficient protection to the patients. (See reverse for further instructions.) Except for nursing homes, the findings stated above are disclosable 90 days following the date of survey whether or not a plan of correction is provided. For nursing homes, the above findings and plans of correction are disclosable 14 days following the date these documents are made available to the facility. If deficiencies are cited, an approved plan of correction is requisite to continued program participation.</p>			
LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE		TITLE	(X6) DATE
FORM CMS-2567 (02/99) Previous Versions Obsolete		Event ID: E7E26-H1 Facility ID: IQ00000002521599	If continuation sheet Page 1 of 1

Figure 304: CMS-2567

29. Informal Dispute Resolution

Purpose: To add or manage any informal dispute resolutions (IDR) in response to citations and to view the current survey citation status.

Note: To create an IDR, the survey must have a status of Statement of Deficiencies Sent.

29.1 Click **Survey action** on the gray status bar and select **Create Informal Dispute Resolution** from the drop-down menu. See *Figure 305, Create Informal Dispute Resolution Drop-Down Menu*. The **Informal Dispute Resolution** page opens.

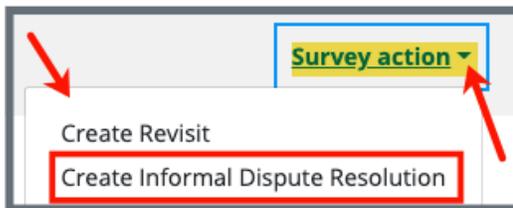


Figure 305: Create Informal Dispute Resolution Drop-Down Menu

29.2 Fill out the information.

Note: Click **Select** under List of Attendees for attendees.

29.3 Click **Create Informal Dispute Resolution**. The **Informal Dispute Resolution** page updates.

30. Independent Informal Dispute Resolution

Purpose: To add or manage any independent IDRs (IIDR) in response to citations and to view the current survey citation status and is conducted by a third party.

Notes:

The survey must have the following to have an IIDR:

- A status of **Statement of Deficiencies Sent**
- A scope/severity level of **D** or higher
- An enforcement case linked to the survey with a CMP that is in effect

30.1 Click **Survey action** on the gray status bar and select **Create Independent Informal Dispute Resolution** from the drop-down menu. See *Figure 306, Create Independent Informal Dispute Resolution Drop-Down Menu*. The **Independent Informal Dispute Resolution** page opens. See *Figure 307, Independent Informal Dispute Resolution*.

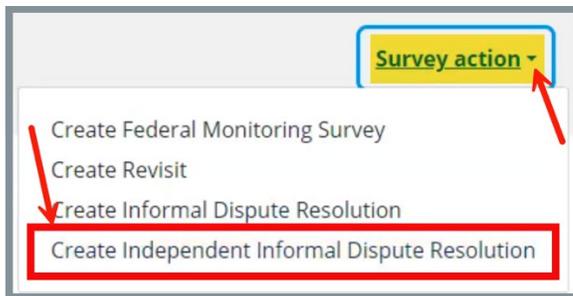


Figure 306: Create Independent Informal Dispute Resolution Drop-Down Menu

Independent Informal Dispute Resolution

Add and manage any independent informal dispute resolutions (IIDRs) in response to citations.

Request for IIDR Received
No information

Date Scheduled
No information

IIDR Status
Requested

Additional Doc Rec'd from Provider
No information

Revised 2567 Date
No information

List of Attendees
No information

IIDR Notes
No information

Survey Citation IIDR Status

Filters

Citation	IIDR Status	Request Reason	Decision Reason	Action
E0001 <small>See details</small>	01-None -	00-Not Selected... -	01-No Change -	Undo Changes
F0540 <small>See details</small>	01-None -	00-Not Selected... -	01-No Change -	Undo Changes



Figure 307: Independent Informal Dispute Resolution

30.2 Click **Edit** to update the information. The fields become editable. See *Figure 308, Independent Informal Dispute Resolution Editable Fields.*

Independent Informal Dispute Resolution

Add and manage any Independent Informal dispute resolutions (IIDRs) in response to citations.

! Save IIDR and View Citations
! Save IIDR and View Allegations
! Save IIDR and View Enforcements

! Survey reverts citations to unlocked state following any changes or additions to Citations. Citations, Enforcements, and Allegations should be updated and Citations locked again.

Request for IIDR Received *

Date Scheduled

Expiration Date

IIDR Status

Requested

Conducted

Withdrawn

Additional Doc Rec'd from Provider

Revised 2567 Date

POC Required

List of Attendees

CMS Representative(s) ×
Resident/Family Member/Advocate ×
Surveyor ×
Administrator ×
Select...

IIDR Notes

Survey Citation IIDR Status

Citation	IIDR Status	Request Reason	Decision Reason	Action
F0540	01-None -	00-Not Selected... -	01-No Change -	Undo Changes
E0001	01-None -	00-Not Selected... -	01-No Change -	Undo Changes

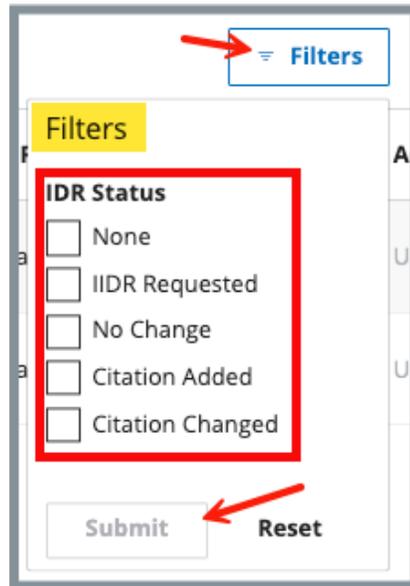
Save Independent Informal Dispute Resolution

←

Figure 308: Independent Informal Dispute Resolution Editable Fields

30.3 Update the information.

Note: Click **Filters** to view IDR citation statuses by **None, IIDR Request, No Change, Citation Added** and **Citation Changed**. See *Figure 309, IIDR Citation Filter*.



The screenshot shows a web interface for filtering IDR citations. At the top right, there is a blue button labeled "Filters" with a red arrow pointing to it. Below this is a white panel with a yellow header labeled "Filters". Inside this panel, there is a section titled "IDR Status" enclosed in a red rectangular box. This section contains five radio button options: "None", "IIDR Requested", "No Change", "Citation Added", and "Citation Changed". At the bottom of the panel, there are two buttons: "Submit" and "Reset". A red arrow points to the "Submit" button.

Figure 309: IIDR Citation Filter

30.4 Click **Save Independent Informal Dispute Resolution**. The **Independent Informal Dispute Resolution** page updates.

31. Plan of Correction (POC)

Purpose: To identify steps that must be taken, and time required to comply with regulation.

Notes:

- For accepted POCs – Both the **Provider Sign-off Date (X6)** and the **Received Date** are required.
- For rejected POCs – New POCs can be entered until the status is **Accepted**. Only the most recent POC is available for viewing.
- Click **Edit** on the **Plan of Correction** page to make edits, if necessary.
- POC information is kept for the life of the survey.
- Citations must be locked before creating a POC.
- The **Due Date** is automatically populated to ten (10) days after the sent date as long as the Statement of Deficiencies **Date Sent** has been entered.

31.1 Plan of Correction

Note: Citations must be added and locked before a plan of correction can be added.

31.1.1 Click **Plan of Correction** on the left menu. The **Plan of Correction** screen opens. See *Figure 310, Plan of Correction*.

The screenshot shows the 'Plan of Correction' form. The left sidebar contains a navigation menu with 'Plan of Correction' highlighted. The main content area has a title 'Plan of Correction' and a subtitle 'Add and manage the status and dates for the Plan of Correction (POC)'. Below this, there is a note: 'All required fields are marked with an asterisk (*)'. The form fields are as follows:

Field	Value
Statement of Deficiencies Sent Date	08/02/2024
Due Date	08/12/2024
Provider Sign-off Date (X6)	08/07/2024
Received Date	08/07/2024
Status *	<input checked="" type="radio"/> Pending Review <input type="radio"/> Accepted <input type="radio"/> Not Accepted
Pending Review Date	08/07/2024

At the bottom of the form, there are two buttons: 'Save' and 'Cancel'. A red arrow points to the 'Save' button.

Figure 310: Plan of Correction

31.1.2 Fill out the information.

Note: The **Provider Sign-off Date (X6)** and the **Received Date** are not required when the status is **Not Accepted**.

31.1.3 Click **Save**. The **Plan of Correction** page updates.

31.2 Waivers

Notes:

- Waivers are for Life Safety Code surveys only.
- Only a CMSGU can change the decision on the waiver.
- Once a Waiver has been requested by the SAGU, an automatic email notification is sent to the CMS Responsible Staff to notify CMS staff of the waiver request. If there is no CMS Responsible Staff, no email will be sent.
- After the waiver decision is made in iQIES by CMS, an automatic email is sent to the SAGU stating a waiver decision has been made. If there is no SAGU staff, no email will be sent.
- Be sure to have a CMS Responsible staff and a State Agency Responsible staff.
- A waiver cannot be added to a citation with the **Immediate Jeopardy** tag.

31.2.1 Click the caret next to the **Citation ID & Building ID** on the **Plan of Correction** page under **Corrective Actions** to view waiver details. See *Figure 311, Citation ID & Building ID*.

Citation ID & Building ID	Severity/Scope	Complete Date	Corrected Date	Correction Status	Needs Revisit
⌵ K0131 - 12 Multiple Occupancies	E	12/21/2023	No information ⓘ	Accepted	Yes
Waiver					
Temporary					
Type		Request Date		Sent to CMS	
Federal		10/04/2023		10/04/2023	
Last Day in Effect		Decision		Decision Date	
12/20/2023		Pending		No information	
Building Waiver Detail					

Figure 311: Citation ID & Building ID

31.2.2 Click **Edit All Actions** on the **Plan of Correction** page to enter corrective action information, including waiver details. See *Figure 312, Edit All Actions*.

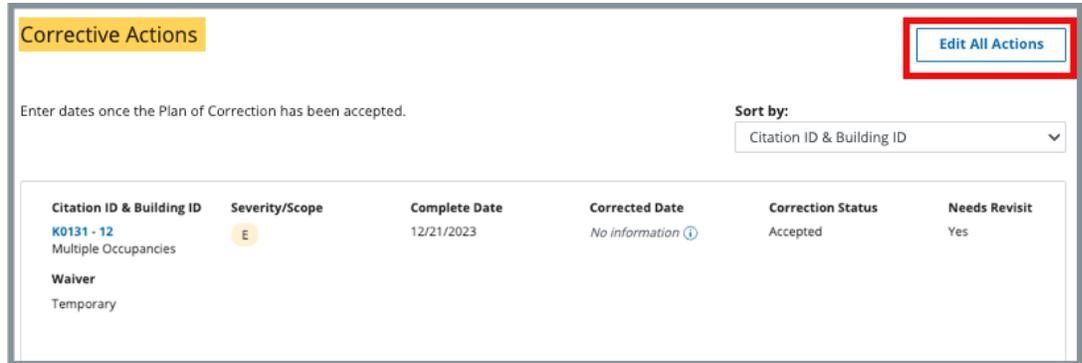


Figure 312: Edit All Actions

31.2.3 Click the drop-down menu under **Waiver** to change the waiver status. See *Figure 313, Waiver Selections*.

Note: Grayed out areas can only be updated by a CMS General User.

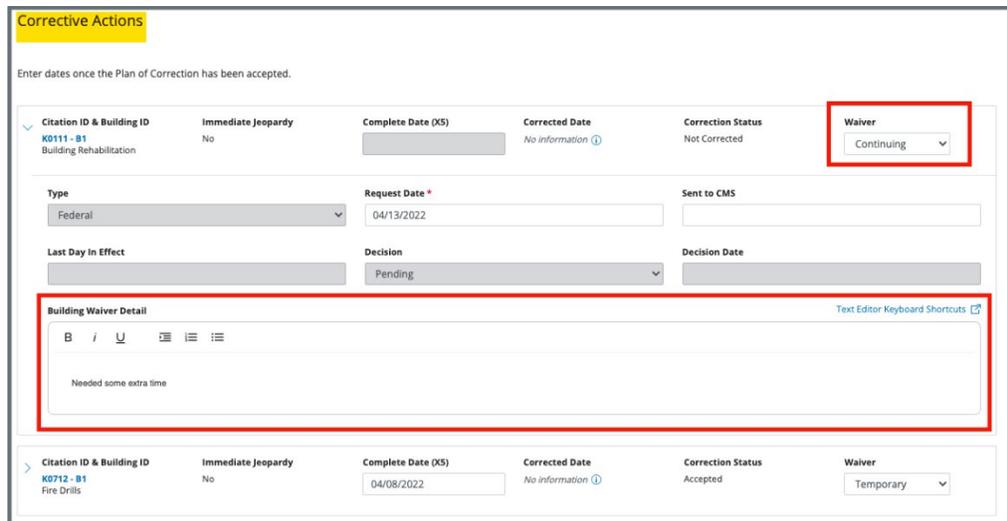


Figure 313: Waiver Selections

31.2.4 Add building details, if desired.

31.2.5 Click **Save**.

Note: A revisit survey can now be made for the LSC survey.

32. Letters

Purpose: To add, upload, generate a letter from an existing template, edit a Letter Overview, delete a letter, or add recipients to a letter. Nonstandardized templates can be edited in the Letters section of the applicable S&C area (providers, surveys, intakes, enforcements).

Note: Letter templates are created in the Letter Template Management section. Review [S&C User Manual: Letter Template Management](#) for more information.

32.1 Add/Upload a letter

32.1.1 Click **Letters** on the left menu to go to **Letters**. See *Figure 314, Surveys Letters*.

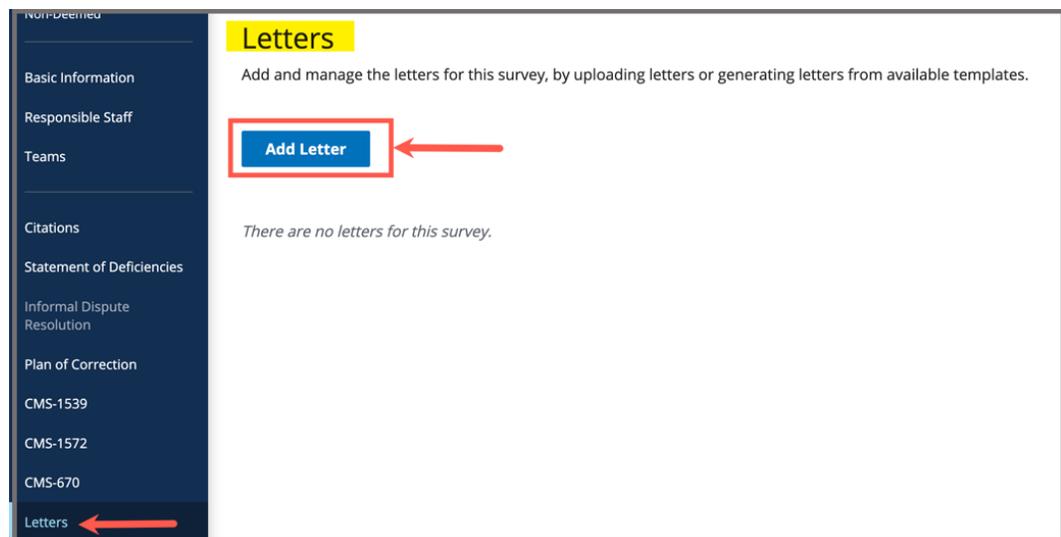
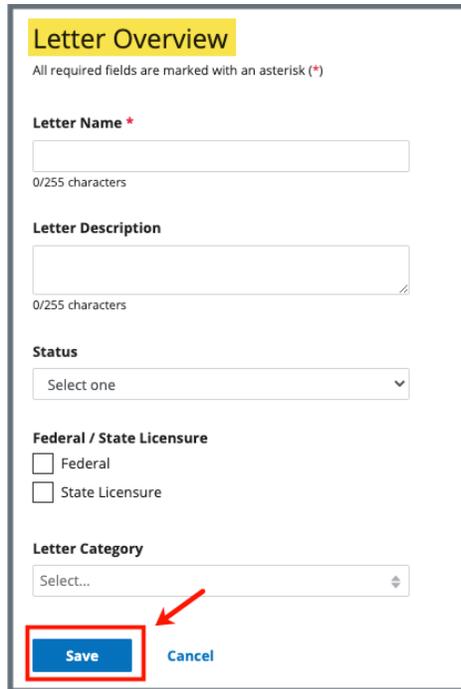


Figure 314: Surveys Letters

32.1.2 Click **Add Letter**. The **Letter Overview** window opens. See *Figure 315, Providers Letter Overview*.



The screenshot shows a form titled "Letter Overview" with a yellow header. Below the title, it states "All required fields are marked with an asterisk (*)". The form contains the following fields:

- Letter Name ***: A text input field with a character count of "0/255 characters".
- Letter Description**: A text area with a character count of "0/255 characters".
- Status**: A dropdown menu with "Select one" and a downward arrow.
- Federal / State Licensure**: Two checkboxes, "Federal" and "State Licensure", both of which are unchecked.
- Letter Category**: A dropdown menu with "Select..." and a double-headed arrow.

At the bottom of the form, there are two buttons: "Save" (highlighted with a red box and a red arrow pointing to it) and "Cancel".

Figure 315: Providers Letter Overview

32.1.3 Fill out the information.

32.1.4 Click **Save**. The information updates in a new screen. See *Figure 316, Letter Attachment and Recipient*.

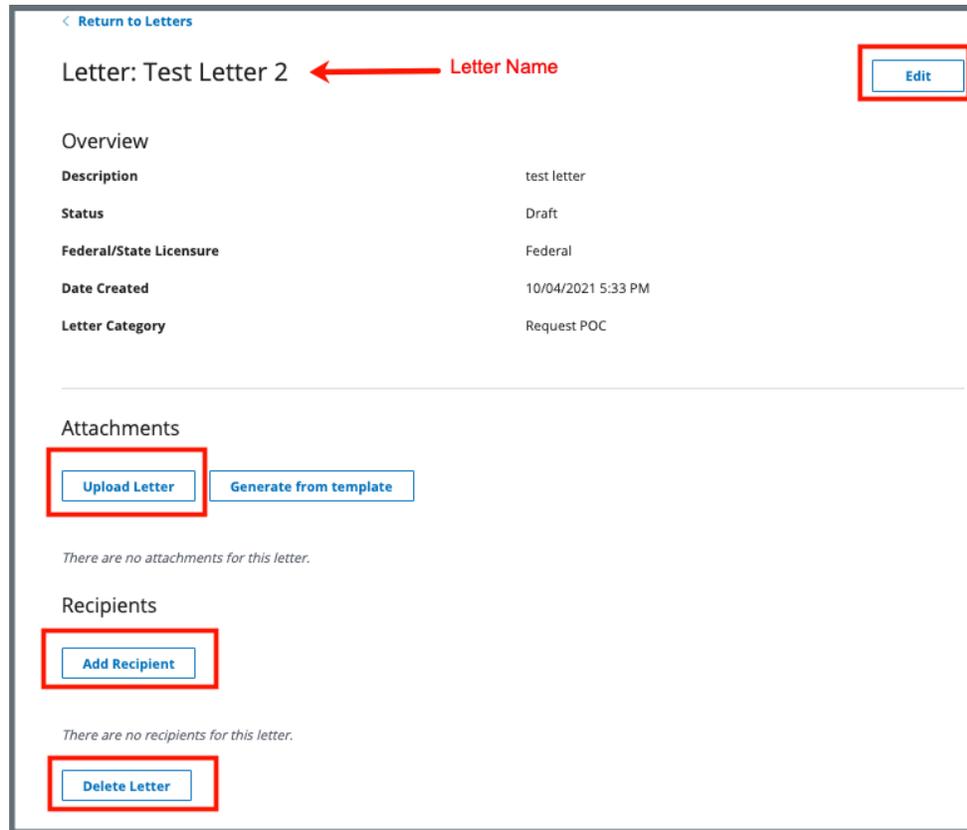


Figure 316: Letter Attachment and Recipient

32.1.5 Scroll down to **Attachments**. Click **Upload Letter** to upload a letter from the computer.

32.1.6 Click **Select File**. The Windows Explorer window pops up. For Mac users, the Finder window pops up.

32.1.7 Select the file to be attached. Click **Open**. The file is attached and ready to be saved.

32.1.8 Type a file description in the **File Description** field, if desired.

32.1.9 Click **Save**. The letter is attached to the survey.

32.2 Generate a letter from an existing template

32.2.1 Click **Add Letter**. The **Letter Overview** page opens.

Note: If there is already an existing letter that can be reused, click **Generate from template** under the **Actions** drop-down menu and go to step 32.2.5.

32.2.2 Type the letter name under **Letter Name**. Add additional information, if desired.

32.2.3 Click **Save**. The **Letter: [Template Name]** page opens.

32.2.4 Click **Generate from template** under **Attachments**. See *Figure 317, Generate from Template*. The **Add Letter** page opens.

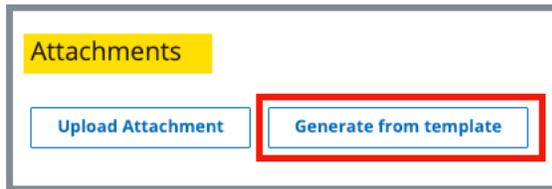


Figure 317: Generate from Template

32.2.5 Click the circle next to the desired template. See *Figure 318, Add Letter Template*.

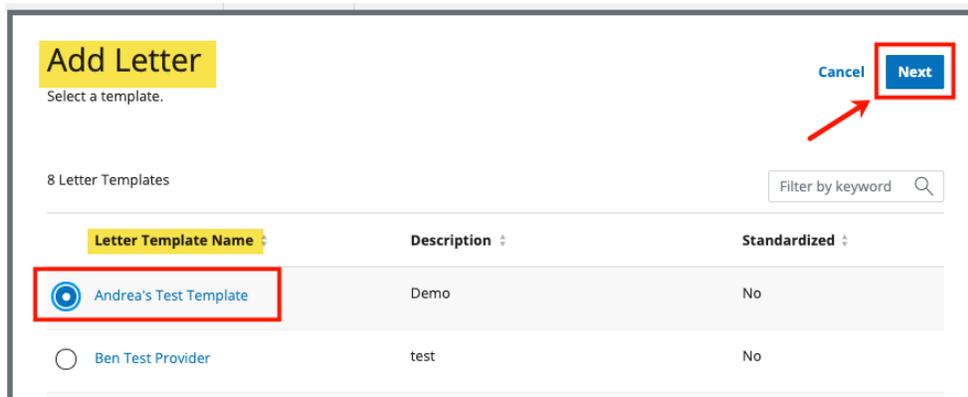


Figure 318: Add Letter Template

32.2.6 Click **Next**. The **Generate attachment from template** page opens.

32.2.7 Update the template as desired. See *Figure 319, Letter Template*.

Notes:

- The template can be modified. Textholders can be removed, words can be edited and updated. Refer to [Appendix B, Survey Textholder Text](#) for a list of textholders. Be aware that the text changes apply only to the current letter and not to the template. Refer to the [Letter Template Management User Manual](#) on QTSO to edit the original template.
- Standardized templates cannot be modified in the Letters section of any S&C area (providers, surveys, intakes, enforcements). To modify a standardized template, the template owner must edit the template in Letter Template Management.

Figure 319: Letter Template

1. **Print Preview:** Click Print Preview to preview the .pdf version of the letter. The letter can be downloaded from Print Preview, if desired.
2. **File Name:** Edit the name, if desired.
3. **Description:** Enter keywords, if desired. Keywords are descriptive words that help the user find the content. For example, the template title might be “Unsubstantiated Claim,” and the key words could be federal, minor. Separate the keywords with a comma.
4. **Formatting:** The format menu allows content to be edited, including formatting, bulleting, etc. See [Appendix B, Tips and Tricks for Working in a Template](#), for up-to-date details on each icon in the menu.
5. **Letter:** Shows how the letter looks. Verify inputs. Make any changes for nonstandardized templates, if desired.
6. **Generate attachment:** Click **Generate attachment** to create a .pdf that attaches to provider/survey/intake/enforcement record.

32.2.8 Click **Generate Attachment** to attach the letter to the record.

32.2.9 Verify the letter is attached under **File Name**. See *Figure 320, Letter Attachment*.

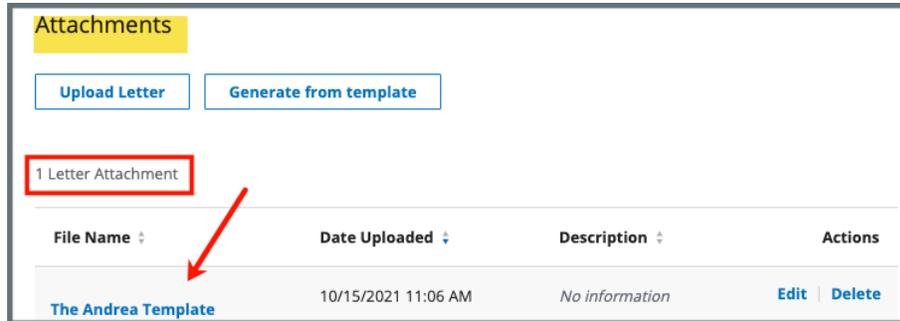
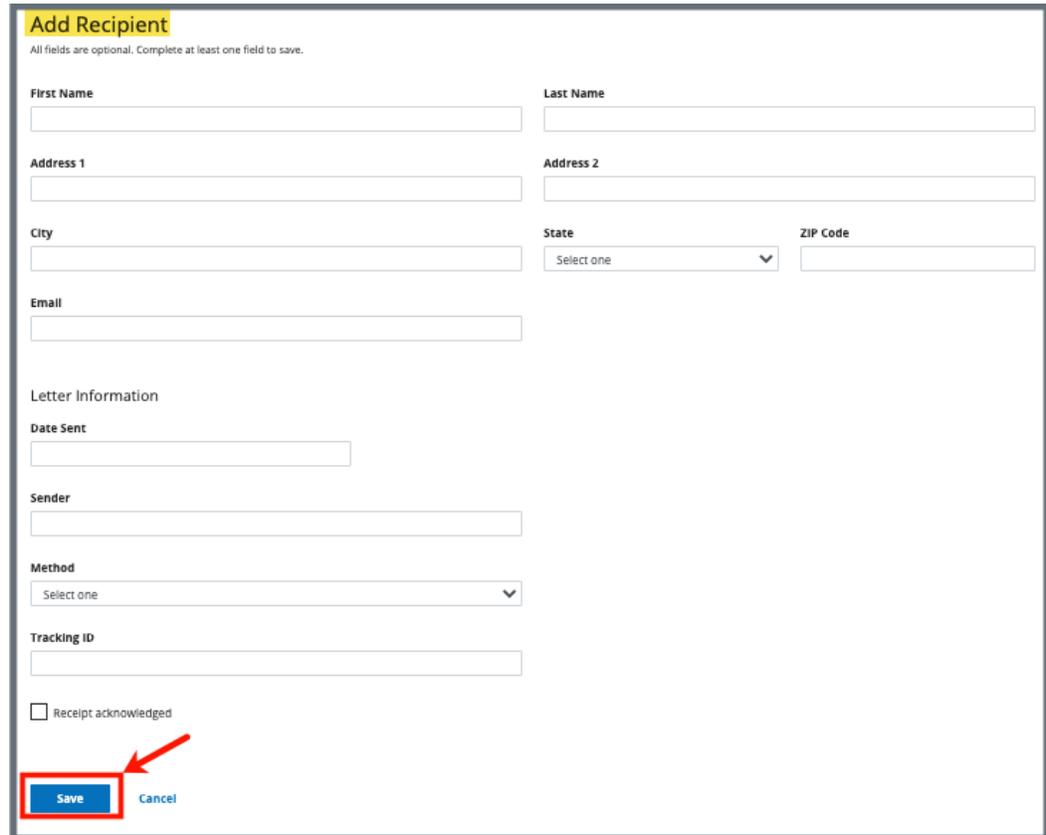


Figure 320: Letter Attachment

32.3 Add recipients to a letter

32.3.1 Click **Add Recipient** to add a recipient. The Add Recipient page opens. See *Figure 321, Add Recipient*.



Add Recipient
All fields are optional. Complete at least one field to save.

First Name Last Name

Address 1 Address 2

City State ZIP Code

Email

Letter Information

Date Sent

Sender

Method

Tracking ID

Receipt acknowledged

Figure 321: Add Recipient

32.3.2 Fill out the information.

32.3.3 Click **Save**. The **Recipient Information** updates.

32.4 Edit a Letter Overview

- 32.4.1 Click **Edit Overview** from the **Actions** drop-down menu to edit a Letter Overview. See *Figure 322, Edit a Letter Overview*. The **Edit Letter Overview** opens. See *Figure 323, Edit Letter Overview*.

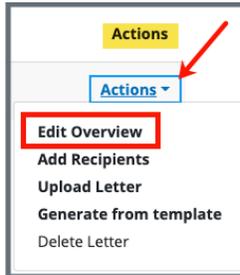


Figure 322: Edit a Letter Overview

 A screenshot of a web form titled 'Edit Letter Overview' in a yellow header. Below the title, it says 'All required fields are marked with an asterisk (*)'. The form contains several fields:

- Letter Name ***: A text input field containing 'Test Letter' with a character count of '11/255 characters' below it.
- Letter Description**: A text input field that is currently empty, with a character count of '0/255 characters' below it.
- Status**: A dropdown menu with 'Select one' as the current selection.
- Federal / State Licensure**: Two radio button options. 'Federal' is selected (checked), and 'State Licensure' is unselected.
- Letter Category**: A dropdown menu with 'All' and 'Select...' as options.

 At the bottom of the form are two buttons: a blue 'Save' button and a grey 'Cancel' button. A red arrow points from the 'Save' button towards the bottom right of the form.

Figure 323: Edit Letter Overview

- 32.4.2 Update fields.

- 32.4.3 Click **Save**.

32.5 Delete a Letter

32.5.1 Click **Delete Letter** from the **Actions** drop-down menu to delete a letter. A pop-up note opens. See *Figure 324, Delete Letter Pop-Up Window*.

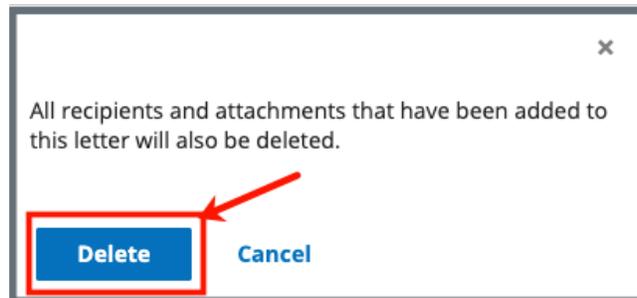


Figure 324: Delete Letter Pop-Up Window

32.5.2 Click **Delete**. The letter is removed from the list.

33. Notes

Purpose: To add or review any notes.

Note: Notes added here are intended for the survey in general. Please see Surveyor Notes, Initial Pool Notes, Facility Task Notes, Observation Notes, Resident Notes for detailed information about those notes.

33.1 Click **Notes** on the left menu to view existing notes or add a note. See *Figure 325, Add Note*.

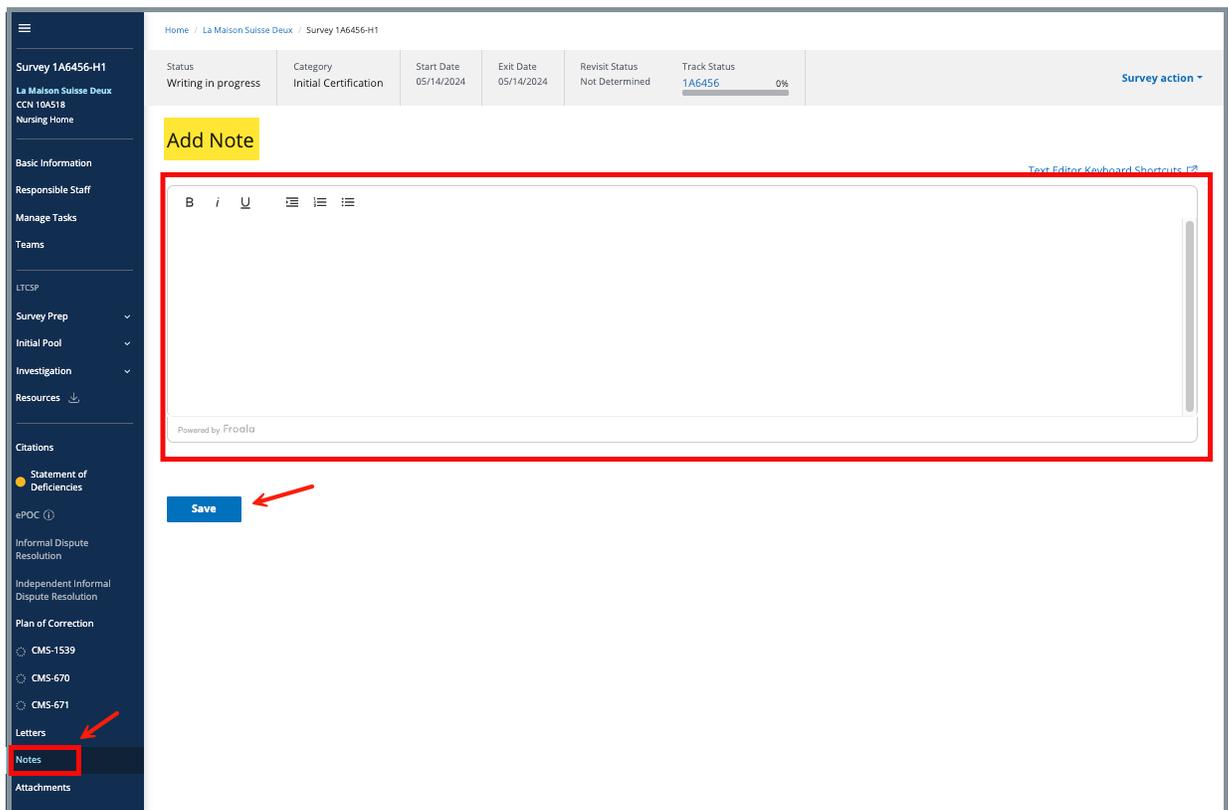


Figure 325: Add Note

33.2 Type notes in blank field.

33.3 Click **Save**. The **Notes** window opens with note information. See *Figure 326, Notes*.

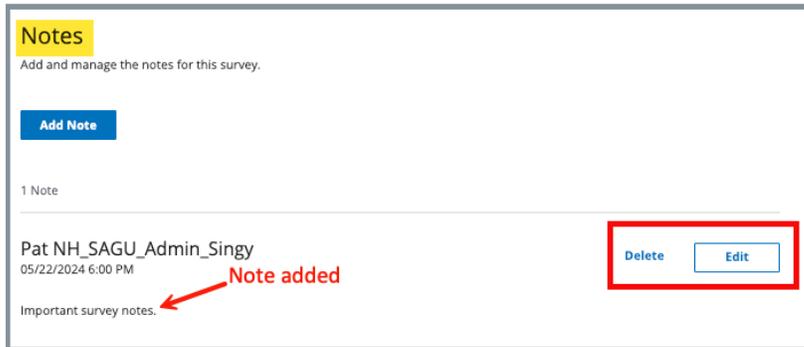


Figure 326: Notes

Note: Click **Edit** to edit information, if desired. It is not possible to edit or delete a note created by another user.

33.4 Click **Delete** to delete a note. A pop-up note opens. See *Figure 327, Delete Note Pop-Up Window*.

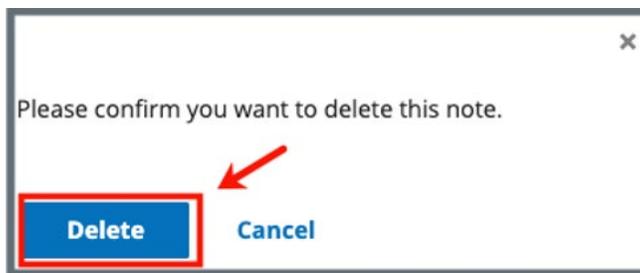


Figure 327: Delete Note Pop-Up Window

33.5 Click **Delete**. The updated **Notes** page opens.

34. Attachments

Purpose: To add copies of images and letters to a survey.

Notes:

- Only one attachment can be added at a time.
- Attachments cannot be deleted. Contact the [iQIES Service Center](#) to delete any attachments.

34.1 Click **Attachments** on the left menu. The **Attachments** window opens. See *Figure 328, Attachments*.

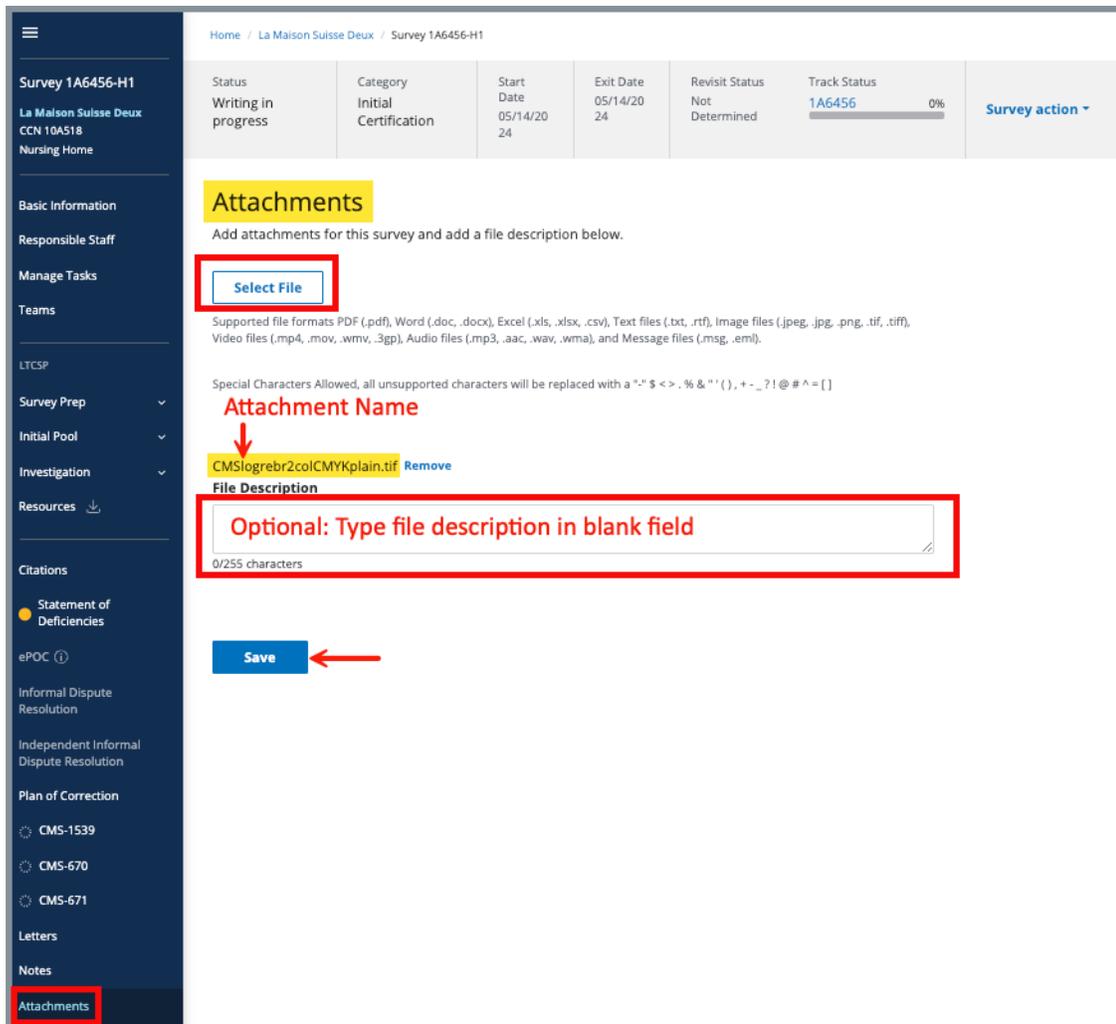


Figure 328: Attachments

- 34.2 Click **Select File**. The Windows Explorer window pops up. For Mac users, the Finder window pops up.
- 34.3 Select the file to be attached. Click **Open**.
- 34.4 Type a file description in the **File Description** field, if desired.
- 34.5 Click **Save**. The file is attached to the survey. See *Figure 329, Attachment*.

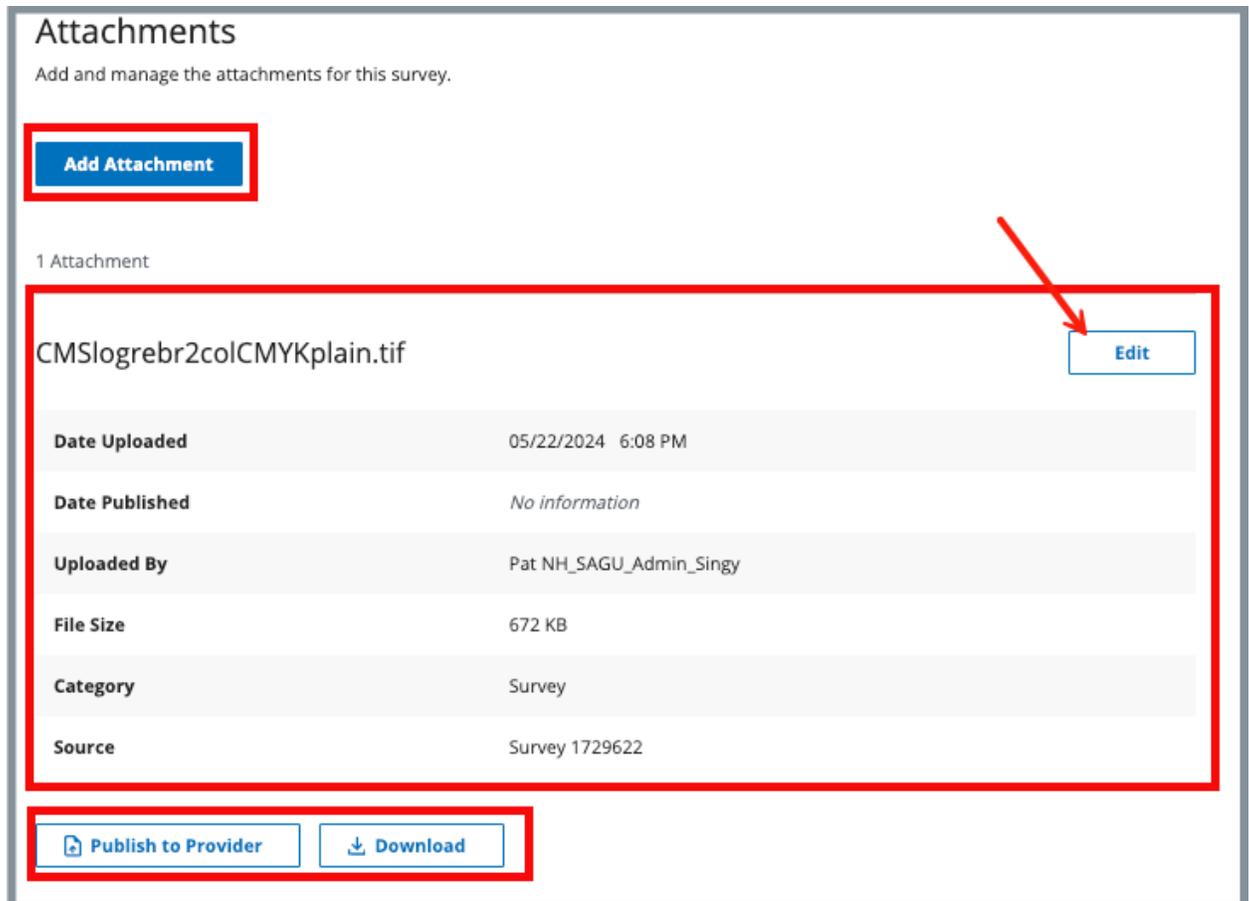


Figure 329: Attachment

- 34.6 Click **Add Attachment** to add additional attachments.
- 34.7 Click **Edit** to edit the attachment. The file can be deleted, or the description can be edited.
- 34.8 Click **Publish to Provider** to publish to the provider. The **Publish to Provider** link then shows as **Unpublish to Provider**. See *Figure 330, Unpublish To Provider*. Click again to toggle.

1 Attachment

CMSlogrebr2colCMYKplain.tif

Date Uploaded	05/22/2024 6:08 PM
Date Published	05/22/2024 6:24 PM
Uploaded By	Pat NH_SAGU_Admin_Singy
File Size	672 KB
Category	Survey
Source	Survey 1729622

[× Unpublish to Provider](#) [↓ Download](#)

Figure 330: Unpublish To Provider

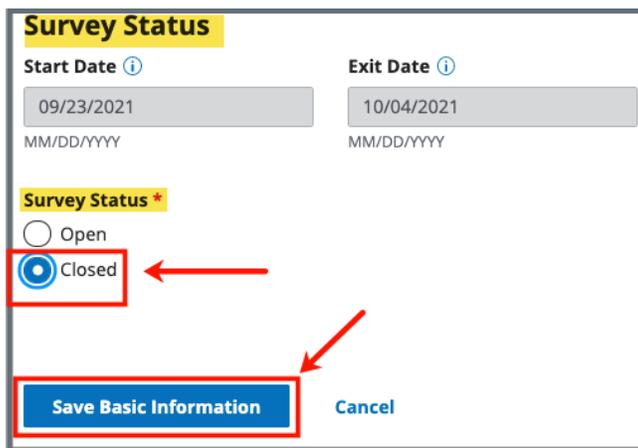
34.9 Click **Download** to download the attachment.

35. Survey Closed Status

Purpose: To close the survey once it is completed and all necessary corrections have been made.

35.1 Go to **Basic Information** page. Click **Edit**. The **Basic Information** page can now be edited.

35.2 Click **Closed** under Survey Status. See *Figure 331, Survey Status*.



The screenshot shows a form titled "Survey Status". At the top, there are two date fields: "Start Date" with the value "09/23/2021" and "Exit Date" with the value "10/04/2021". Below these are radio buttons for "Survey Status *": "Open" (unselected) and "Closed" (selected). A red box highlights the "Closed" radio button, with a red arrow pointing to it from the right. Another red box highlights the "Save Basic Information" button at the bottom, with a red arrow pointing to it from the top-right. A "Cancel" button is also visible next to the "Save Basic Information" button.

Figure 331: Survey Status

Note: Be sure the **Exit Date** is completed.

35.3 Click **Save Basic** Information. The **Basic Information** page updates.

35.4 Verify that **Survey Status** is **Closed**.

Appendix A: Tips and Tricks for Working in a Template

The letters template is very similar to working in Google Docs or Microsoft Word. See *Figure 332, Letter Template Format Menu* for a few tips and tricks to help.

Template Menu

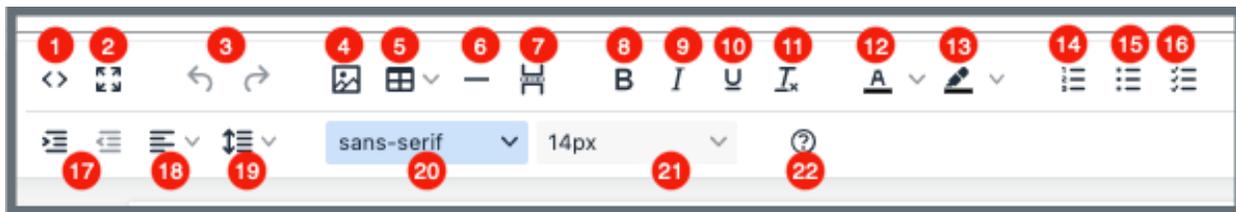


Figure 332: Letter Template Format Menu

1. Show HTML code
2. Put document in full screen (make it bigger)
3. Undo/Redo
4. Insert an image. A small **Drop image** box opens. Drag and drop a file or click the box and search for the file.
5. Insert a table
6. Insert a horizontal line
7. Insert a page break
8. Highlight text and click to make **bold**
9. Highlight text and click to *italicize*
10. Highlight text and click to underline
11. Clear formatting
12. Highlight text and click to change text color
13. Highlight text and click to **highlight text**
14. Create a numbered list
15. Create a bulleted list
16. Insert a checklist
17. Indent/Remove indent
18. Alignment: Left, Center, Right, Justified
19. Adjust the line height
20. Select a font
21. Select a font size
22. Help: shows handy shortcuts, keyboard navigation, plugins, and version

Appendix B: Survey Textholder Text

Each provider, survey, intake, and enforcement area has area-appropriate textholders. See *Table 37, Survey Textholders*.

Table 37: Survey Textholders

Survey Textholders		
Accrediting Organization (AO)	IDR Conducted By	Provider Type Full Description
Admin 1 st Name	IDR Conducted Date	Provider Zip
Admin Full Name	IJ Citations	Revisit-Corrected Tags
Admin Last Name	Letter Sent Date	Revisit-List New Tags
Admin Salutation	List Intakes For This Survey	Revisit-List Repeat Tags
Admin Short with Salutation	List Level A Cites (Disabled for HHA)	SQC Highest Grid Text
Admin Title	List Survey Team	SQC Notification
Administrator Email	List Tag Numbers Only	Start Date (Numbers)
Building ID List	List Tag/Surveyor Test	Start Date (Words)
Buildings List	List Tags Cited	State Survey Categories
Buildings List Open	Medicaid ID Number	Survey All Tags IDR Status
Custom Text Prompt	Observation Text (9999)	Survey Extent(s)
Date # Days after Exit Date (Numbers)	POC Due Date	Survey High Citations
Date # Days after Exit Date (Words)	POC Due Date in Words	Survey Purpose
Date # Days after Start Date (Numbers)	Provider Address 1 (Street)	Survey Regulation Type

Survey Textholders		
Date # Days after Start Date (Words)	Provider Address 2	Survey Revisits
Date CMS-2567 Issued	Provider CCN	Survey Revisits – Dates Only
Date IDR Request Received	Provider City	Survey Team Leader
Event ID	Provider Doing Business As Name	Survey Type
Exit Date (Numbers)	Provider Fax Number	Tags above S/S C
Exit Date (Words)	Provider Full Address	Tags with SQC
Exit Date + 6 Months (Numbers)	Provider Legal Name	Third Visit Date
Exit Date + 6 Months (Words)	Provider Mailing Address	Title (Mapped from Provider Certification & Licensure tab)
Federal Survey Categories	Provider State	Today’s Date
First Revisit High Citations	Provider State ID (FACID)	Today’s Date Full
First Revisit High Cite S/S	Provider State License Number	Waived Tags of Survey
Highest Grid Text	Provider Telephone	
Highest Scope/Severity (Disabled for Home Health Agencies (HHA))	Provider Type Abbrev	