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 1.1

July 14, 2025

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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*.
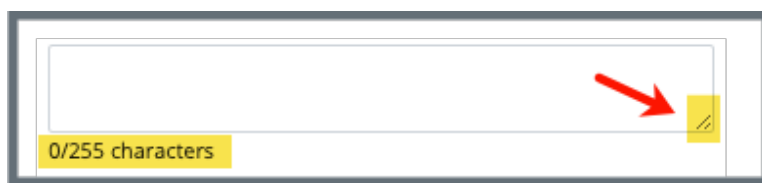
Figure 1: Expandable Field

- iQIES times out after 30 minutes of nonuse and reverts to the login page.

  o iQIES remains up and active as long as it is in use.

  o iQIES gives a five-minute warning before timing out.

  o The session resumes at the last accessed page after reauthentication.

  o Be sure to save data regularly. Pages that require saving are noted in this document, and have a **Save** button on the page.

- 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.
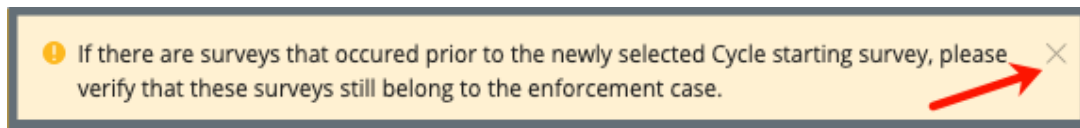
Figure 2: Notification Banner

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.*
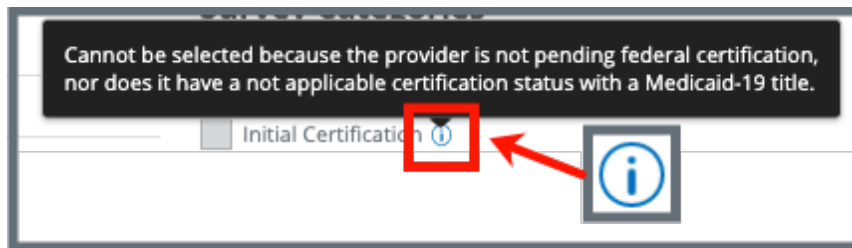
Figure 3: Tool Tip Icon

- 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 <u>S&C User Manual: Offline</u>.
b	**Expand All Tasks**	This checkbox defaults to checked so users can see tasks assigned to them. Uncheck box to close task detail.
c	**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. Click the caret next to the survey ID to view task status details about the survey. See <u>step 1.4.2. below</u>.
d	**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.
e	**Category**	Shows the survey category.
f	**Exit Date**	Shows the survey exit date.
g	**Assigned Tasks**	Lists the assigned tasks
h	**Track Status**	Tracks the completion status of the survey track. Click the status ID to see details. See <u>Certification Event</u> for a detailed explanation.
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**.
j	**Assigned Tasks**	Shows tasks assigned to the user.

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.
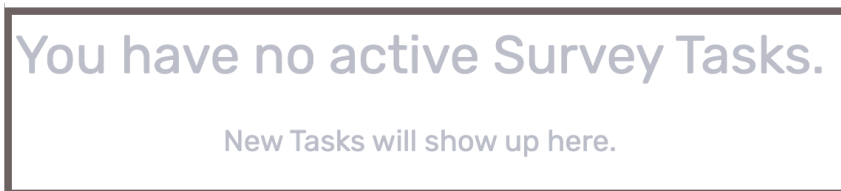
Figure 7: No Active Tasks

1.4.2 **Task Detail**: Tasks are shown by default. 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*.
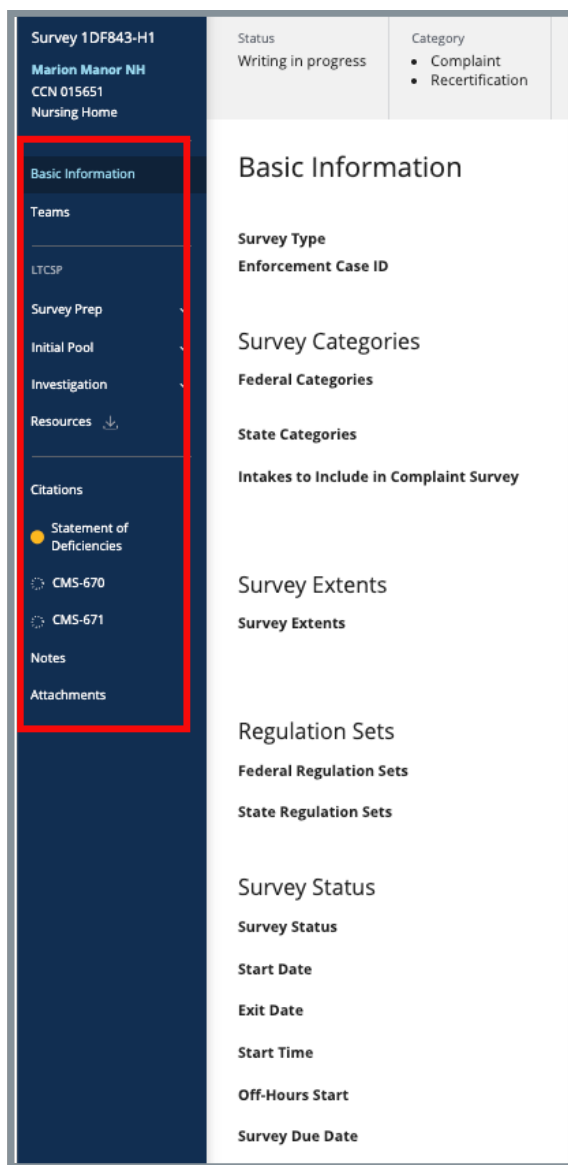
Figure 10: Survey Data Information Section

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.
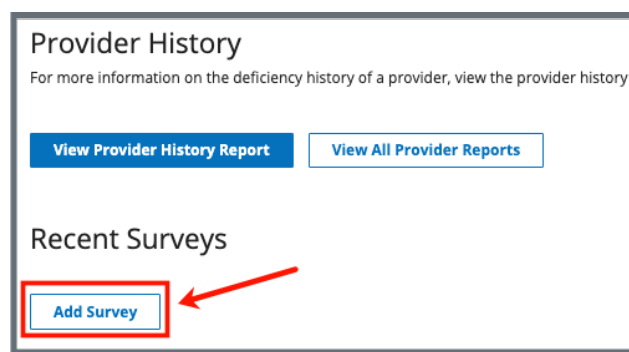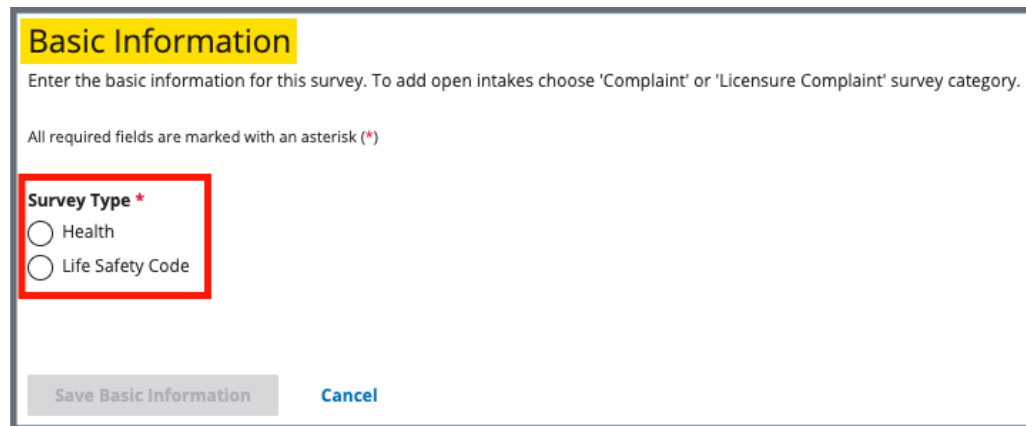
Figure 11: Add Survey

3.1.3   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

3.1.4   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.

Figure 13: New Survey Basic Information

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

Notes:

- Refer to **Off Hours** for off hours surveys.

- 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

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

3.2   Off-Hours Survey
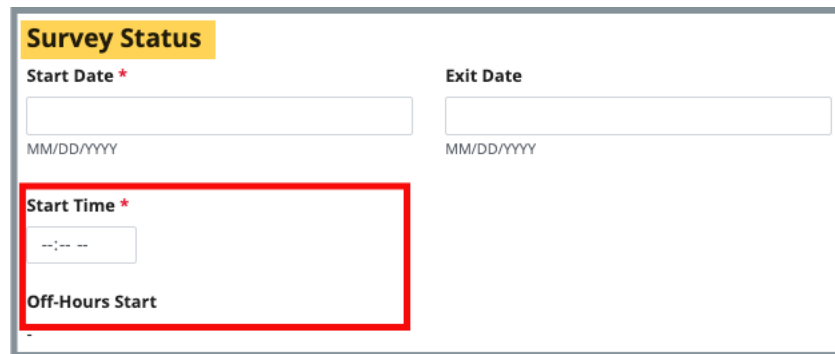
Purpose: To note hours on standard health surveys that are conducted prior to 8:00AM, after 6:00PM on a business day, or on a weekend or holiday.

Notes:

- Off-Hours only applies to health recertification surveys

- Off-Hours is system-calculated based on the **Start Date/Start Time**, which are both required fields

3.2.1   Select **Health** for **Survey Type.**

3.2.2   Check **Recertification** for **Survey Categories**. The **Survey Status Start Time** field appears and the **Off-Hours Start** is shown with no information. See *Figure 15, Survey Status.*
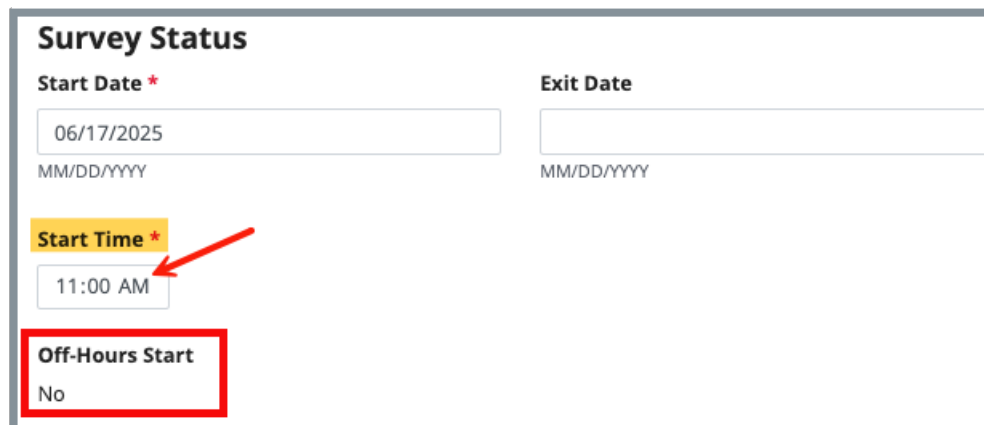
Figure 15: Survey Status

3.2.3   Fill out additional required information.

3.2.4   Type **Survey Start Date**.

3.2.5   Type **Survey Start Time**.

   a. When the start time is during business hours (8:00AM to 6:00PM local time), **Off-Hours Start** automatically populates to **No**. See *Figure 16, Off-Hours Start is No.*

Figure 16: Off-Hours Start is No

   b. When the start time is after business hours (prior to 8:00AM and after 6:00PM local time, holidays, or weekends), **Off-Hours Start** automatically populates to **Yes**. See *Figure 17, Off-Hours Start is Yes.*

Figure 17: Off-Hours Start is Yes

3.2.6   Click **Save Basic Information.**

3.3   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).

3.3.1   Click **Add Survey** on the **Provider History** page. See *Figure 18, Add
Survey*. The **Basic Information** page opens.
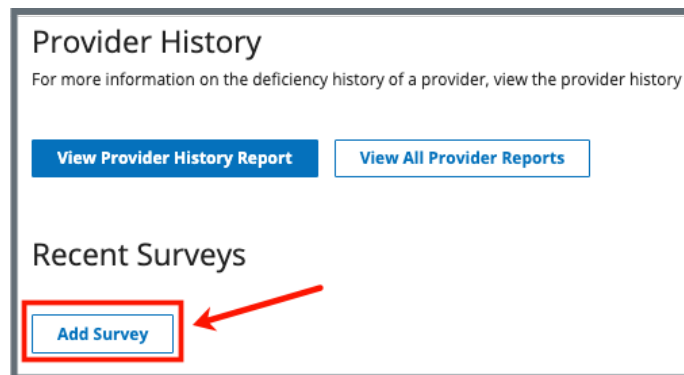
Figure 18: Add Survey

3.3.2   Select **Survey Type**. See *Figure 19, 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 19: Survey Type

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

3.3.3   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.

3.3.4   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 20, LSC Survey ID Explanation*.

Survey EF635-L1
VAASC03282022071445 - IQIES ID 2176015 - ASC - Non-Deemed
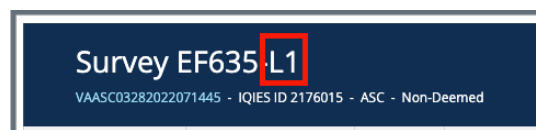
Figure 20: LSC Survey ID Explanation

3.4   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.

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

3.4.2   Click **Create Life Safety Code Survey** under the **Survey action** menu on the survey line. See *Figure 21, Create Life Safety Code Survey.* The **New Survey Basic Information** page opens.
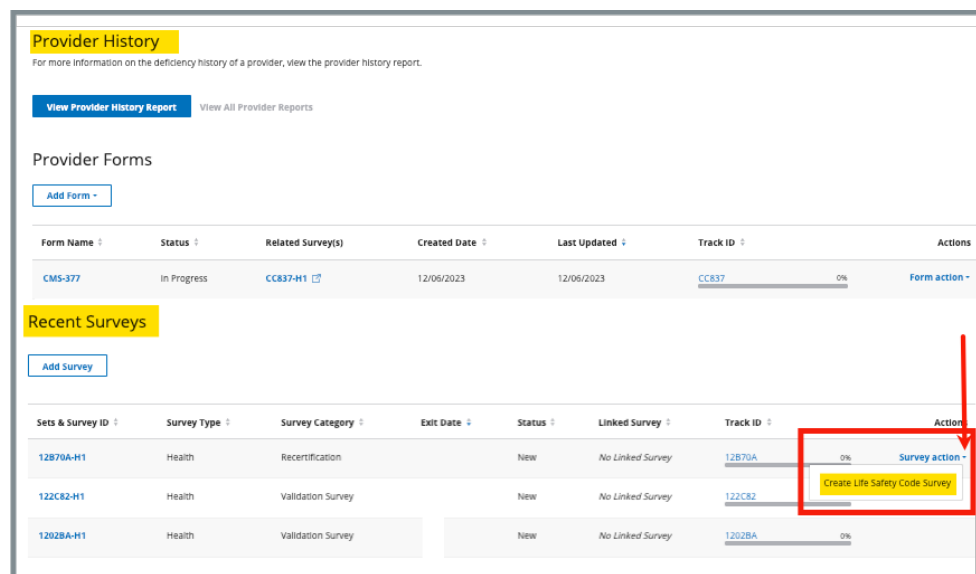
Figure 21: Create Life Safety Code Survey

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

3.4.3   Verify the linked survey is correct and fill out the information. Some information is prepopulated. See *Figure 22, Linked Health Survey Basic Information.*

Figure 22: Linked Health Survey Basic Information

3.4.4   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 23, Linked Survey IDs.*

Figure 23: Linked Survey IDs

3.5   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.

3.5.1   Click **Add Survey** on the **Provider History** page. The **Survey Basic Information** page opens.

3.5.2   Select **Federal Monitoring Survey**. See *Figure 24, Federal Monitoring Survey.*

3.5.3   Fill out the rest of the information.

3.5.4   Click **Save Basic Information.**

Figure 24: 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:

  o   When a survey has citations

  o   When a survey has an IDR

  o   When a survey has a POC

  o   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.

  o   If the survey is associated with:

     ▪   A revisit

     ▪   An FMS

     ▪   An enforcement

  o   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 cannot 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:

  o Send an email to: iqiessogdelreq@cms.hhs.gov
  o Copy user's manager
  o 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 25, Delete a Survey*. The **Delete survey?** pop-up window opens.
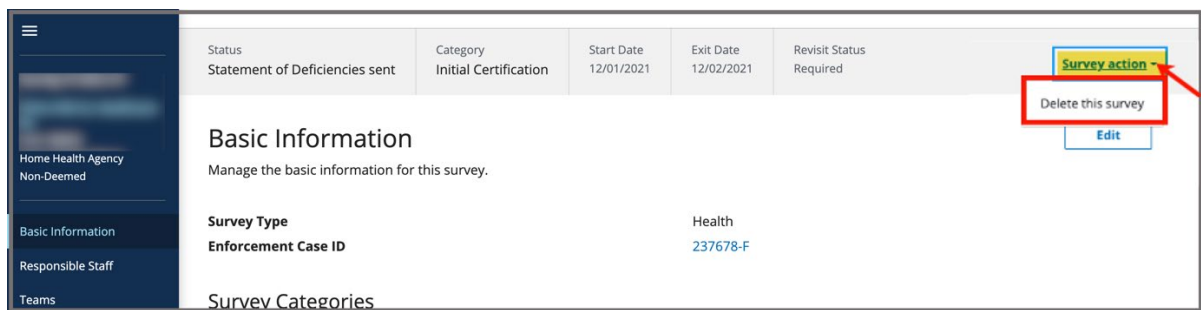
Figure 25: Delete a Survey

Note: When a survey cannot be deleted, a red notification explains the reason why. See *Figure 26, Survey Cannot Be Deleted.* Click the link in the notification to review the specific citation or enforcement.
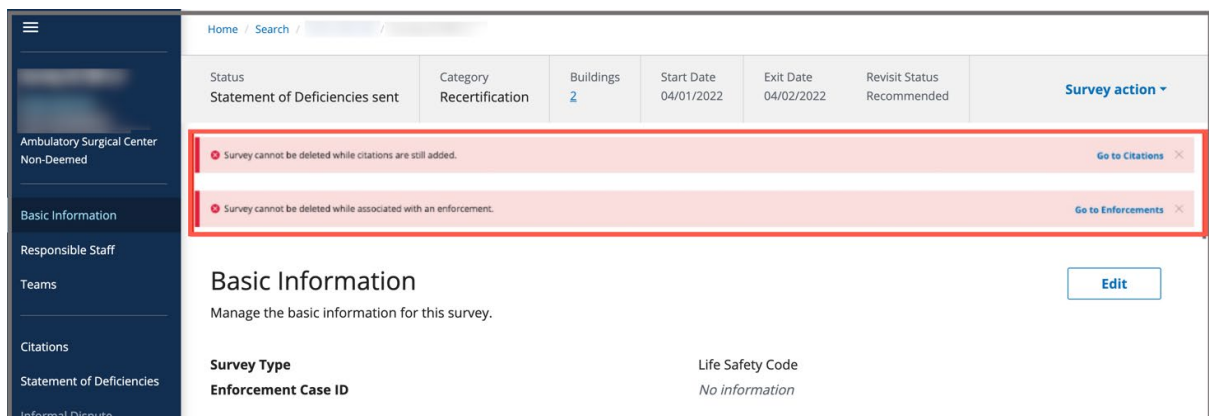
Figure 26: Survey Cannot Be Deleted

4.2   Click **Yes, delete**. See *Figure 27, Delete Survey? Pop-up Window*. The survey is deleted.
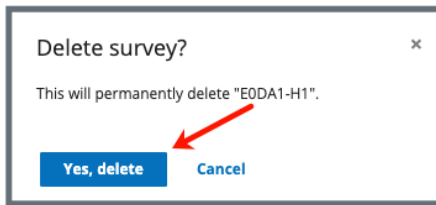
Figure 27: Delete Survey? Pop-up Window

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 28, Edit Button*. See *Figure 29, Basic Information Edit Screen*.

Figure 28: Edit Button

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

Figure 29: 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 30, Add Responsible Staff*.

Figure 30: Add Responsible Staff

6.2   Click **Add Staff**. The **Add Responsible Staff** screen opens. See *Figure 31, Add Responsible Staff Screen.*

Figure 31: 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 32, Verify Responsible Staff*.

Figure 32: 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 33, Edit a Responsible Staff*.

Figure 33: 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 34, Delete a Responsible Staff*.
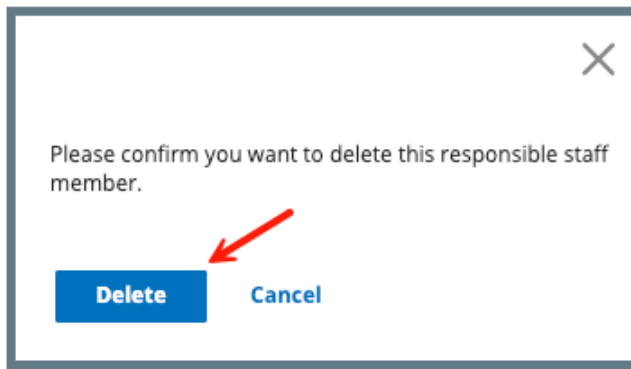
Figure 34: Delete a Responsible Staff

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 35, Manage Tasks.* See *Table 4, Manage Tasks Detailed Callout.*
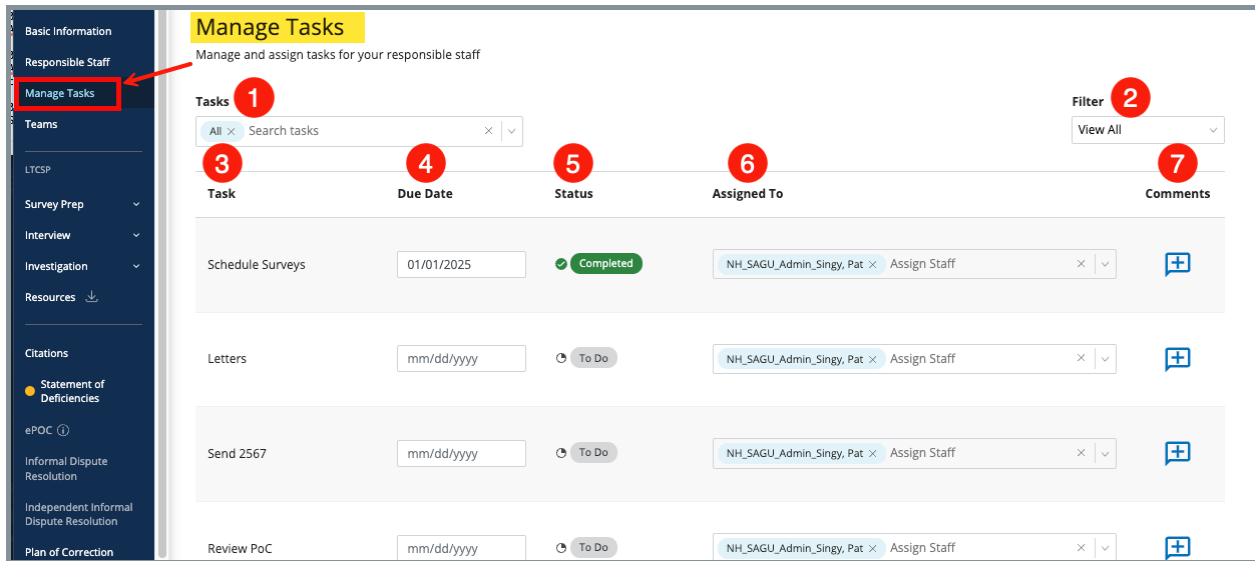
Figure 35: Manage Tasks

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 36, Teams*. The **Teams** window opens.
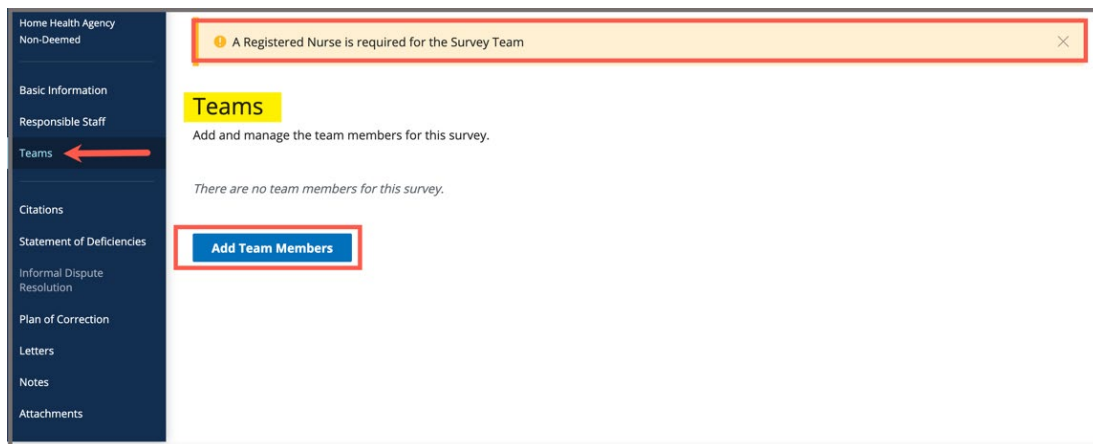
Figure 36: Teams

8.2   Click **Add Team Members** to add a new person to the team. The **Add Teams** window opens. See *Figure 37, 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 37: 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 38, Add a QA Member*.

Figure 38: 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 39, Survey Team Member Successfully Added Popup.*
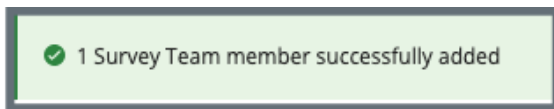
Figure 39: Survey Team Member Successfully Added Popup

8.7   Click **Delete** under **Actions** to delete a team member. See *Figure 40, Delete a Team Member*. A confirmation pop-up window opens. See *Figure 41, 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.

Figure 40: Delete a Team Member

Figure 41: 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 42, My Tasks Track Status.*
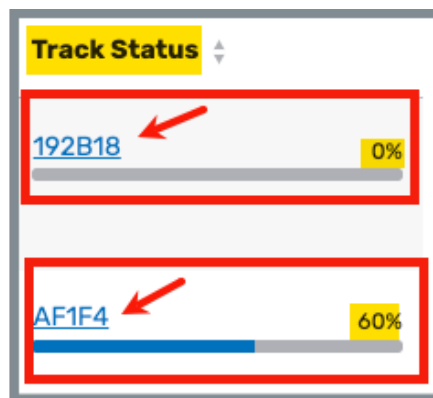
Figure 42: My Tasks Track Status

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 43, Detailed
Certification Status.*

Figure 43: Detailed Certification Status

9.2   View Certification Progress in Survey

Go to the **Survey Basic Information** page. See *Figure 44, Survey Basic Information Page Certification Progress* and *Table 5, Survey Basic Information Page Certification Progress Detailed Callout.*
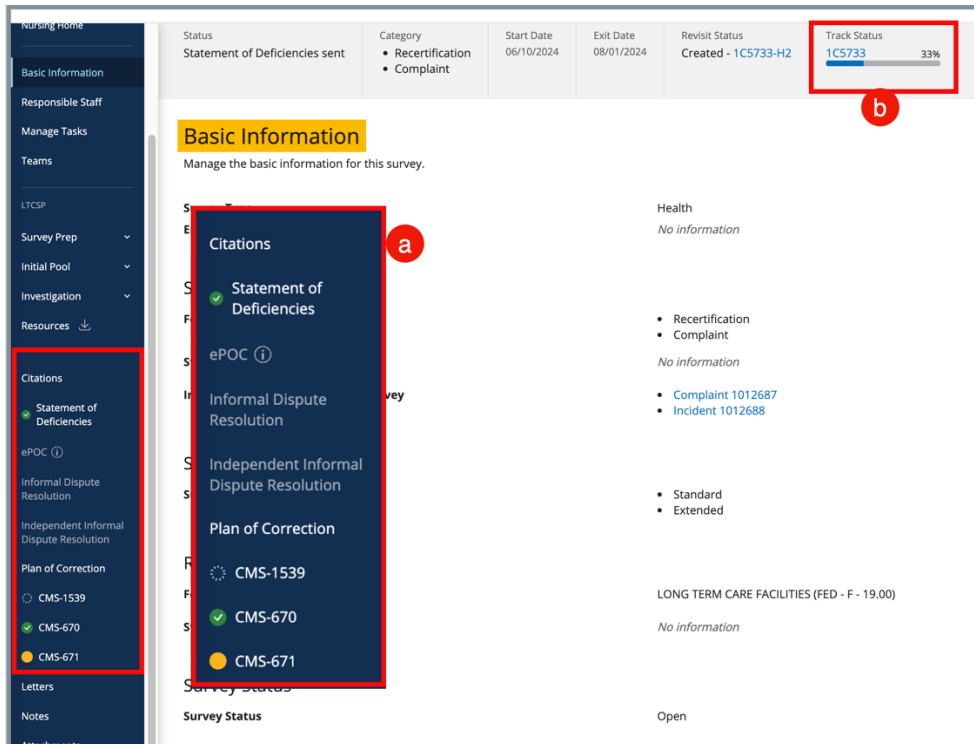
Figure 44: Survey Basic Information Page Certification Progress

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 45, Provider History Page Certification Progress*.

Figure 45: 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 46, Surveyor Notes Icon.*
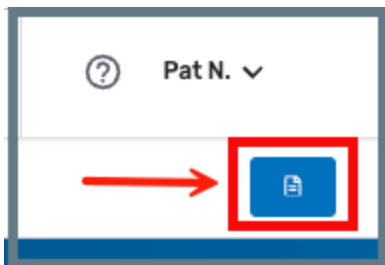
Figure 46: Surveyor Notes Icon

- 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 47, Surveyor Notes Bottom Screen Icon.*

Figure 47: 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 48, Sample Surveyor Note.*
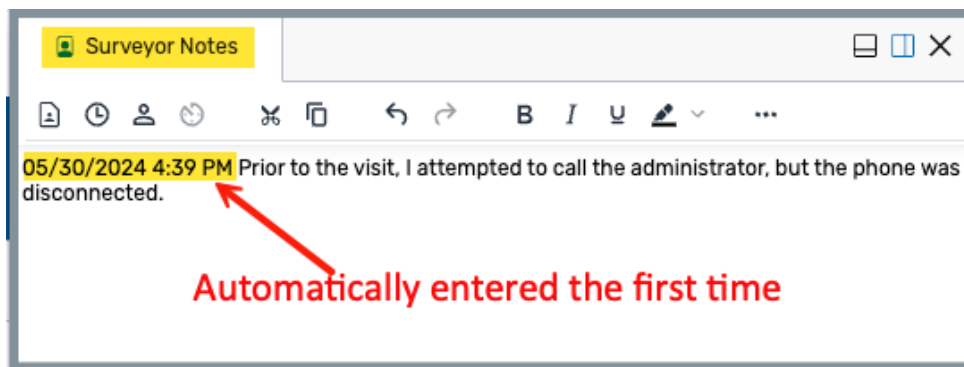
Figure 48: Sample Surveyor Note

- Surveyor Notes are autosaved.

- The **Last saved** date and time shows at the bottom of the Surveyor Notes. See *Figure 49, Surveyor Notes Last Saved Date and Time.*
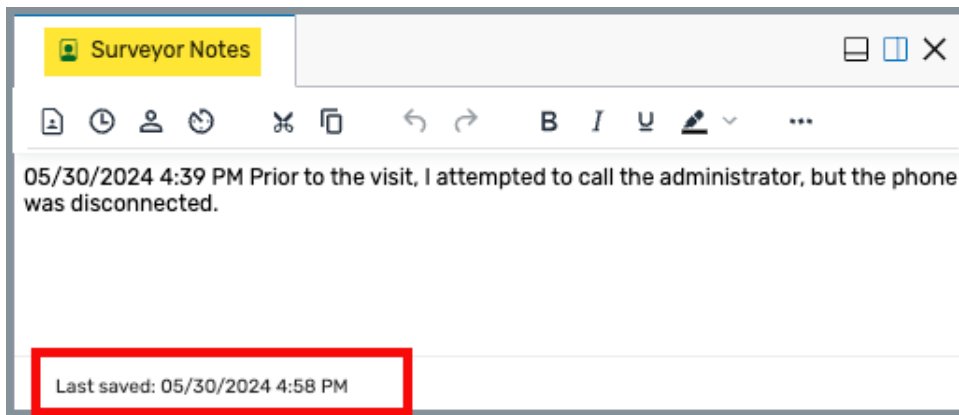
Figure 49: Surveyor Notes Last Saved Date and Time

Custom Toolbar Functions

There are 4 custom toolbar options among the normal standard formatting options. See *Figure 50, Surveyor Notes Custom Toolbar Functions.*
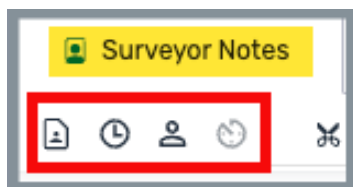
Figure 50: Surveyor Notes Custom Toolbar Functions

From left to right they are:

o **View All Surveyor Notes**
o **Insert Date/Time Stamp**
o **Insert Resident ID**
o **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 51, View All Surveyor Notes.* Click any name to view the Surveyor Note. Surveyor Notes are not editable.
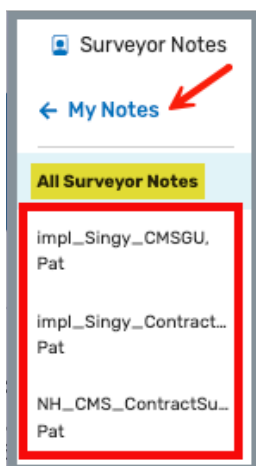
Figure 51: View All Surveyor Notes

> 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 52, Surveyor Notes Formatting Menu.*
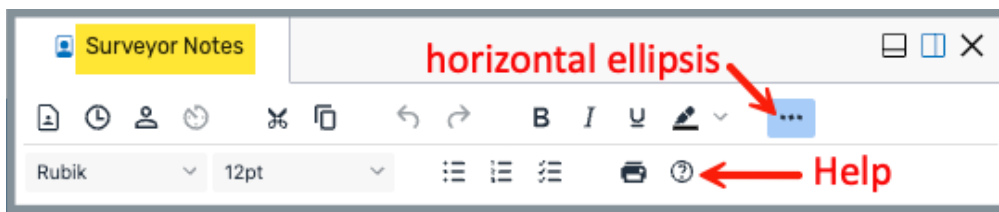
Figure 52: Surveyor Notes Formatting Menu

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 53, IJ Icon*. The **IJ Template** pop-up window opens. See *Figure 54, IJ Template Pop-Up Window* and *Table 6, IJ Template Pop-Up Window Detailed Callout*.

Figure 53: IJ Icon
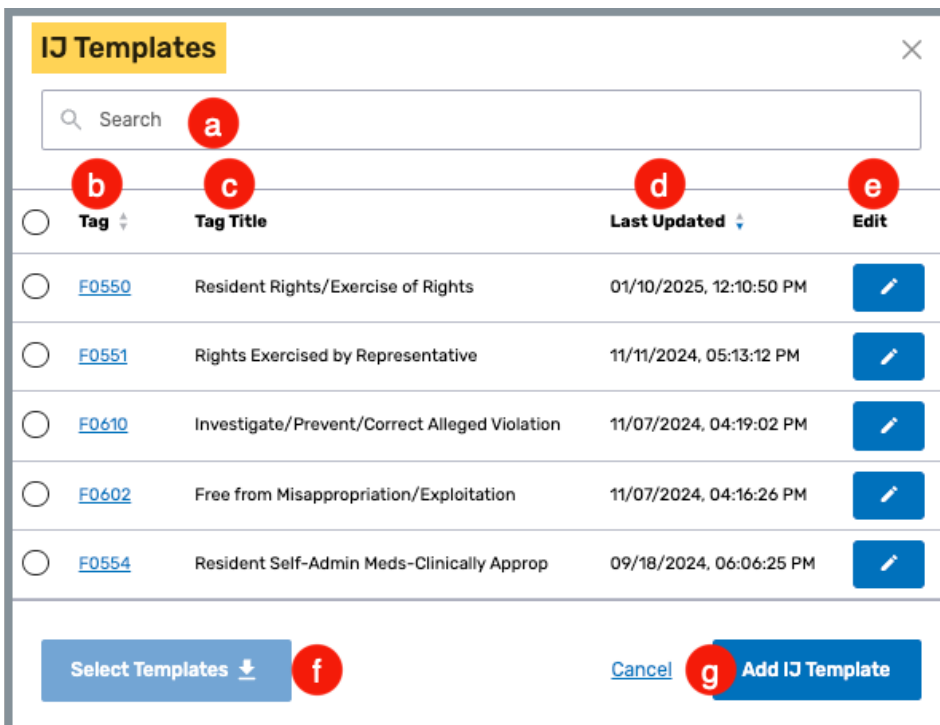
Figure 54: IJ Template Pop-Up Window

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 55, 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 55: Select Regulation Pop-Up Window

11.5   Click Next. The Template Edit pop-up window opens and can be edited. See Figure 56, 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 56: 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 57, Updated IJ Templates Pop-Up Window*.
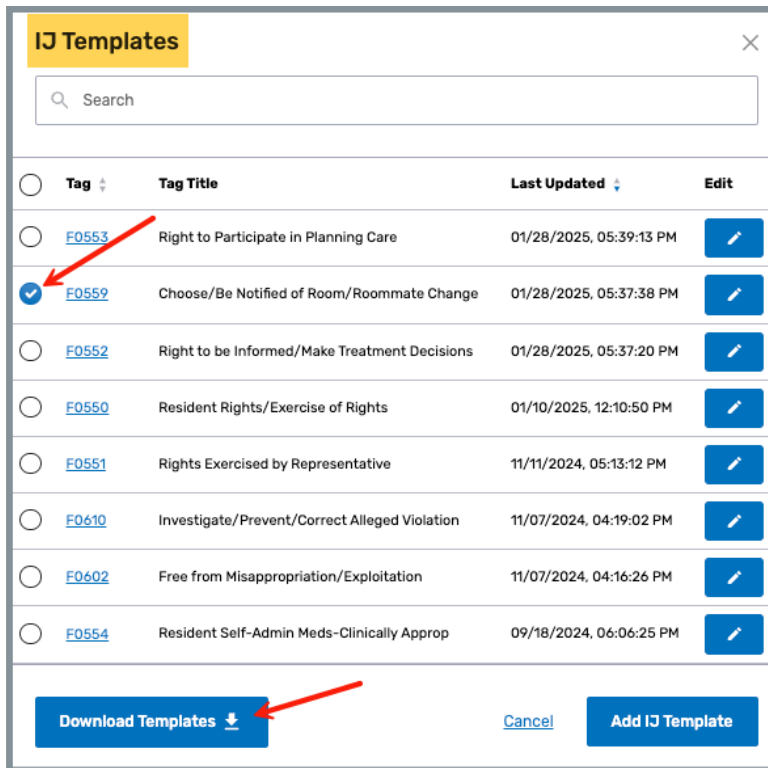
Figure 57: Updated IJ Templates Pop-Up Window

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:

  o On the **Current Sample Candidates** list, regardless of whether that resident is checked or not checked on that page
  o Assigned to a facility task, both manually or from an intake
  o Assigned to an investigation, both manually or from an intake
  o Tagged in any note

- The system automatically deselects any resident:

  o Removed from the Current Sample Candidates list
  o Unassigned from a facility task, both manually or from an intake
  o 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 58, Add Residents to Sample List Icon*. The **Add Residents to Sample List** pop-up window opens. See *Figure 59, Add Residents to Sample List Pop-Up Window*.

Figure 58: Add Residents to Sample List Icon

Figure 59: 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 60, Offsite Prep Badge.* Information may be edited when a badge says **In Progress**.

Figure 60: 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 61, Offsite Prep* and *Table 8, Offsite Prep Detailed Callout.*

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

Figure 61: 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 62, Offsite Prep: Facility Information* and *Table 9, Facility Information Detailed Callout.*

Figure 62: 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 63, Offsite Prep: Review Prior to Visit* and *Table 10, Review Prior to Visit Detailed Callout.*

Figure 63: Offsite Prep: Review Prior to Visit

Table 10: Review Prior to Visit Detailed Callout

No.	Section Detail	Description
a	**Repeat Deficiencies**	Documents any repeat deficiencies. Click link to view the Provider History report. The link opens in a new tab.
b	**Last Standard Survey Results**	Auto populates the results of the last standard survey. 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. 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.
c	**Review of Complaints and FRIs since Previous Recertification Survey Date**	This is a listing of all intakes that have been set to **Closed** since the previous survey. This information is dynamic based on the derived **Previous Recertification Survey Date** in the **Facility Information** section. Shows all the intake notes associated with that intake. Add any relevant notes in the text field about closed intakes. Click on any intake ID to review the intake.

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 64, Offsite Prep: Staffing* and *Table 11, Staffing Detailed Callout.*

Figure 64: Offsite Prep: Staffing

Table 11: Staffing Detailed Callout

No.	Section Detail	Description
a	**Does the facility have staffing concerns …**	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. If the response to this question is **No**, then the list of staffing concerns is not enabled.
b	**Mark all concerns…**	Select from any combination of the following rows: • 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 ○ 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. Note any concerns along with applicable quarter and year. Be sure to fill out both quarter and year in separate fields.
c	**Staffing Notes**	Document any additional notes related to the decisions about the PBJ Staffing table.
d	**Are there any current nurse staffing waivers…**	The default response is **No,** and staffing waivers is not editable. Click **Yes** to add a note about staffing waivers.
e	**Note any staffing waivers…**	This field is editable when the prior question is **Yes**. It is possible to check variances or waivers and add additional notes.

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 65, 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.

Figure 65: 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 66, Intake Notes Pop-Up Window.*
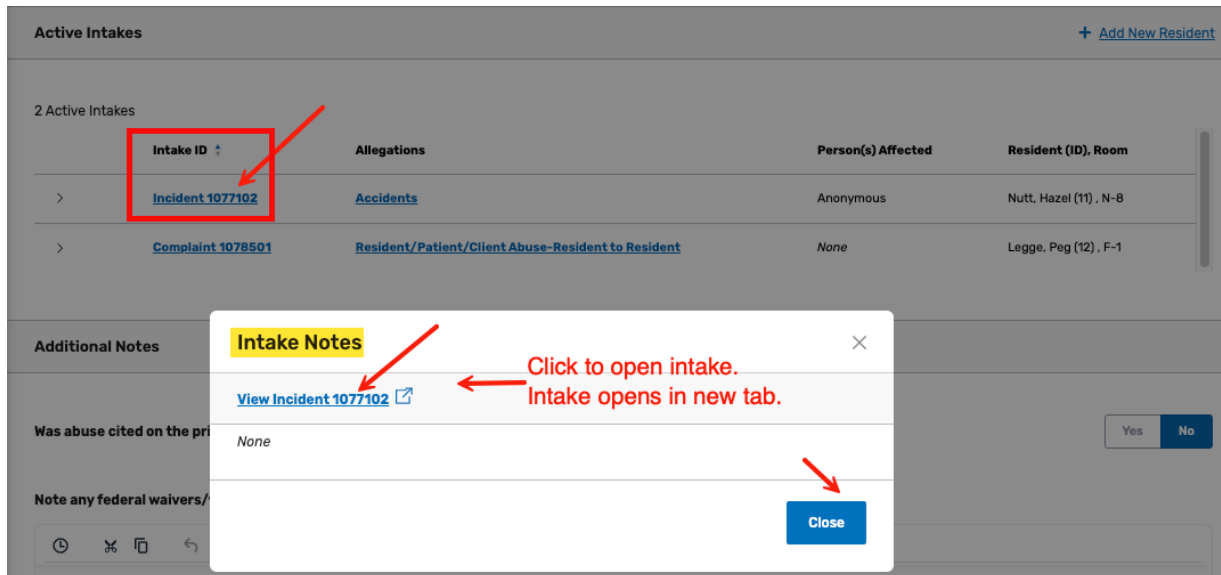
Figure 66: Intake Notes Pop-Up Window

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 67, Allegation Details.*
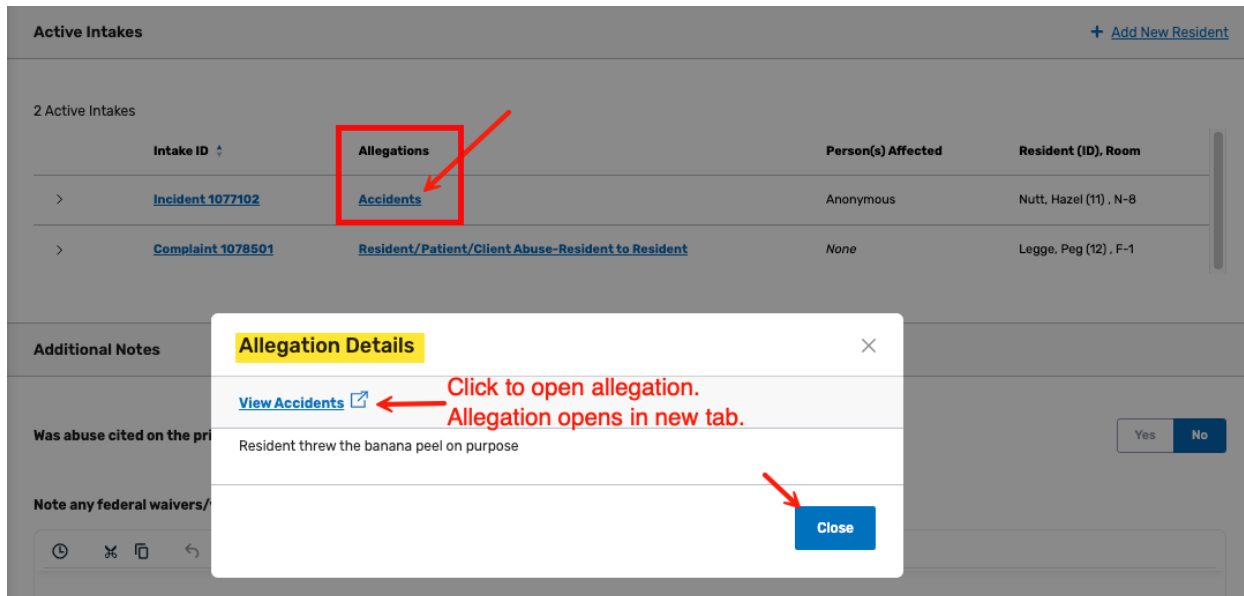
Figure 67: Allegation Details

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 68, Intake Details*.

Figure 68: 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.

a. Click the caret next to the resident to switch residents.

b. 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

a. 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 69, Add Another Resident.*

Figure 69: Add Another Resident

b. Select resident from drop-down menu of existing residents. See *Figure 70, Select Resident.*

Figure 70: 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 71, 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 71: 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: • 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 72, Offsite Prep: Additional Notes*

Figure 72: 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 73, Offsite Prep: Ombudsman.*

Figure 73: Offsite Prep: Ombudsman

13.8 Team Unit Assignments

Fill out team unit assignments. See *Figure 74, Offsite Prep: Team Unit Assignments* and *Table 14, Team Unit Assignments Detailed Callout.*

Figure 74: 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 75, Finalize Offsite Prep Badge.*

Figure 75: 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 76, Entrance Conference*. The **Entrance Conference** window opens.

Figure 76: 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 77, Entrance Conference: Information Needed Immediately Upon
Entrance.*

Figure 77: Entrance Conference: Information Needed Immediately Upon Entrance

14.3 Complete the following information within one hour of entrance. See *Figure 78, Entrance Conference: Information Needed Within One Hour of Entrance*.

Figure 78: Entrance Conference: Information Needed Within one hour of entrance

14.4 Complete the following information within four hours of entrance. See *Figure 79, Entrance Conference: Information Needed Within Four Hours of Entrance*.

Figure 79: 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 80, Entrance Conference: Remaining Information Needed*.

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

Figure 80: 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 81, Top Icon.*
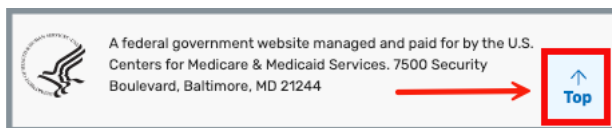
Figure 81: Top Icon

- 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 82, Team Meeting*.
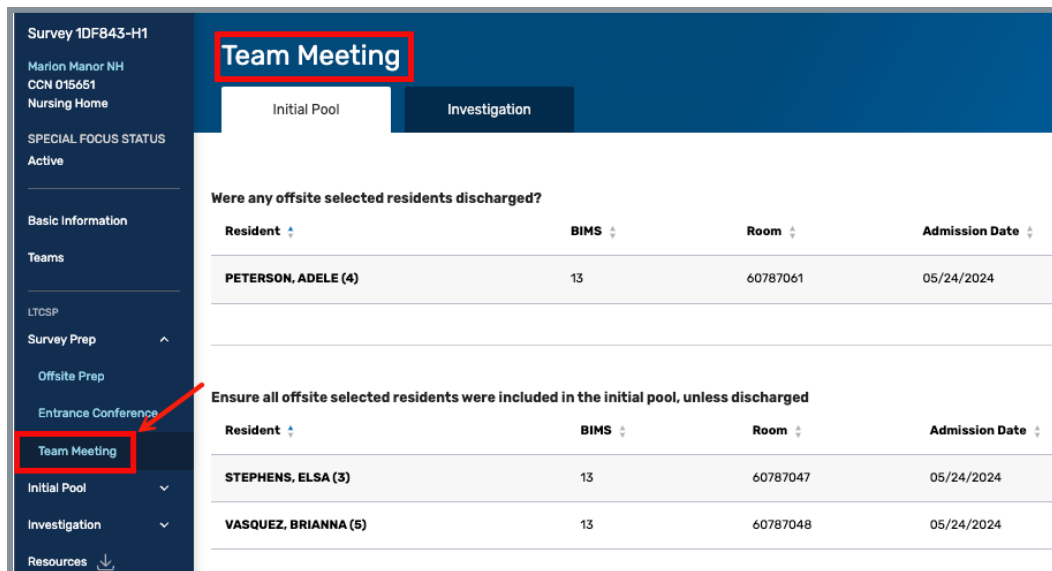
Figure 82: Team Meeting

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 83, Initial Pool Information, part 1 of 5, Figure 84, Initial Pool Information, part 2 of 5, Figure 85, Initial Pool Information, part 3 of 5, Figure 86, Initial Pool Information, part 4 of 5,* and *Figure 87, Initial Pool Information, Part 5 of 5.*

Notes:

- See *Figure 88, PBJ Staffing Details Concerns* and *Figure 89, 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**.

Figure 83: 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)	• NHCS_Singy
Clyde, Bonnie-Ann (14)	• surveyor_roberts_alabama (91824) • NHCS_Singy • cmsgu_jgreen
Dover, Eileen (9)	• surveyor_roberts_alabama (91824) • NHCS_Singy
Legge, Peg (12)	• surveyor_roberts_alabama (91824) • NHCS_Singy
Nutt, Hazel (11)	• NH_CMSGU_Singy • NHCS_Singy
Spencer, Candace (13)	• NHCS_Singy
Yasoon, C (10)	• 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 84: 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	• MUELLER, AIMEE (1)
NHCS_Singy	• KENT, LEAH (2) • Dover, Eileen (9) • Yasoon, C (10) • Spencer, Candace (13) • Clyde, Bonnie-Ann (14)
Surveyor Unassigned	• STEPHENS, ELSA (3) • VASQUEZ, BRIANNA (5)
surveyor_roberts_alabama (91824)	• Legge, Peg (12)

Figure 85: Initial Pool Information, part 3 of 5

How much work does each surveyor have left to do?

Surveyor	Resident(s)	Task
cmsgu_jgreen	• MUELLER, AIMEE (1)	• Unfinished RRI, RI, RR, RO
NHCS_Singy	• KENT, LEAH (2) • Yasoon, C (10) • Spencer, Candace (13) • Clyde, Bonnie-Ann (14)	• Unfinished RR, RO • Unfinished RRI, RI, RR, RO • Unfinished RR, RO • Unfinished RO
Surveyor Unassigned	• STEPHENS, ELSA (3) • VASQUEZ, BRIANNA (5)	• Unfinished RRI, RI, RR, RO • Unfinished RRI, RI, RR, RO
surveyor_roberts_alabama (91824)	• Legge, Peg (12)	• 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)	• Legge, Peg (12)

Figure 86: Initial Pool Information, part 4 of 5

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

[text box]

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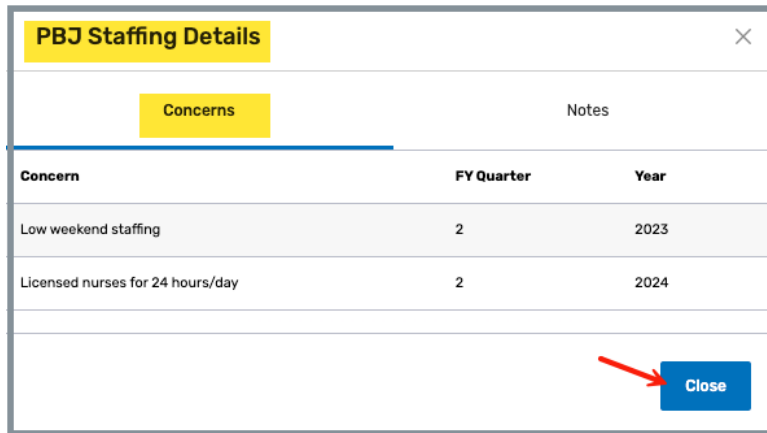
Review the list of initial pool concerns and ensure the team discusses potential staffing concerns.

PBJ Staffing

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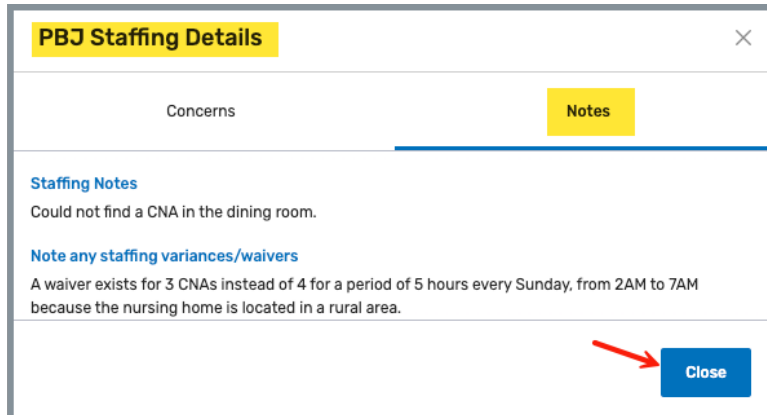
↑ Top

Figure 87: Initial Pool Information, Part 5 of 5

Figure 88: PBJ Staffing Details Concerns

Figure 89: 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 90, Investigation Information, page 1 of 3, Figure 91, Investigation Information, page 2 of 3,* and *Figure 92, 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 93, Initiate F895.*

Figure 90: Initiate F895

Figure 91: Investigation Information, page 1 of 3

How much work does each surveyor have left to complete?

Surveyor ⇕	Resident(s) ⇕	Investigation
NH_Singy_Contract_Surveyor	• Clyde, Bonnie-Ann (14) • Dover, Eileen (9)	• Physical Restraints • Activities
NHCS_Singy	• Clyde, Bonnie-Ann (14) • Dover, Eileen (9) • Booke, Rita (15) • Yasoon, C (10) • Legge, Peg (12) • Nutt, Hazel (11)	• Physical Restraints, Accidents • Activities, Advance Directives • Care Planning • Care Planning, Activities of Daily Living • Abuse, Abuse • Food
Surveyor Unassigned	• Nutt, Hazel (11)	• 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 92: Investigation Information, page 2 of 3

Figure 93: 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 94, No Residents Found* and *Figure 95, Residents Will Be Available 5 Business Days Prior to Survey Start Date.*

Figure 94: No Residents Available

Figure 95: 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 Poo**l. The **Resident Manager** window opens with **All Residents** and **My Residents** tabs. See *Figure 96, Resident Manager* and *Table 15, Resident Manager Detailed Callouts.*
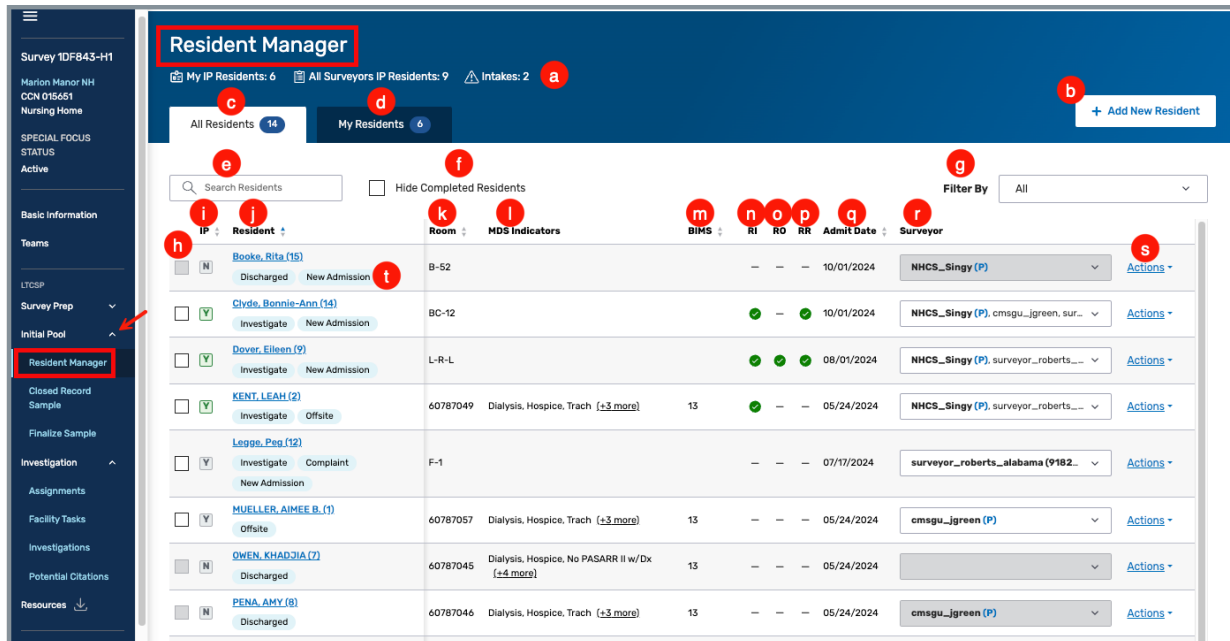
Figure 96: Resident Manager

Table 15: Resident Manager Detailed Callout

No.	Section Detail	Description
a	**Resident Summary**	Displays: • 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 <u>bulk assign surveyors.</u>
i	**IP** (Initial Pool)	**Offsite Badge** **Y** Yes. Default setting. Resident was included in the Initial Pool. **N** No. Resident was not included in the Initial Pool. 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**. **No Offsite Badge** **U** Unknown. Default setting. Resident will not be included in the Initial Pool. **N** No. Resident will not be included in Initial Pool. **M** Maybe. Resident will not be included in Initial Pool. **Y** Yes. Resident will be included in Initial Pool.
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	The blue badges under the resident's name give further information about the resident:
		Offsite — The resident was system-selected as part of the offsite sample.
		Discharged — The resident has left the facility.
		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.
		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.
		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.
		New Admission — The Resident is a new admission.

16.2 Add a New Resident

16.2.1   Click **Add New Resident**. See *Figure 97, Add New Resident*. The **Add New Resident** pop-up window opens. See *Figure 98, Add New Resident Pop-Up Window*.
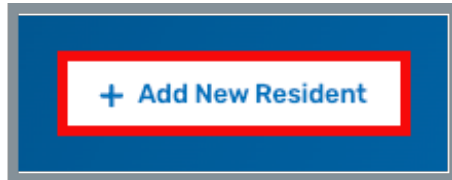
Figure 97: Add New Resident

Figure 98: 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 99, Update Resident*. The **Update Resident** pop-up window opens. See *Figure 100, Update Resident Pop-Up Window*.
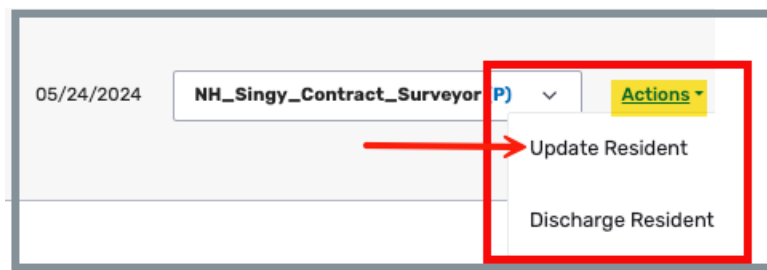
Figure 99: Update Resident

Figure 100: 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 101, Update Resident*. The **Update Resident** pop-up window opens. See *Figure 102, Update Resident Pop-Up Window*.
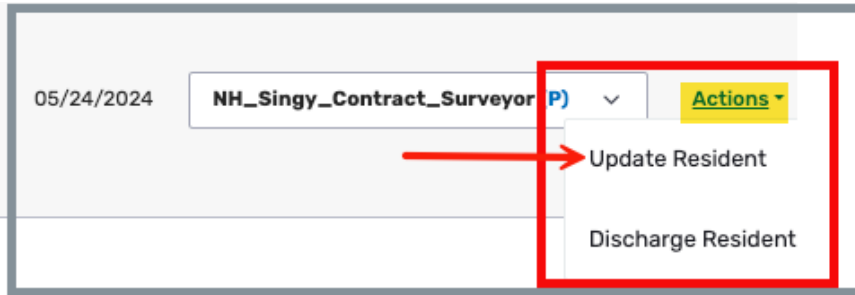
Figure 101: Update Resident

Figure 102: 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 103, Delete Resident Pop-Up Window.*

Figure 103: 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 104, Discharge Resident.*
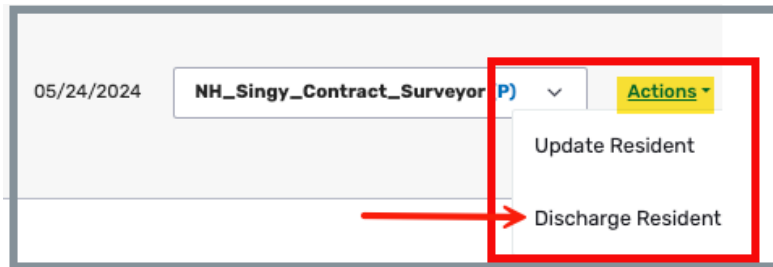
Figure 104: Discharge Resident

Notes:

- When the resident has no **Offsite** badge, the **Discharge Resident** pop-up window opens. See *Figure 105, Discharge Resident.* Click **Yes, Discharge.**
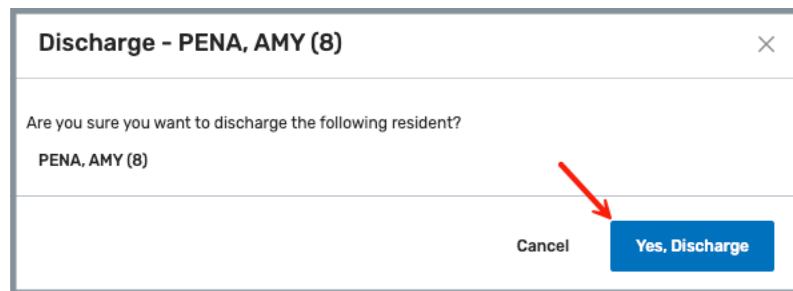
Figure 105: Discharge Resident

- When the resident has the **Offsite** badge, the **Select Closed Record Reason** pop-up window opens. See *Figure 106, Select Closed Record Reason.* Click **Save**.

Figure 106: Select Closed Record Reason

16.5.2   Verify **Discharged** is shown under the resident name.
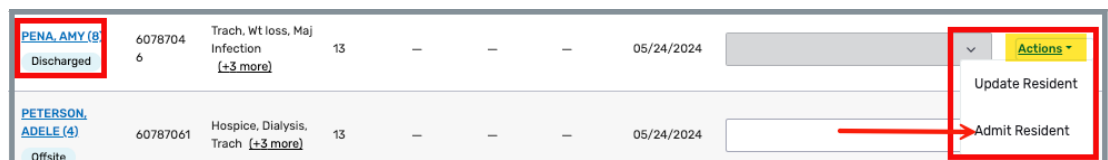
Note: The patient information is view only when a patient status is **Discharged**.

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.
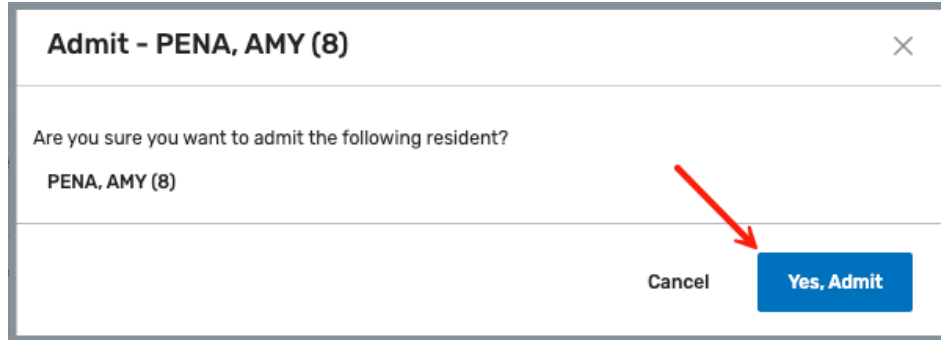
16.6.1   Click **Admit Resident** under the **Actions** menu to admit a resident. See *Figure 107, Admit Resident.*

Figure 107: Admit Resident

16.6.2   Click **Yes, Admit**.

16.6.3   Verify **Discharged** is no longer shown under the resident's name. See *Figure 108, Admitted Resident.*

Figure 108: 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 109, Bulk
Assign Surveyors.*
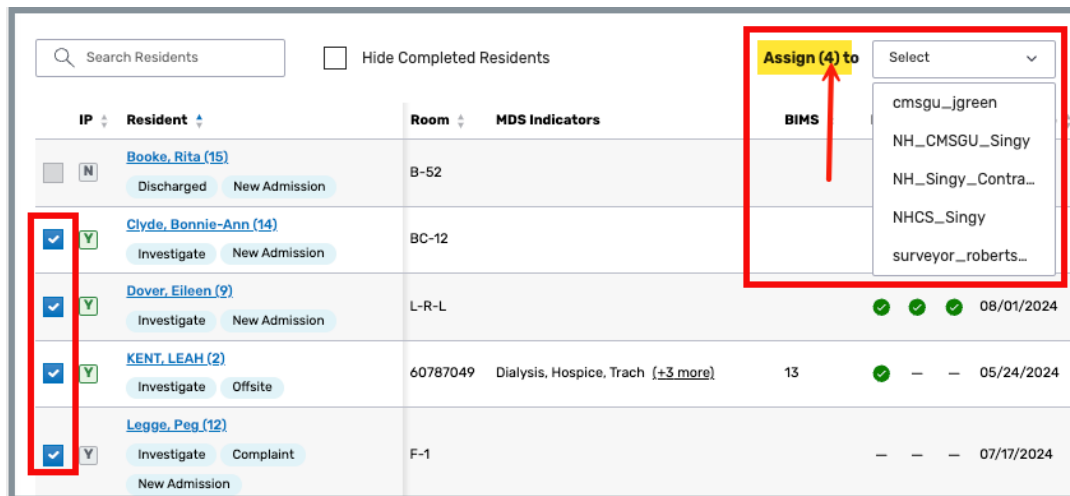
Figure 109: Bulk Assign Surveyors

16.8.2   Select the surveyor to be assigned to the resident. A **Confirm Assignment** pop-up window opens. See *Figure 110, Confirm Assignment.*

Note: If the resident is already assigned to a surveyor, the selected surveyor will be added as an additional surveyor.
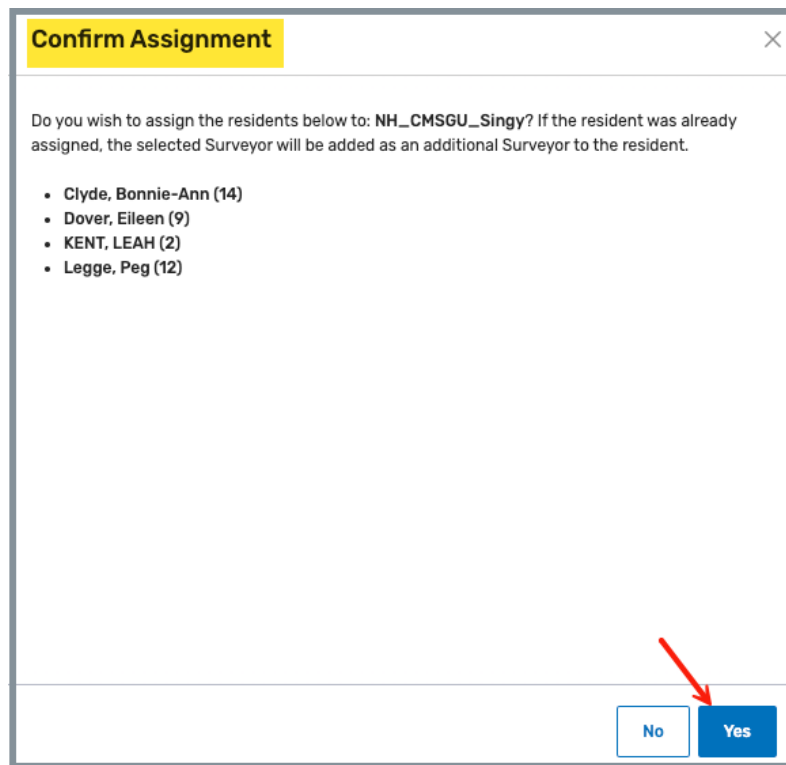
Figure 110: Confirm Assignment

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 111, Resident Overview* and *Table 17, Resident Overview Detailed Callout.*

Figure 111: 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**	Probe text is hidden by default. Uncheck box to view text. Probe text provides guidance that surveyors can reference when conducting interviews, observations, and record reviews.
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**	The care areas are organized by quality of life and resident rights, followed by quality of care. To arrange the care areas alphabetically on the screen, click on the A to Z toggle.
l	**Completed**	Mark the Interview area complete. All care areas do not have to be marked with response options to mark the interview complete.
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 112, Jump to Care Area.* The **Care Area** side menu opens. See *Figure 113, Care Areas Side Menu* and *Table 18, Care Areas Side Menu Detailed Callout.*
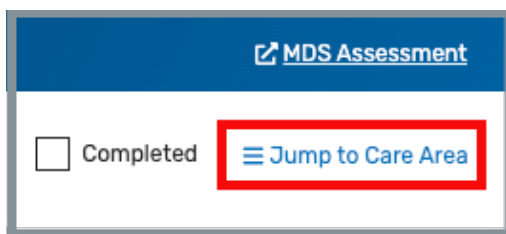
Figure 112: Jump to Care Area
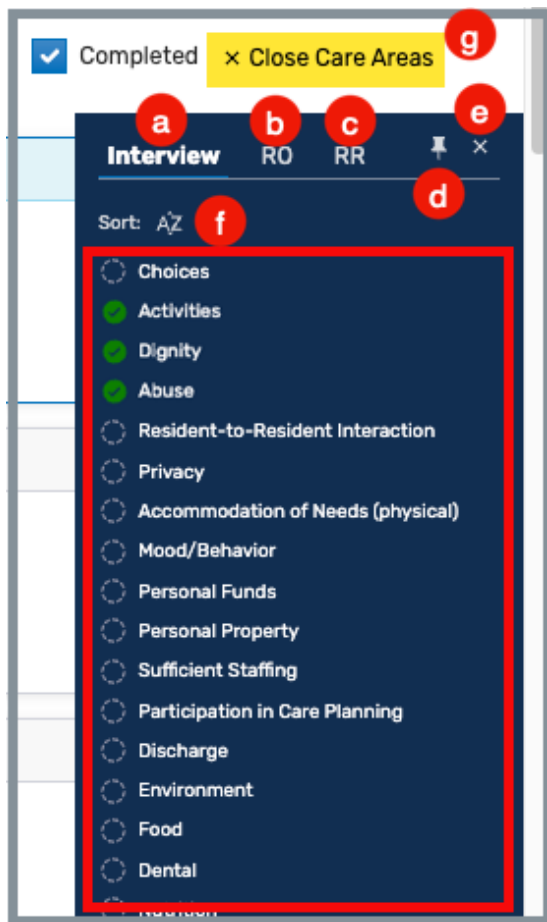
Figure 113: Care Areas Side Menu

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 114, Care Area Notes Icon*. The care area splits into two columns. See *Figure 115, 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.
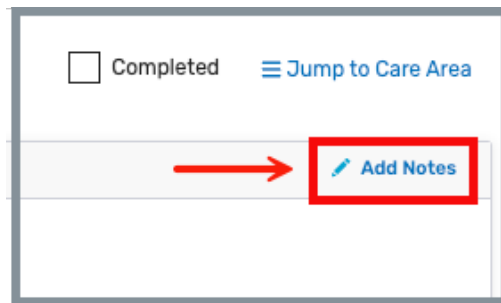
Figure 114: Care Area Notes Icon
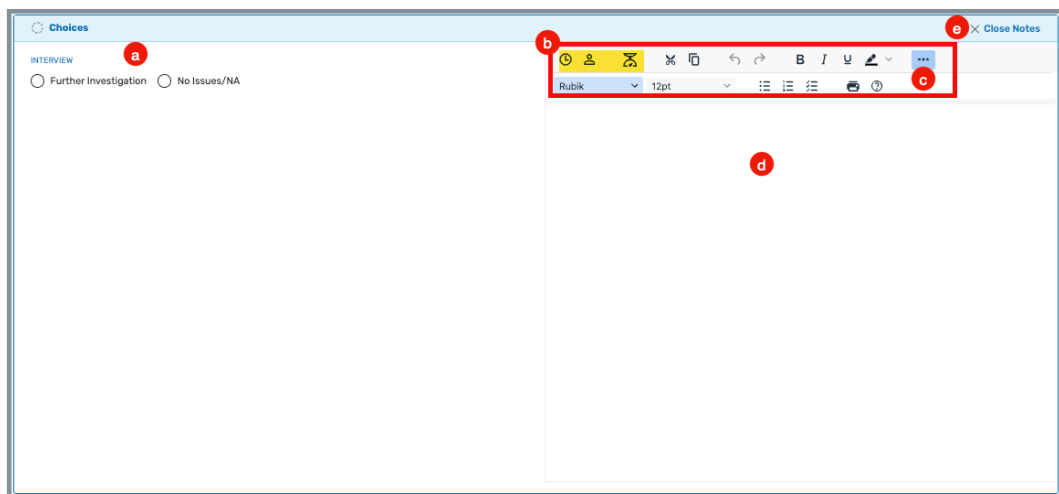
Figure 115: Care Area Notes

Table 19: Care Areas Side Menu Detailed Callout

No.	Description
a	Care area
b	Standard toolbar functions Highlighted specialty toolbar functions: • 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 116, 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.
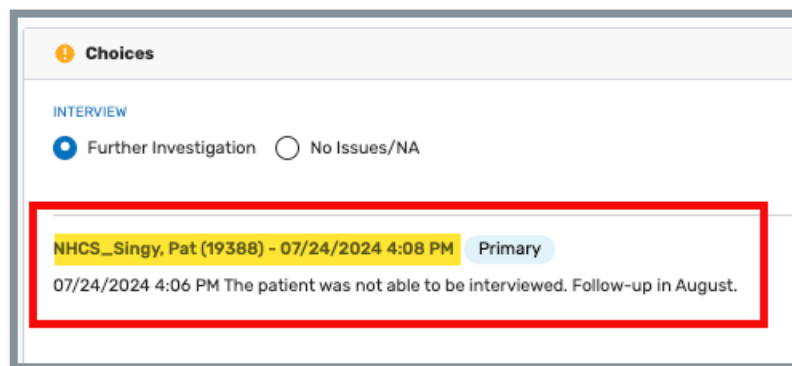
Figure 116: Care Area Entered Notes

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 117, MDS Discrepancy Checkbox.*

Note: Only care areas mapped to an MDS indicator have an **MDS Discrepancy** checkbox.
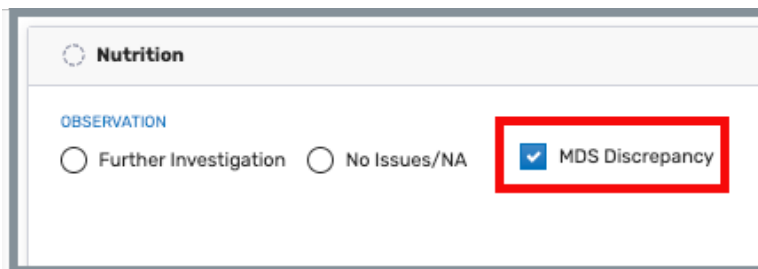
Figure 117: MDS Discrepancy Checkbox

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 118, 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 118: Initial Pool Status

17.6.2 Select the radio button next to **Yes**. See *Figure 119, Initial Pool Status Change.*
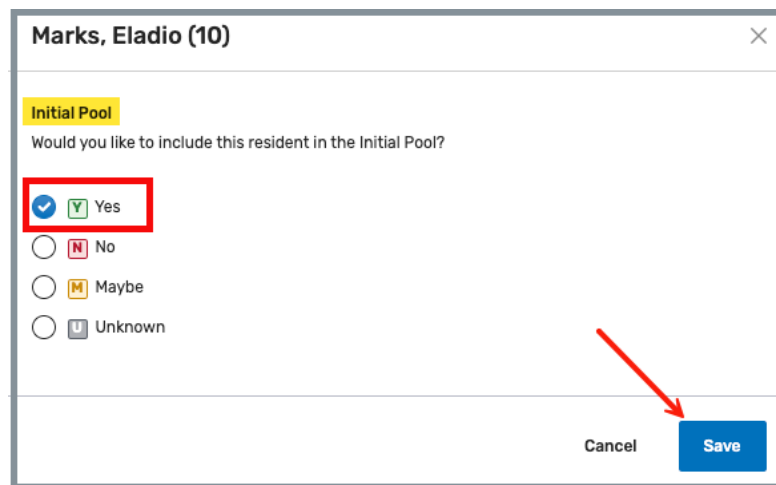
Figure 119: Initial Pool Status Change

Note: Offsite-selected residents show MDS indicators. See
Figure 120, Initial Pool Status Change with MDS Indicators.

Figure 120: 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 121, Interview Tab Completed.*
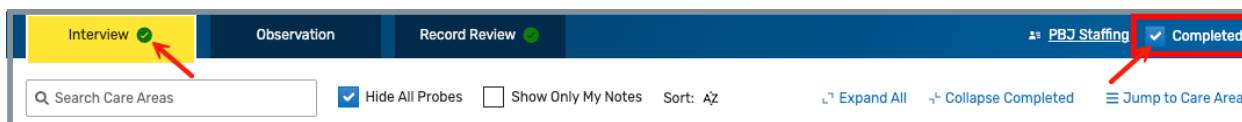
Figure 121: Interview Tab Completed

17.7.1   Edit the Care Areas.

Select an interview status to edit the **Interview** tab. See *Figure 122, 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 123, Further Investigation Indicator*.
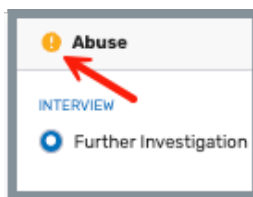
Figure 122: Further Investigation Indicator

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.
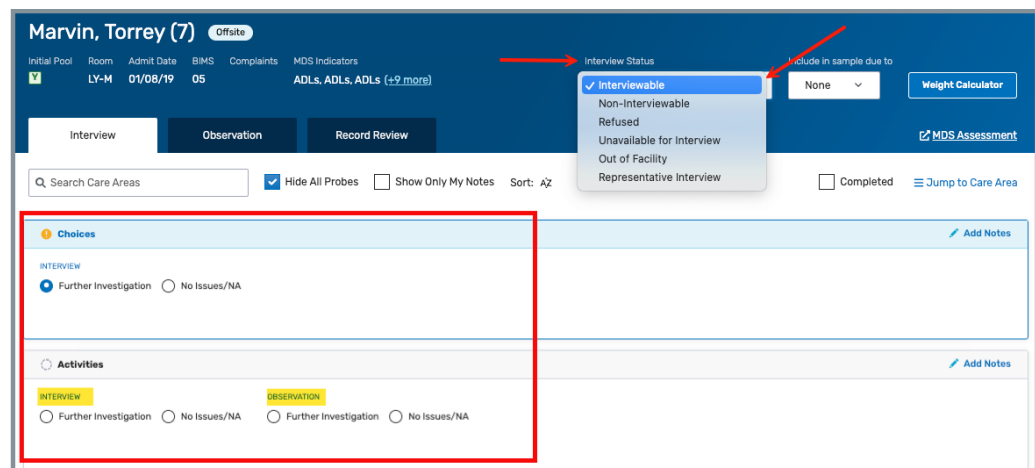
Figure 123: Select Interview Status

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 124, RRI Contact.* The **RRI Contact Info** opens.
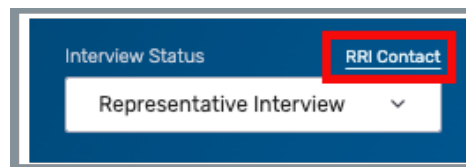
Figure 124: RRI Contact

17.7.2.3 Type the contact information for the resident representative in the pop-up window. See *Figure 125, RRI Contact Info Pop-Up Window*.
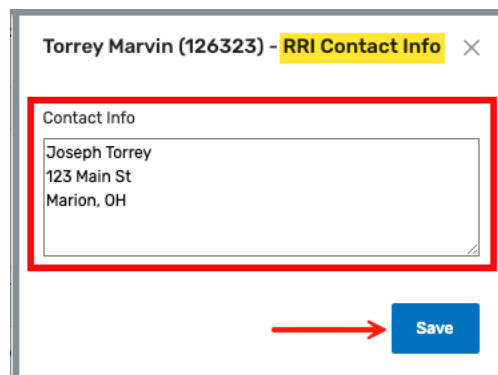
Figure 125: RRI Contact Info Pop-Up Window

17.7.2.4 Click **Save**.

17.7.2.5 The RRI contact icon appears next to the **RRI Contact** link. See *Figure 126, RRI Contact Icon.*

> **Note**: The icon shows that there is an RRI contact. Hover over the icon to see the contact information.
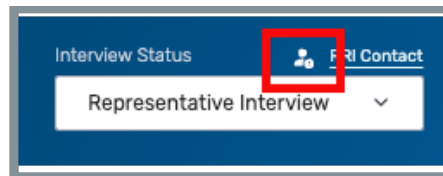
Figure 126: RRI Contact Icon

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 127, Observation Tab Completed.*

    Note: All care areas do not have to be marked with response options to mark the Observation **Completed.**
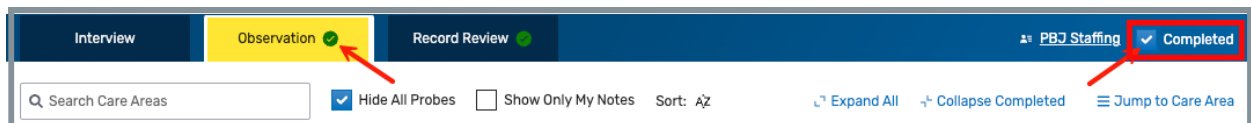
Figure 127: Observation Tab Completed

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 128, Record Review Tab Completed.*

- All care areas do not have to be marked with response options to mark the Record Review complete.
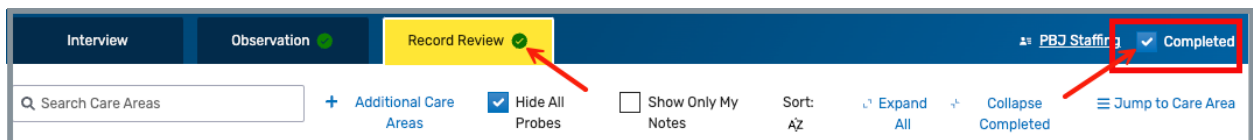
Figure 128: Record Review Tab Completed

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 129, Additional Care Areas.*
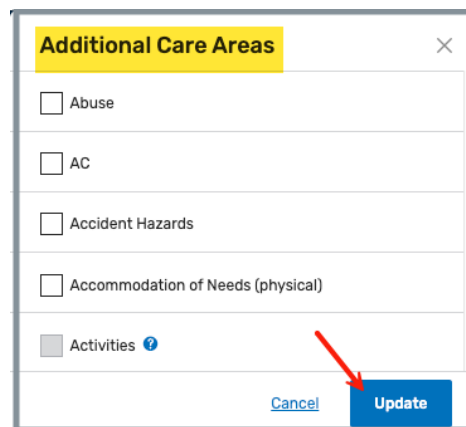
Figure 129: Additional Care Areas

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 130, 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:

  o Residents are preselected by the system. The **Area of Investigation** is not editable.

  o Offsite selected residents in **Resident Manager** who were discharged during the initial pool process.

  o 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.

  o 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.

  o 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**.
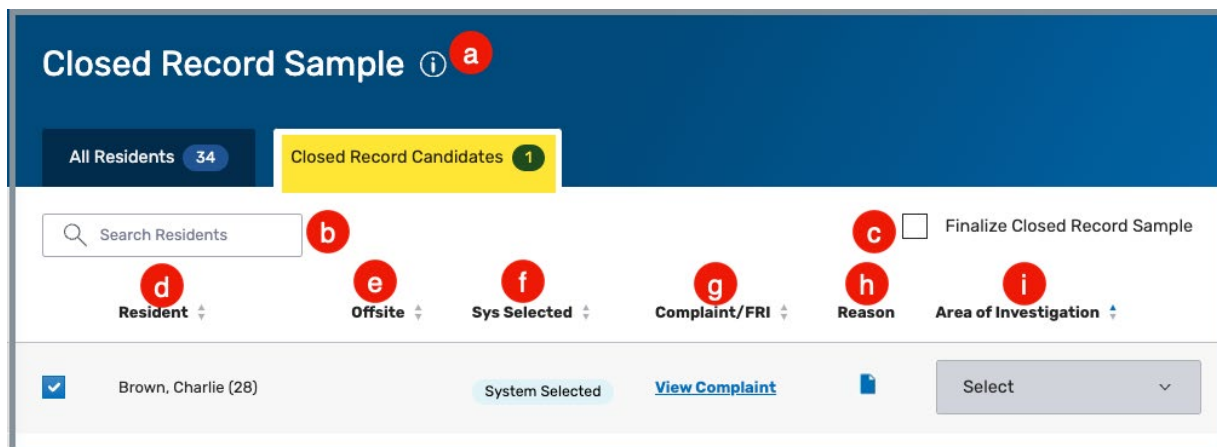
Figure 130: Closed Record Sample Candidates

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 131, Active Resident Pop-Up Window.* Click **Yes** to add the resident to the **Closed Record Candidate** tab.
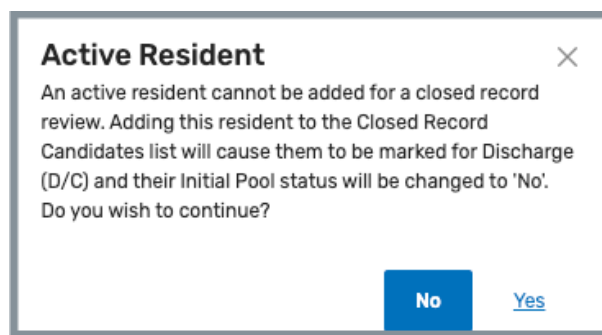
Figure 131: Active Resident Pop-Up Window

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 Candidate**s 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 132, 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.
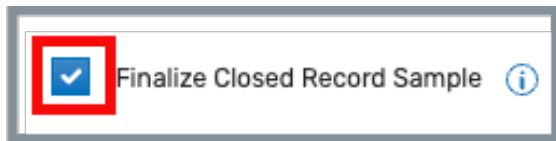
Figure 132: Finalize Closed Record Sample Checkbox

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 133, 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.
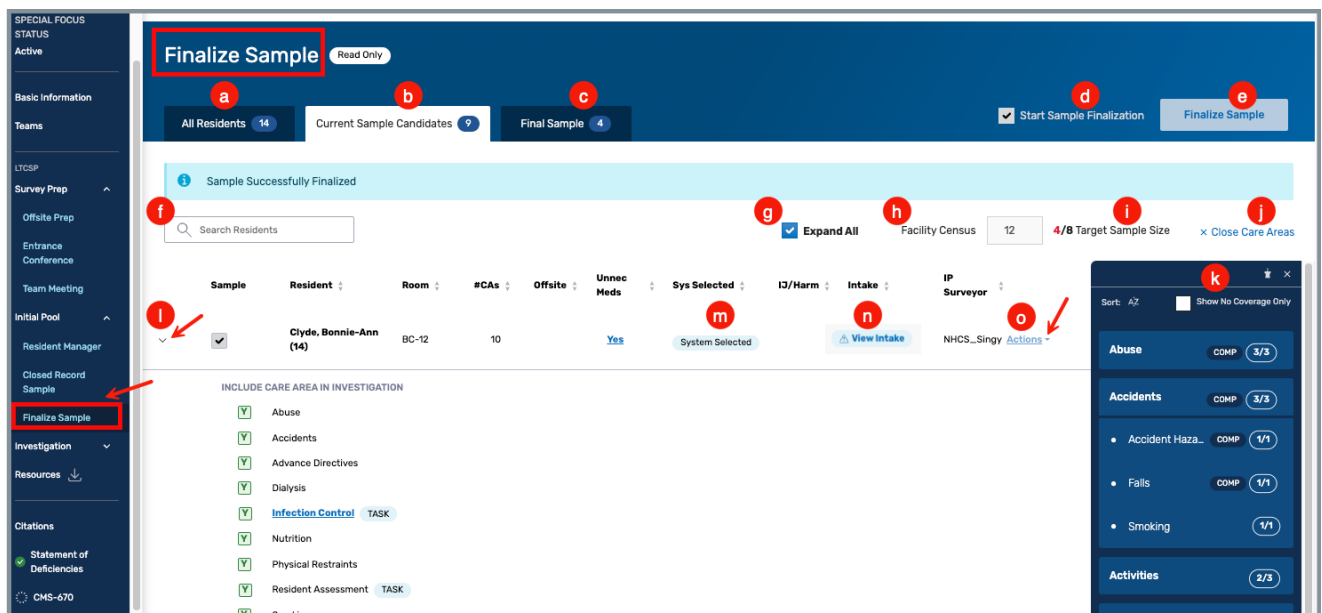
Figure 133: Finalize Sample Candidates

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 134, Unnecessary Medications Resident Selection*.

Note: **Unnecessary Medications** shows information about residents who have been selected to have their medication reviewed.
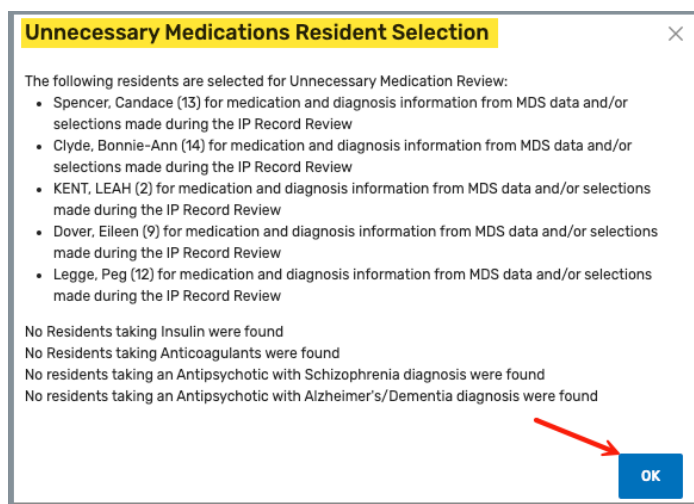
Figure 134: Unnecessary Medications Resident Selection

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 135, Care Area Detailed Information.*
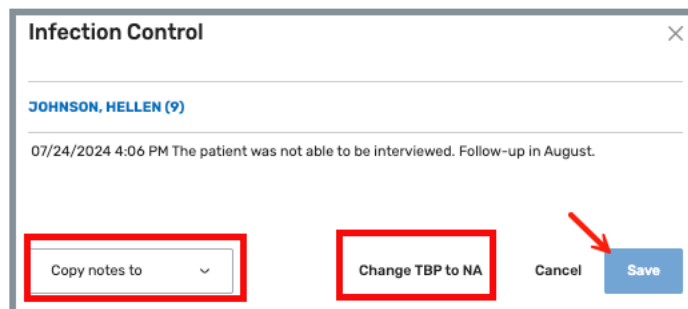
Figure 135: Care Area Detailed Information

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 136, Remove a Resident Care Area*.
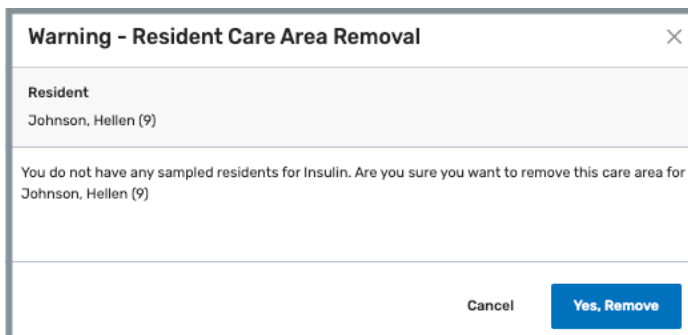
Figure 136: Remove a Resident Care Area

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 137, Sample Successfully Finalized Blue Notification Banner*.
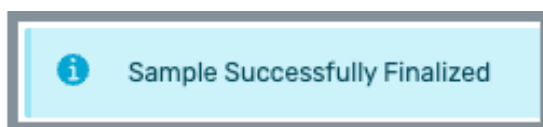
Figure 137: Sample Successfully Finalized Blue Notification Banner

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 138, Finalize Sample Warning Window.* Type a rationale in the **Rationale** box to override the warning and click **Save**.

Figure 138: 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 139, Investigation Assignments* and *Table 23, Investigation Assignments Detailed Callout.*

Note: Columns are sortable.

Figure 139: 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 140, Assign a Surveyor to an Investigation.*

Figure 140: Assign a Surveyor to an Investigation

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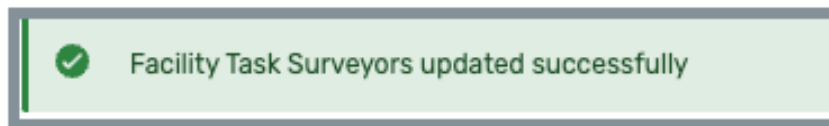
Figure 141: Facility Task Surveyors Green Notification Banner

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 142, Bulk Assign Investigations.*

Figure 142: 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 143, 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 143: 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 144, Facility Task Surveyors Green Notification Banner.*
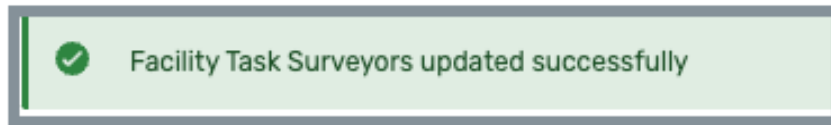
Figure 144: Facility Task Surveyors Green Notification Banner

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:

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

- The following are Triggered Tasks for initial and recertification surveys:

    o Arbitration
      Note: Arbitration can also be triggered based on answers in Entrance
          Conference or Resident Council
    o Environment
    o Personal Funds
    o Resident Assessment
    o Extended Survey

- Triggered Tasks are displayed when any one of the following occurs:

    o A surveyor manually initiates a triggered task
    o The triggered task is linked to an intake in offsite prep
    o 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 145, Facility Tasks Left Menu.*
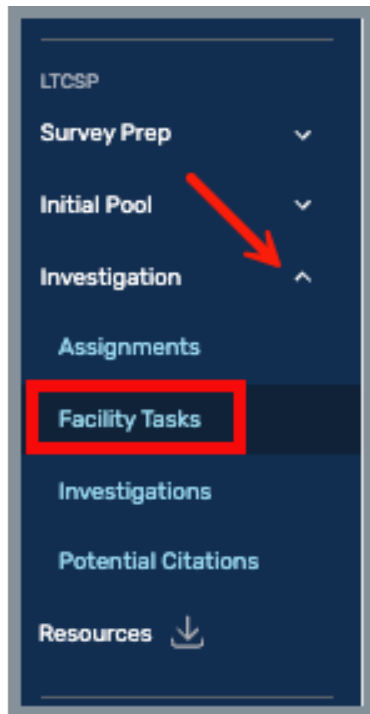
Figure 145: Facility Tasks Left Menu

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 146, Facility Tasks List* and *Table 24, Facility Tasks List Detailed Callout.*

Figure 146: 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 147, Assign a Surveyor Drop-Down Menu.*
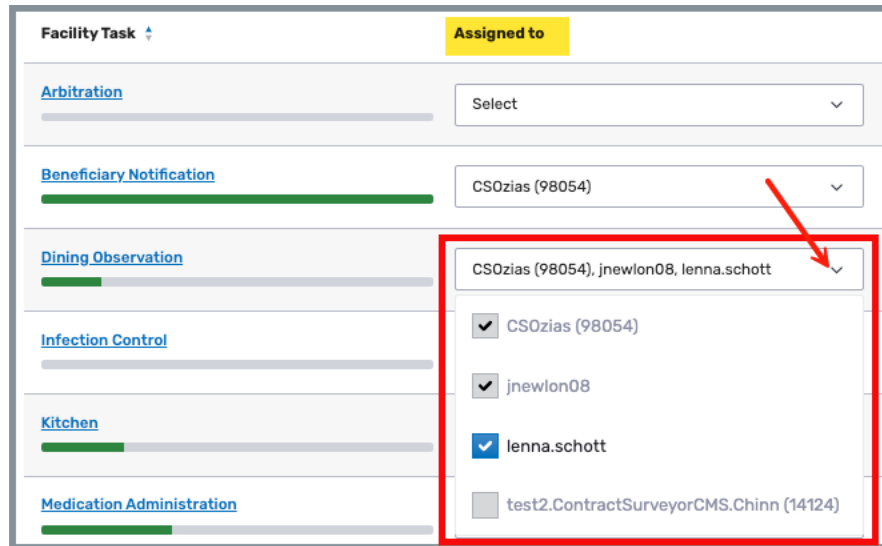
Figure 147: Assign a Surveyor Drop-Down Menu

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 148, Facility Task Surveyors updated successfully.*
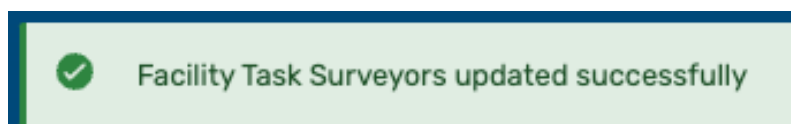
Figure 148: Facility Task Surveyors updated successfully

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 149, Facility Task Staff ID updated successfully Notification Banner.*
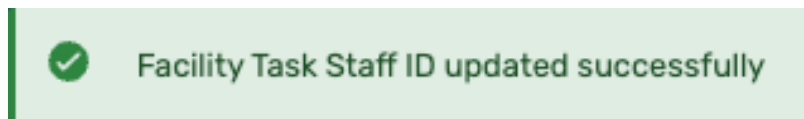
Figure 149: Facility Task Staff ID updated successfully Notification Banner

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 150, Facility Task Surveyors updated successfully Notification Banner*.
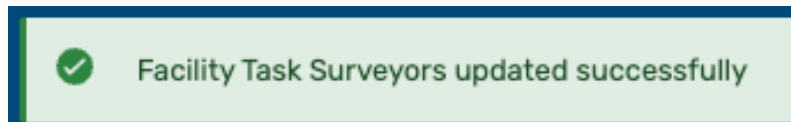
Figure 150: Facility Task Surveyors updated successfully Notification Banner

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 151, Add New Task.* The **Select One or More Task(s)** pop-up window opens.
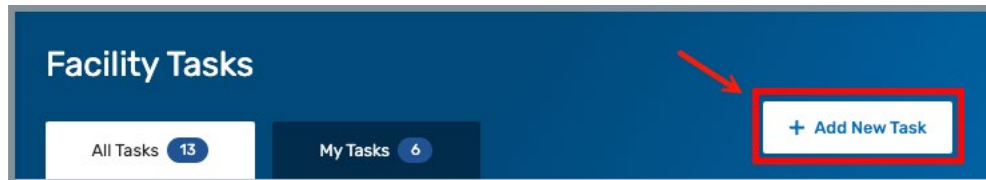
Figure 151: Add New Task

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 152, Select One or More Task(s).*
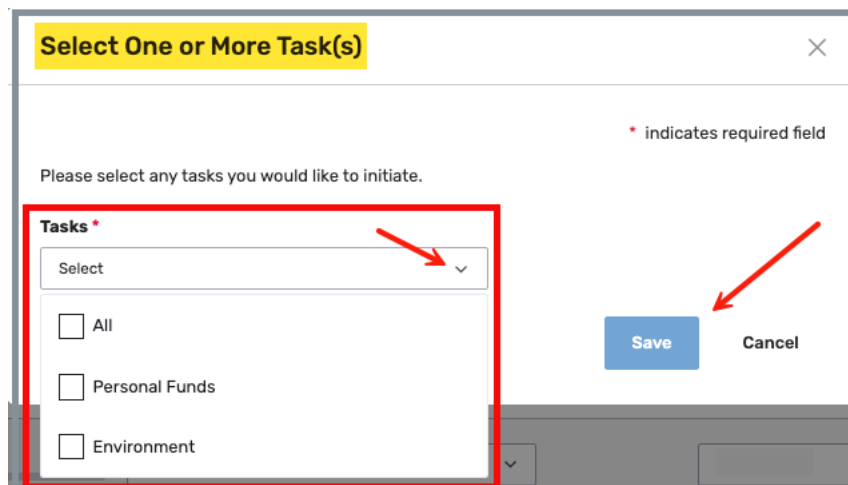
Figure 152: Select One or More Task(s)

21.6.3   Click **Save**.

21.6.4   Verify green notification banner appears. See *Figure 153, Facility Task created successfully Notification Banner.*
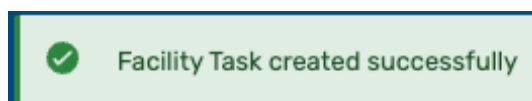
Figure 153: Facility Task created successfully Notification Banner

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 154, Task is Linked to an Intake and Cannot Be Removed.*
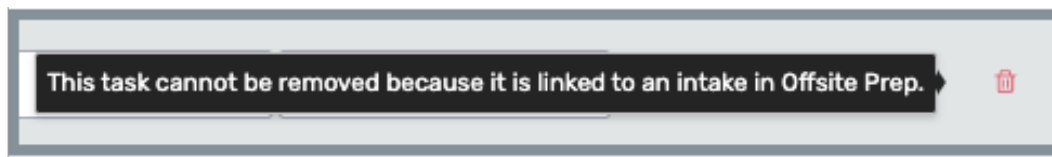
Figure 154: Task is Linked to an Intake and Cannot Be Removed

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 155, Task Contains Data and Cannot Be Removed Until Data is Removed.*
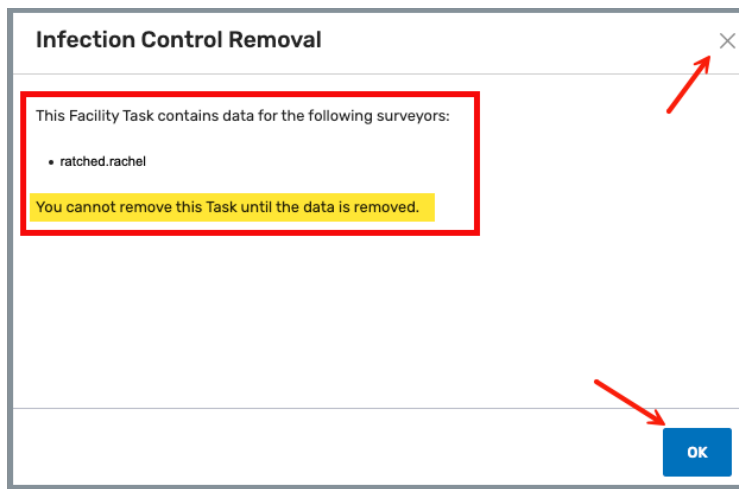
Figure 155: Task Contains Data and Cannot Be Removed Until Data is Removed

The task can be removed

21.7.1   Click the trash icon on the facility task line to remove the facility
         task. See *Figure 156, Remove a Facility Task.* The **Enter Task
         Removal Rationale** pop-up window opens.
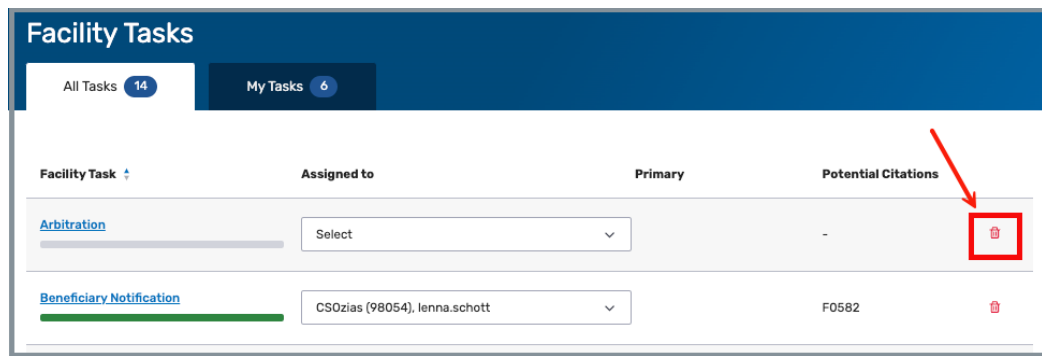
Figure 156: Remove a Facility Task

21.7.2   Select the rationale from the drop-down menu under **Rationale**.
         See *Figure 157, Enter Task Removal Rationale Pop-Up Window.*

Figure 157: 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 158, Clickable Facility Tasks Links.* The task opens in the same window.
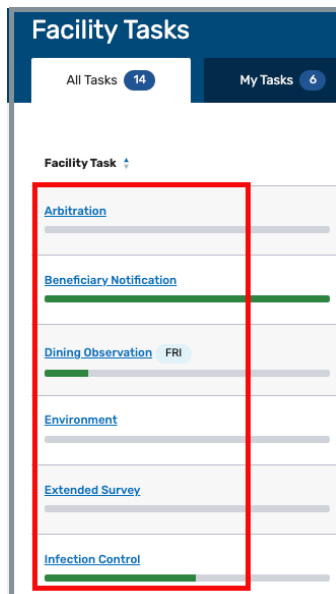
Figure 158: Clickable Facility Tasks Links

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 159, 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.
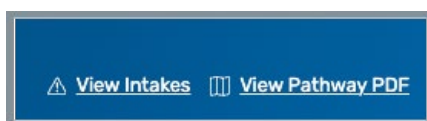
Figure 159: Task Tab Intakes and Pathway Link

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 160, Notes Icon.*

Figure 160: 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 161, 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.
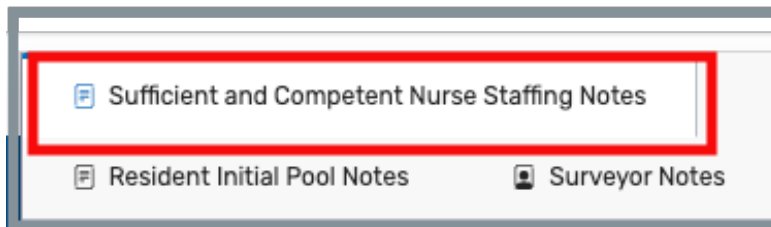
Figure 161: Facility Notes View

- 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 162, Facility Notes Bottom Screen Icon.*

Figure 162: 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 163, 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
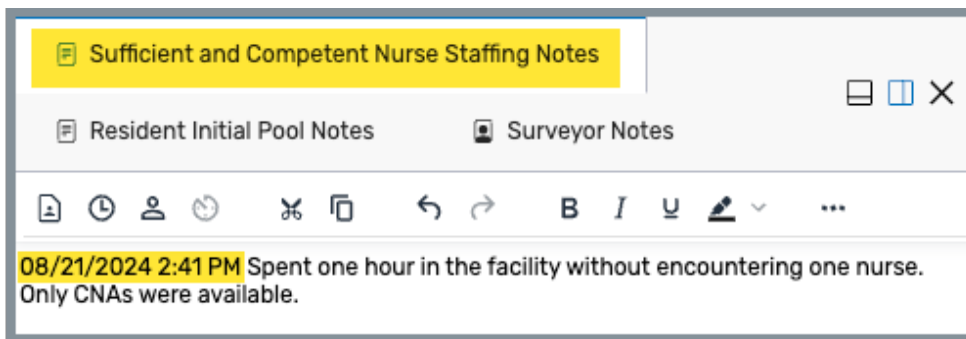
Figure 163: Sample Facility Note

- Facility Notes are autosaved.

- The **Last saved** date and time shows at the bottom of the Facility Notes. See *Figure 164, Facility Notes Last Saved Date and Time.*
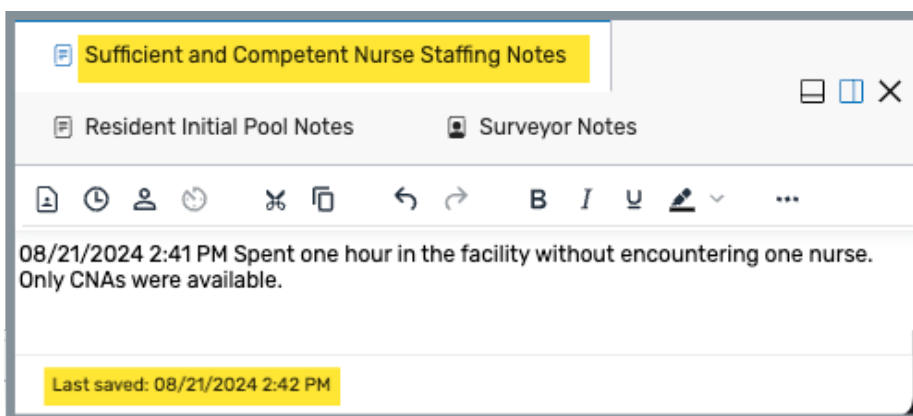
Figure 164: Facility Notes Last Saved Date and Time

Custom Toolbar Functions

There are 4 custom toolbar options among the normal standard formatting options. See *Figure 165, Facility Notes Custom Toolbar Functions.*
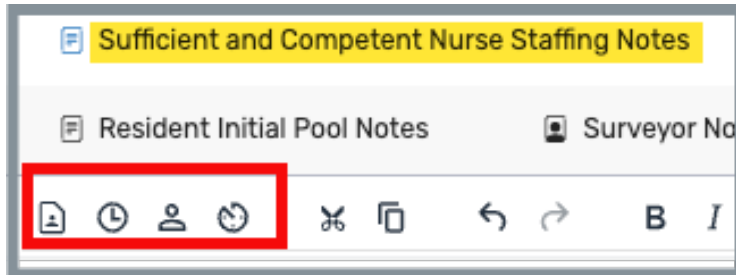
Figure 165: Facility Notes Custom Toolbar Functions

From left to right they are:

o **View All Facility Notes**
o **Insert Date/Time Stamp**
o **Insert Resident ID**
o **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 166, View All Facility Notes.* Click any name to view the Facility Note.
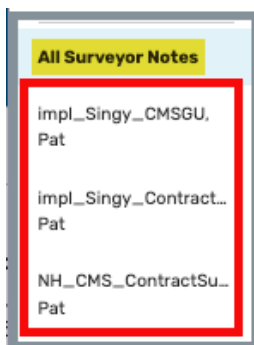
Figure 166: View All Facility Notes

    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 167, Facility Notes Formatting Menu.*
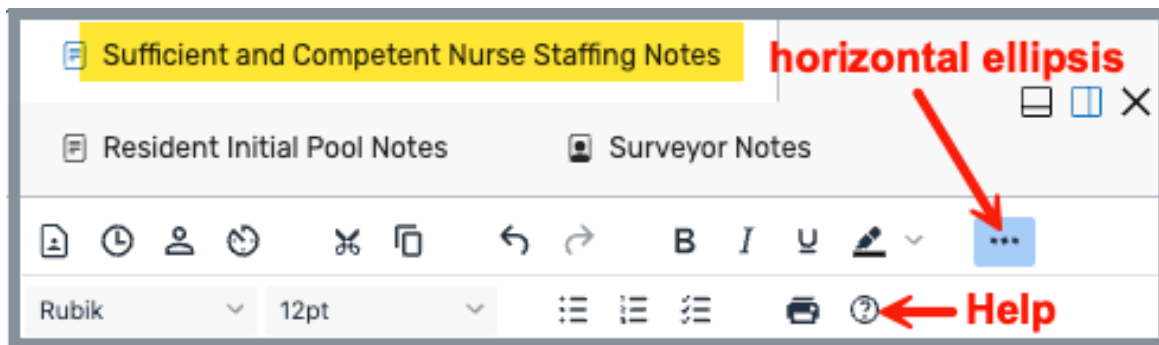
Figure 167: Facility Notes Formatting Menu

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 168, Probes/CE Tab Example* and *Table 25, Probes/CE Tab Example Detailed Callout*.

Figure 168: 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 *Figure 169, Regulation Text Tag.*
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. See *Figure 170, Expand Question.*
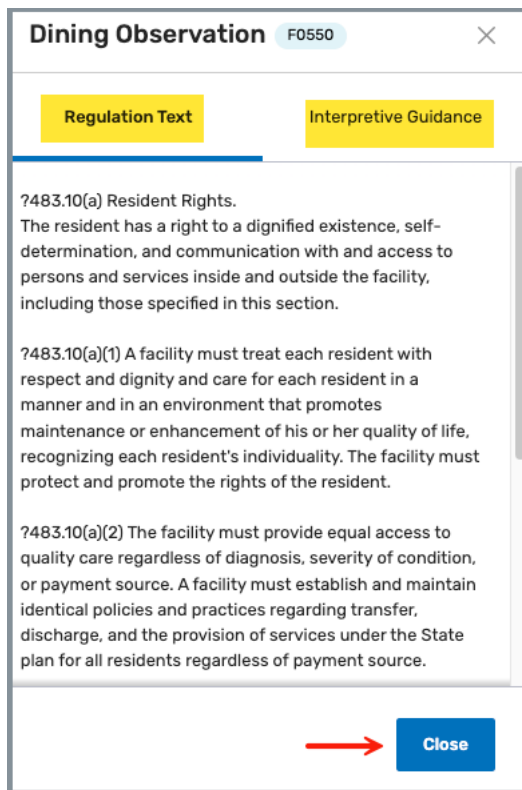
Figure 169: Regulation Text Tag
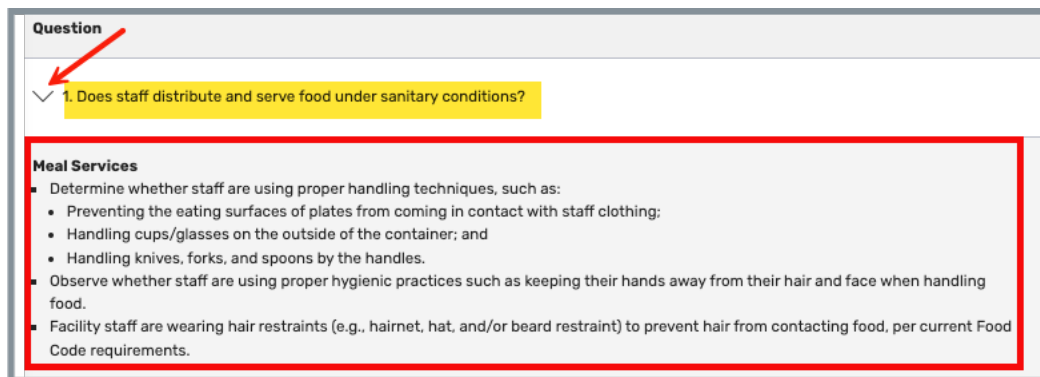
Figure 170: Expand Question

21.11 Residents Tab

Purpose:

Notes:

- The following tasks have the **Residents** tab:

    o   Arbitration (triggered)
    o   Beneficiary Notification
    o   Dining Observation
    o   Environment (triggered)
    o   Infection Control
    o   Personal Funds (triggered)
    o   QAPI and QAA
    o   Resident Assessment (triggered)
    o   Resident Council
    o   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:

    o   Residents in the Initial Pool with Care Area FI
    o   MDS Indicators of Weight Loss/Dehydration (Dining Observation only)
    o   Intake for non-anonymous resident linked to the Facility Task
    o   Residents in the Initial Pool with MDS Discrepancy with no concerns (Resident Assessment only)
    o   Out of data MDS Assessment (Resident Assessment only)
    o   F600 cited (QAPI and QAA only) for noncompliance with severity for Abuse or Neglect Investigative Areas
    o   Residents cannot be removed from the task by a surveyor

Review dining information. See *Figure 171, Residents Tab Example* and *Table 26, Residents Tab Example Detailed Callout*.

Figure 171: 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**	• **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:

  o Survey Prep (Offsite Prep, Entrance Conference, Team Meeting)

  o Initial Pool (Resident Manager, Closed Record Sample, Finalize Sample)

  o 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 172, Add a Resident for Task Icon.* The **Add Residents for Task** window opens. See *Figure 173, 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 172: 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 173: 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 174, Facility Task Residents Created Successfully*.
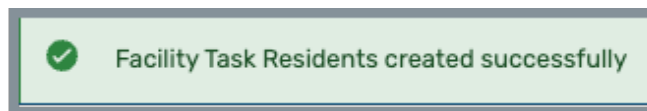
Figure 174: Facility Task Residents Created Successfully

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 175, There Are No Residents Added to Task.* Click **+ Add Residents** to add residents and follow instructions in this step.
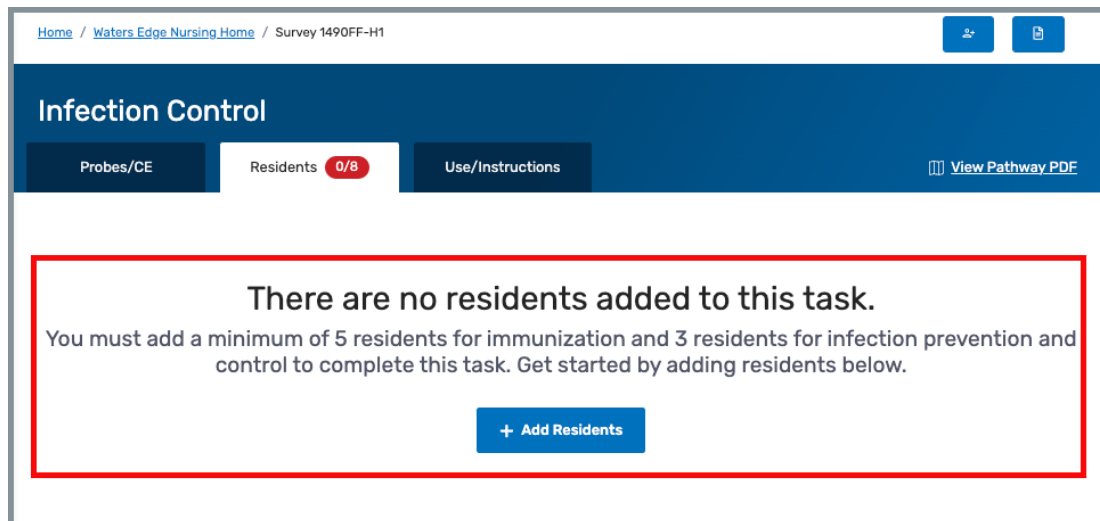

Figure 175: There Are No Residents Added to Task

- **You haven't met your resident minimum of [number] residents yet** notification banner. See *Figure 176, 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.
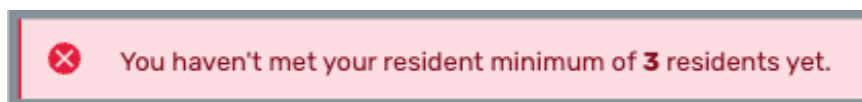

Figure 176: You haven't met your resident minimum of residents Notification

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 177, 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.

Figure 177: Remove a Resident

21.13.2 Verify the correct resident is being removed. See *Figure 178, Yes, Remove*.

Figure 178: Yes, Remove

21.13.3 Click **Yes, Remove**.

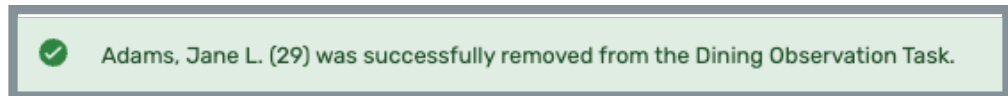### 21.13.4 Verify green notification banner appears. See *Figure 179, Resident Successfully Removed from Task.*

Figure 179: 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 180, Use/Instructions.*

Figure 180: 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 181, Drawing Tool Tab Example* and *Table 28, Drawing Tool Tab Example Detailed Callout*.
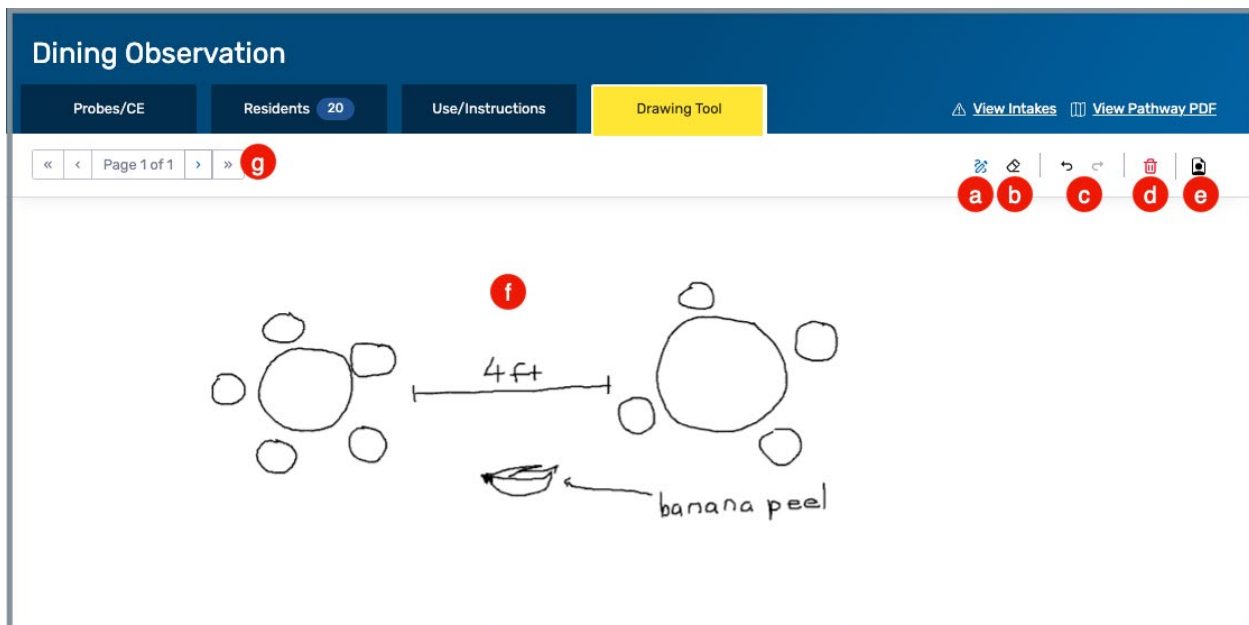

Figure 181: Drawing Tool Tab Example

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 *Figure 182, All Surveyor Drawings.*
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.
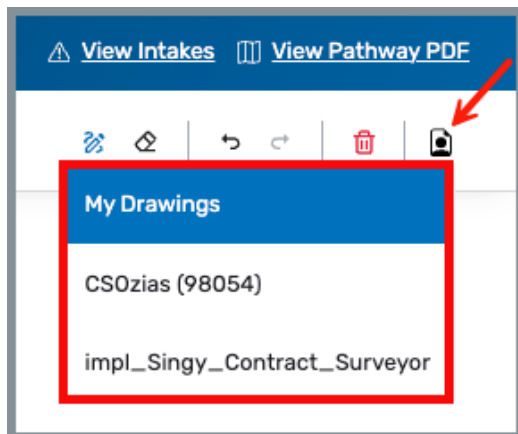
Figure 182: All Surveyor Drawings

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 183, Medication Administration Facility Task*. The task opens on the **Probes/CE** tab.

Figure 183: Medication Administration Facility Task

b. Click the **Observations** tab to view text. See *Figure 184, Medication Administration Observation Tab*.

Figure 184: 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 185, Add Medication Observation.* The fields clear.
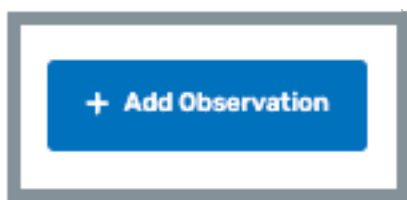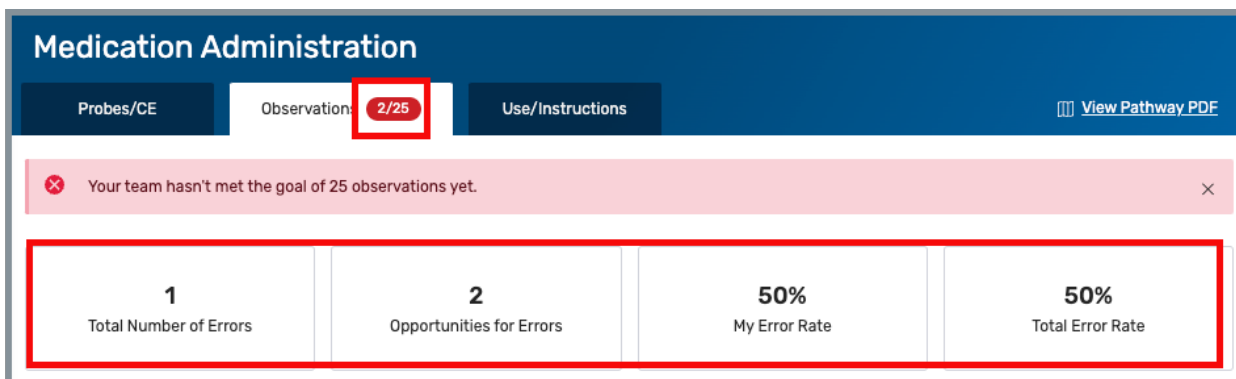
Figure 185: Add Medication Observation

b. Fill out information. See *Figure 186, 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 187, 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.

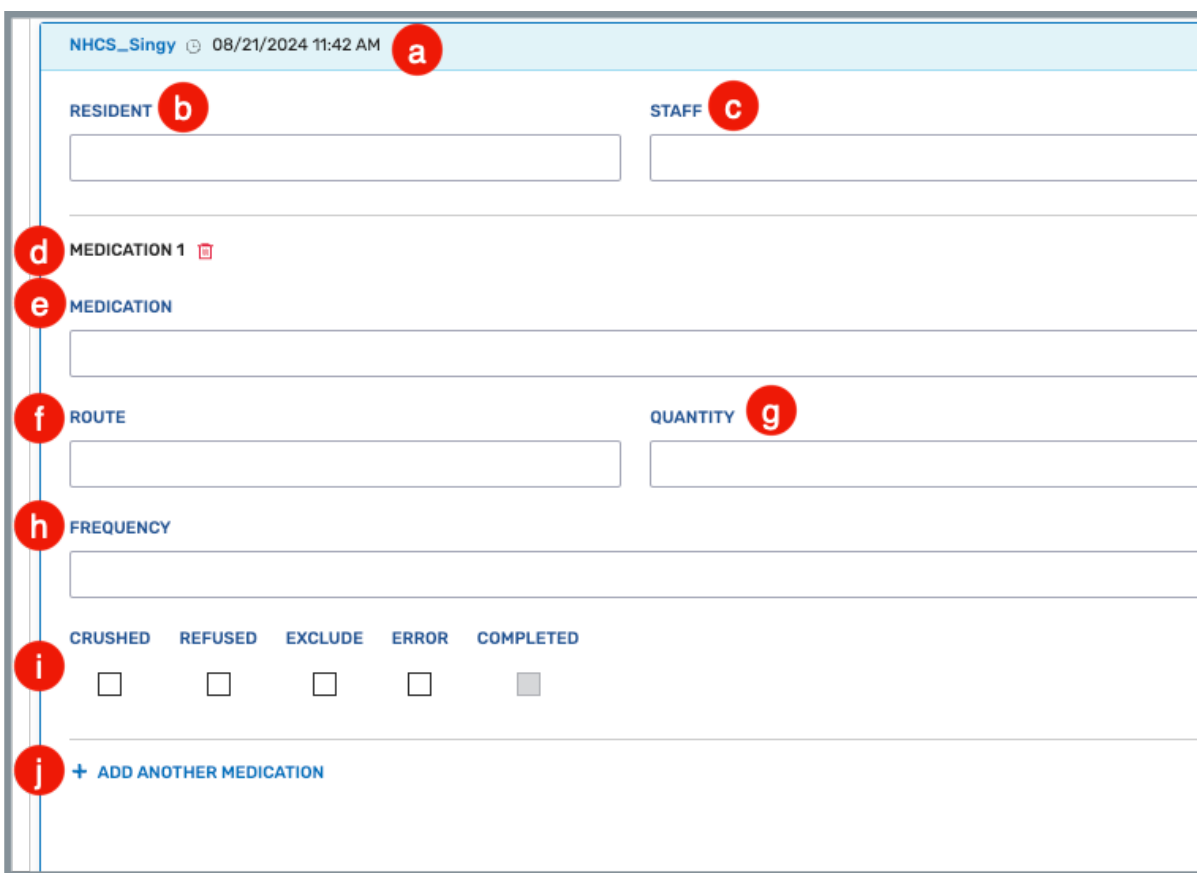*Figure 186: Medication Observation Updated Counts*

Figure 187: 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	Click the checkbox next to how the medication was delivered. **Notes**: • **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**	Click to add an additional medication. **Note**: The additional medication must be for the same resident and staff member.

Mark a Medication Observation Complete

- Medication Observations are completed when **Resident**, **Staff**, and **Medication** fields have values. See *Figure 188, Mark Observation as Completed.* The **Completed** field is grayed out until these three fields are updated.

Figure 188: 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 189, Medication Observation Percentages and Count.*

Figure 189: 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 190, Delete Medication Observation.* The **Delete Observation** pop-up window opens.
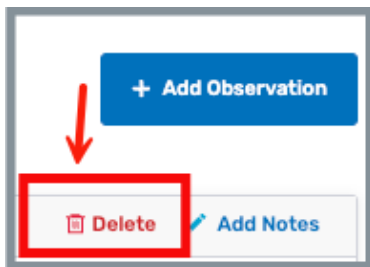
Figure 190: Delete Observation

    b. Click **Yes, Delete** to delete Medication Observation. See *Figure 191, Delete Observation.*
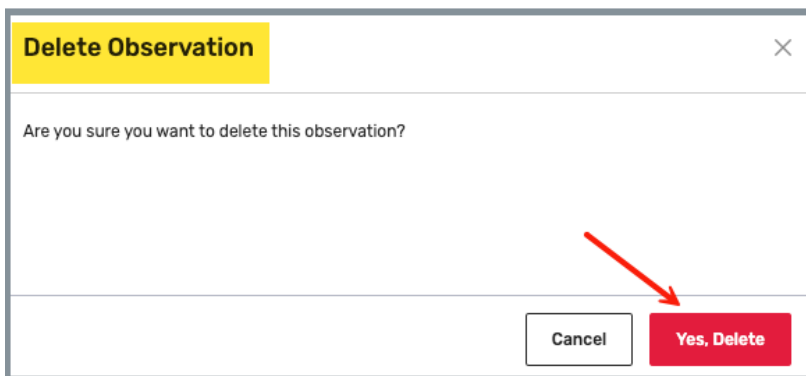
Figure 191: Delete Observation

Delete a Medication

Click the trashcan to delete the medication. See *Figure 192, Delete a Medication.*

Note: Only the surveyor who entered the medication can delete the medication.
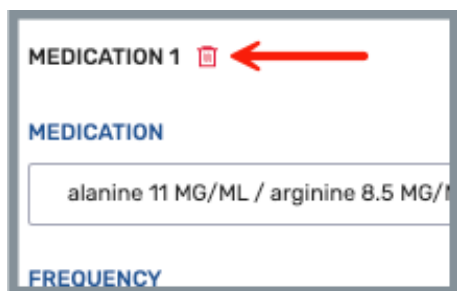
Figure 192: Delete a Medication

Filter Medication Observations

Click the drop-down menu next to **Filter** to filter Medication Observations. See *Figure 193, Filter Medication Observations.*

Note: Medication Observations can be filtered by:

- **All Observations**

- **Errored Observations**

- **My Observations**.

Figure 193: 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.

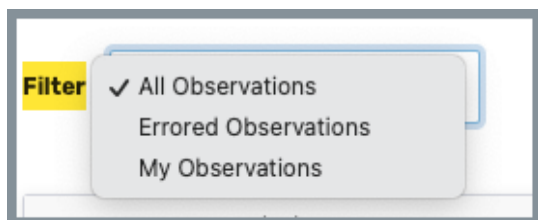   a. Click **Add Notes** to add Medication Observation Notes. See *Figure 194, Add Medication Observation Notes.* The **Notes** page slides open to the right. The observation remains visible on the left.

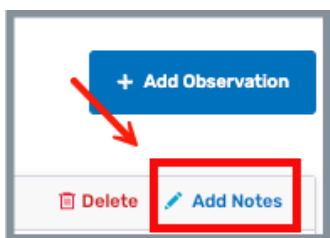*Figure 194: Add Medication Observation Notes*

    b. Type notes. See *Figure 195, Medication Observation Notes.*

    Note: The notes automatically save.
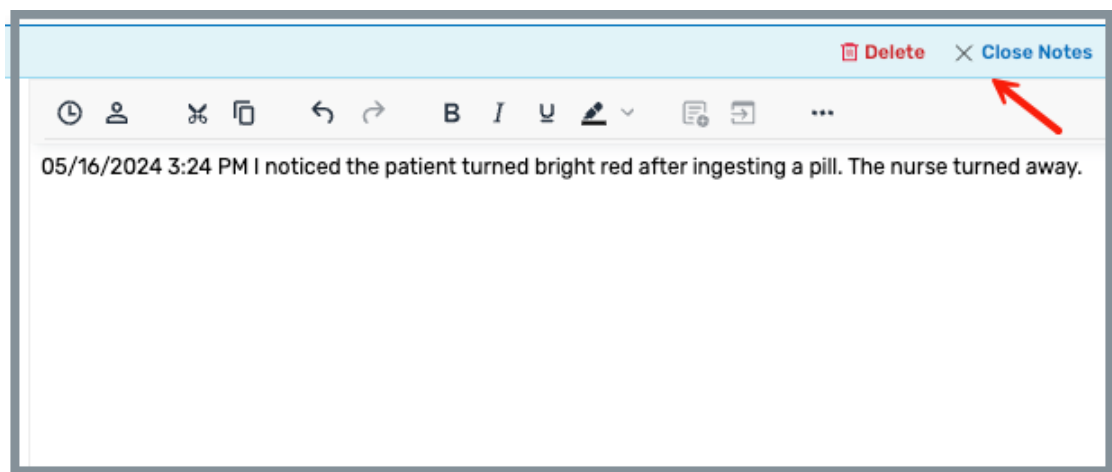
Figure 195: Medication Observation Notes

    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 196, Medication Observation Notes Custom Toolbar.*

- Insert Date/Time

- Insert Resident ID

- Insert Error Text

- Copy to Facility Task Notes

Figure 196: 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 197, Insert Error Text into Observation Notes.*

Figure 197: Insert Error Text into Observation Notes

Copy Medication Observation Notes to Facility Tasks Notes

a. Click the Copy to Facility Tasks icon to copy all the medication observation notes into the facility task notes. See *Figure 198, Copy to Facility Tasks*.

Figure 198: 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 199, Medication Observation Notes Automatically Copied to Facility Task Notes.*

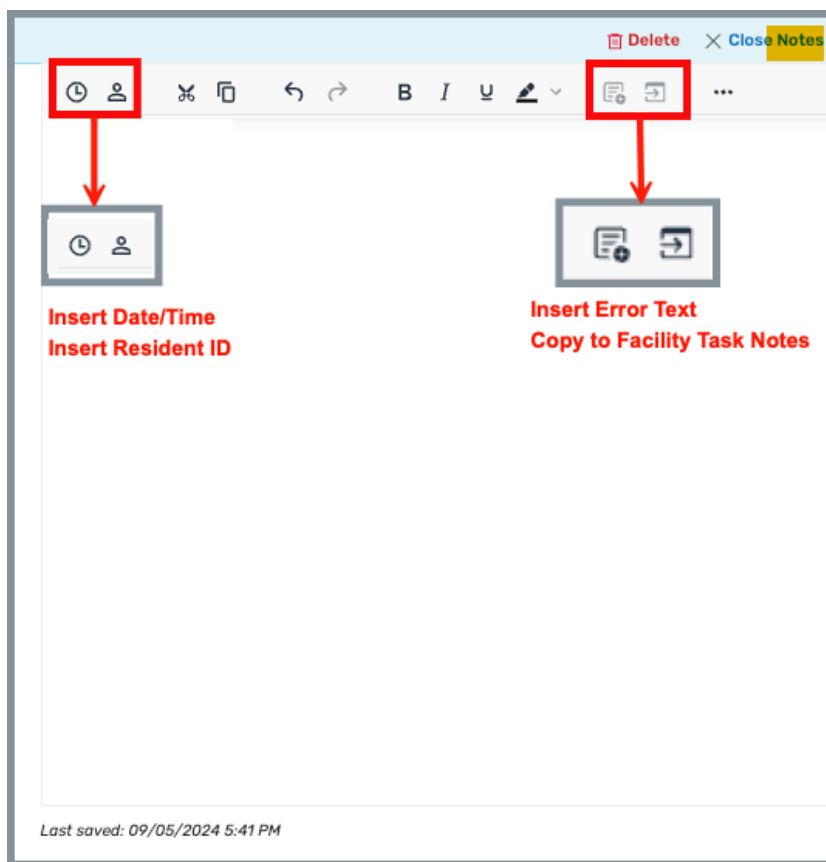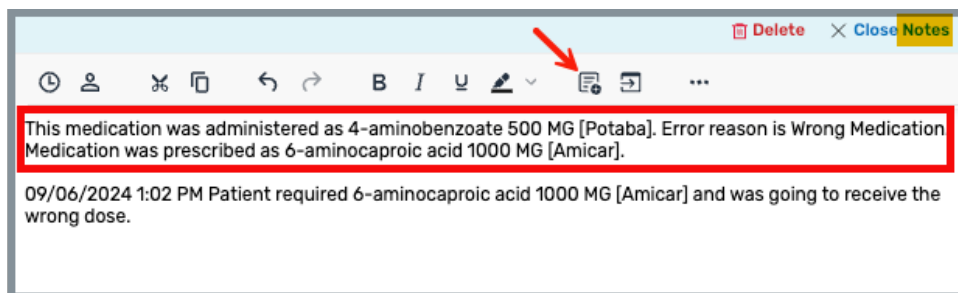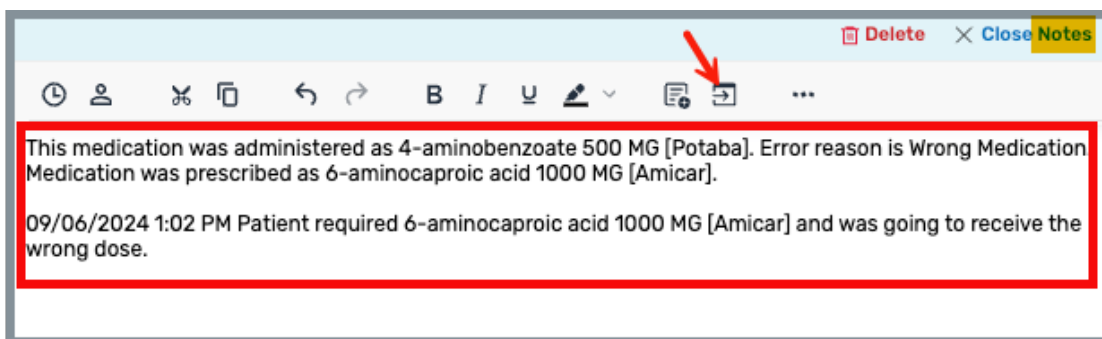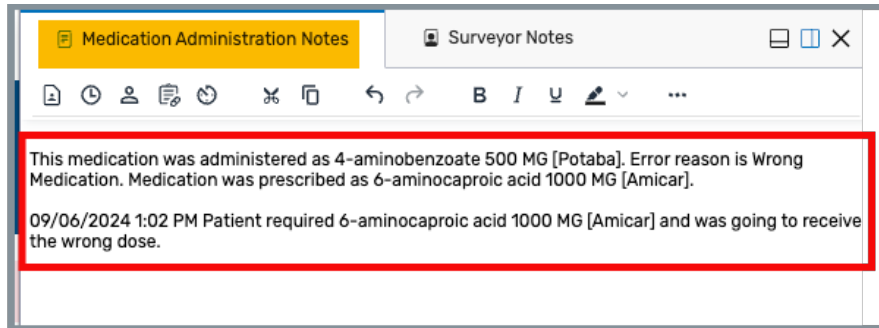

Figure 199: Medication Observation Notes Automatically Copied to Facility Task Notes

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 200, Investigations* and *Table 30, Investigations Detailed Callout*.

Figure 200: 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 <u>Add New Investigations.</u>
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	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. Click the trashcan. The **Enter Investigation Removal Rationale** pop-up window opens. Fill out **Rationale** and **Description**. Click **Save**. The investigation is removed.

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 201,*
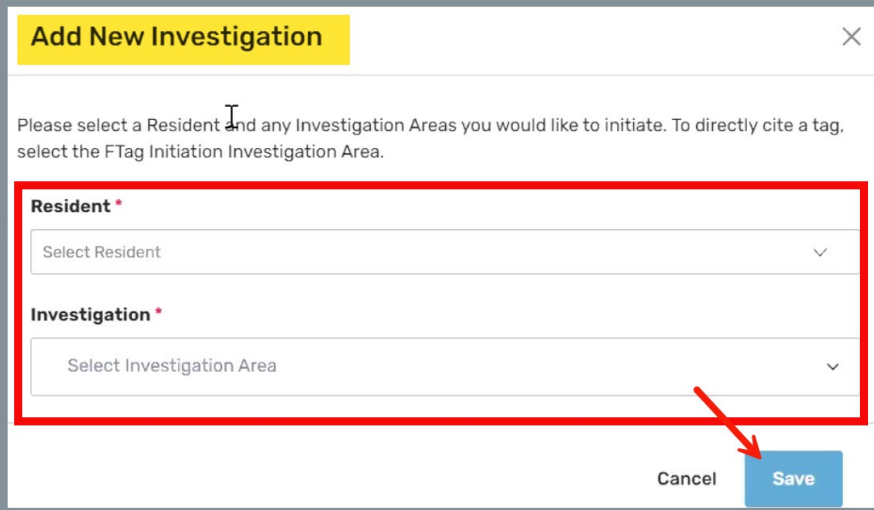   *Add New Investigation Pop-Up Window.*

Figure 201: 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 202, Resident*
         Investigation Information.
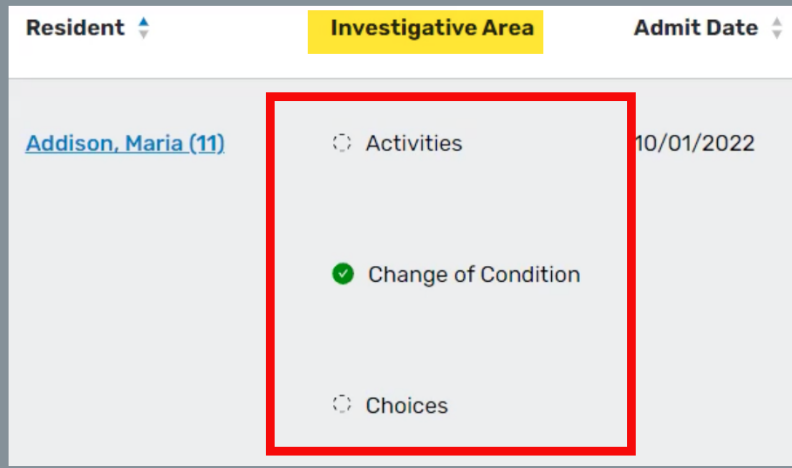
Figure 202: Resident Investigation Information

22.2.5   Verify the green notification banner indicates the new
         investigation has been successfully added. See *Figure 203, New
         Investigation Green Notification Banner.*
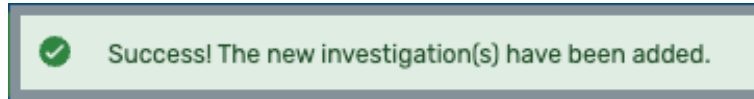
Figure 203: New Investigation Green Notification Banner

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 204, Investigation Trashcan Icon.* The **Remove Investigation** pop-up window opens.
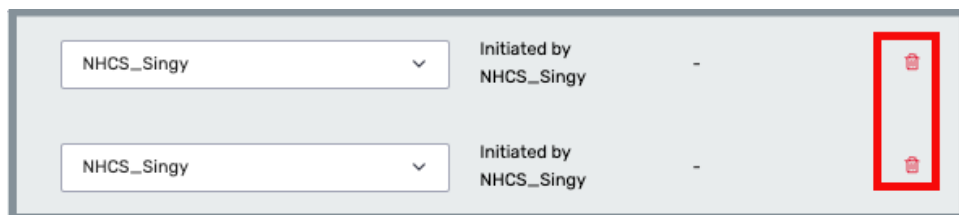
Figure 204: Investigation Trashcan Icon

22.3.2 Type a rationale in the **Rationale** field. See *Figure 205, Remove Investigation Rationale.*

Figure 205: Remove Investigation Rationale

22.3.3   Click **Save**.

22.3.4   Verify the **Investigation deleted successfully** green notification
banner is shown. See *Figure 206, Investigation Deleted
Successfully Green Notification Banner.*
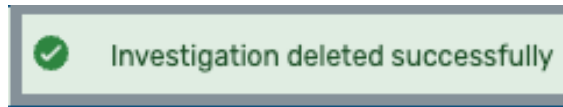
Figure 206: Investigation Deleted Successfully Green Notification Banner

22.4   Open an Investigation

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

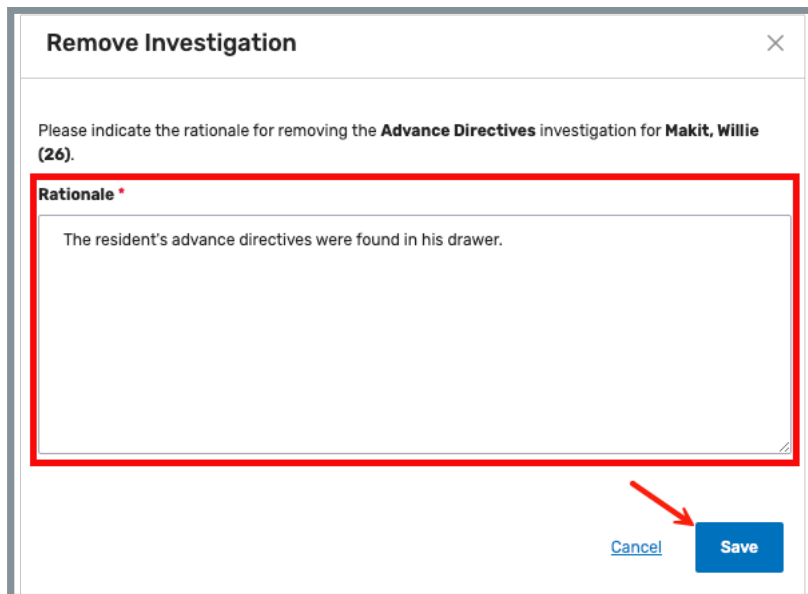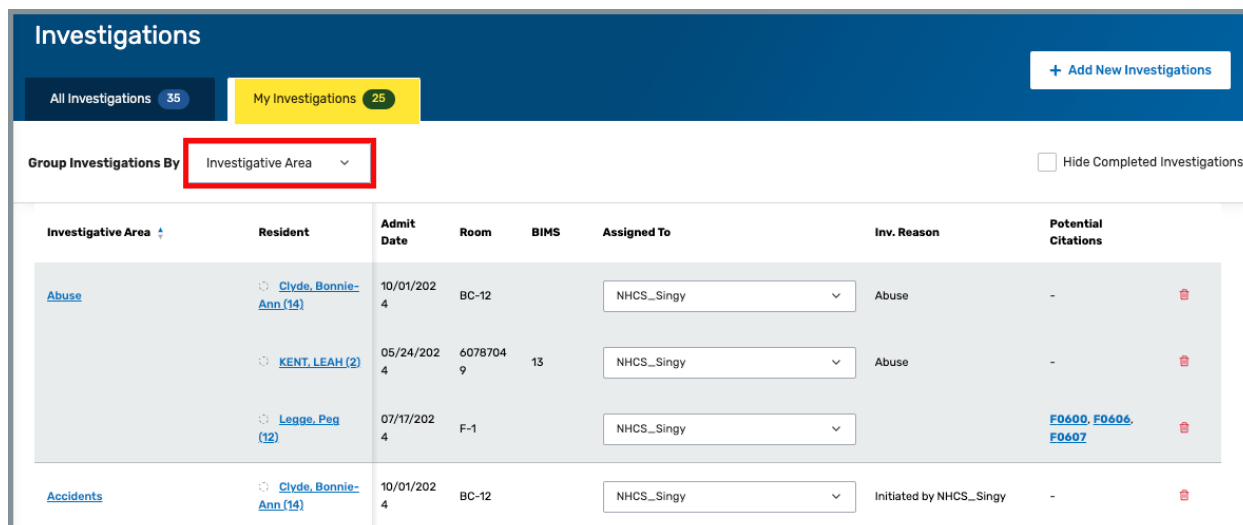Click the name of the resident to open the investigation details. See *Figure 207, Resident Investigation Details Landing Page* Review each of the tabs below.

Notes:

- Select either the resident or the investigative area. See *Figure 208, Group Investigations by Resident* and *Figure 209, Group Investigations by Investigation.*

Figure 207: Group Investigations by Resident

Figure 208: Group Investigations by Investigation

- Click the arrow next to the resident's name to return to the **Investigations** page.
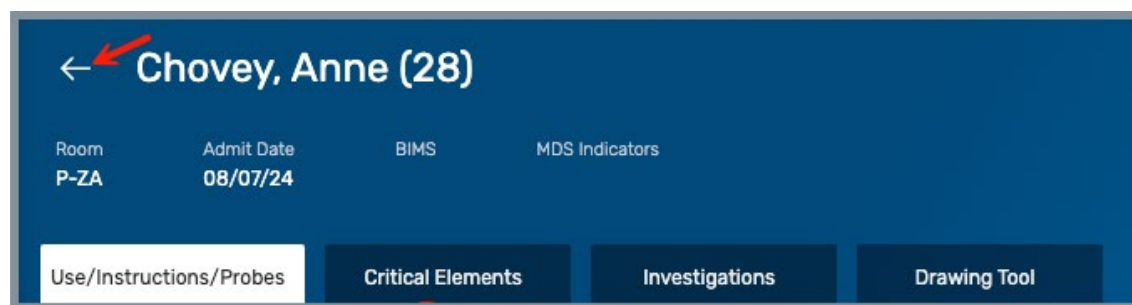
Figure 209: Resident Investigation Details Landing Page

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 210, Investigations Resident Page.*

Figure 210: 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 211, Resident Manager MDS Link.*
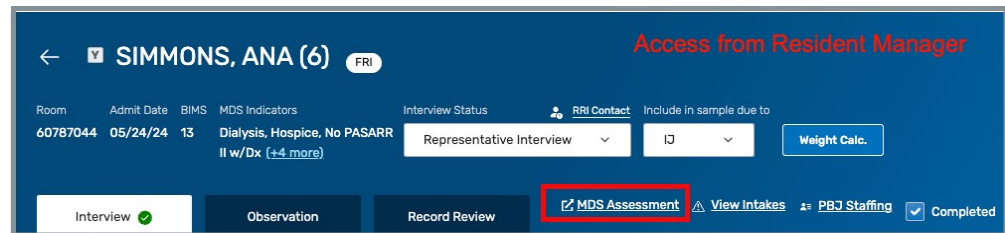
Figure 211: Resident Manager MDS Link

[View an MDS Assessment](#)

[Save/Print an MDS Assessment](#)

View an MDS Assessment

a. Click **View** to view the assessment. See *Figure 212, Resident Patient Information and Assessments*. The **Assessments** page opens in a different tab.

Figure 212: Resident Patient Information and Assessments

b. Click each *section* on the left menu to view information about that section. See *Figure 213, 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.

Figure 213: 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 214, Print.* A printable version of the assessment opens.

Figure 214: 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 215, Top Button.*

Figure 215: 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 216, Chrome Vertical Ellipsis Options Menu*

Microsoft Edge *See Figure 217, Edge Horizontal Options Menu*

Note: The options menu is a vertical ellipsis in Chrome.
        The options menu is three horizontal lines Edge.
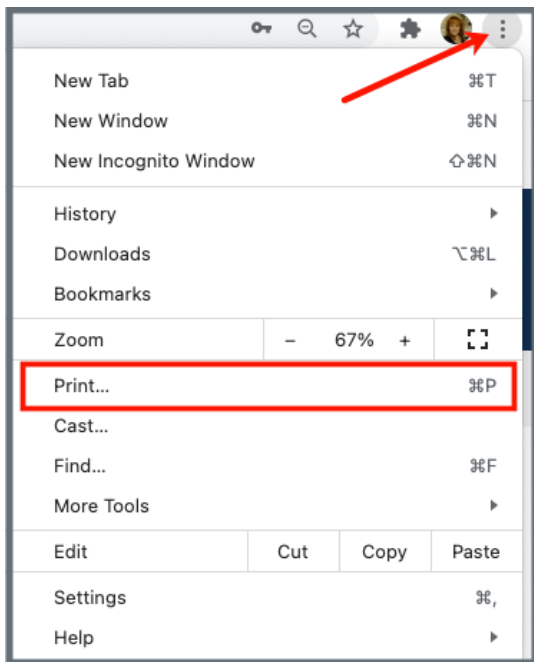
Figure 216: Chrome Vertical Ellipsis Options Menu

Figure 217: 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 218, Print Menu*.

Note: Save as PDF is usually the default choice.
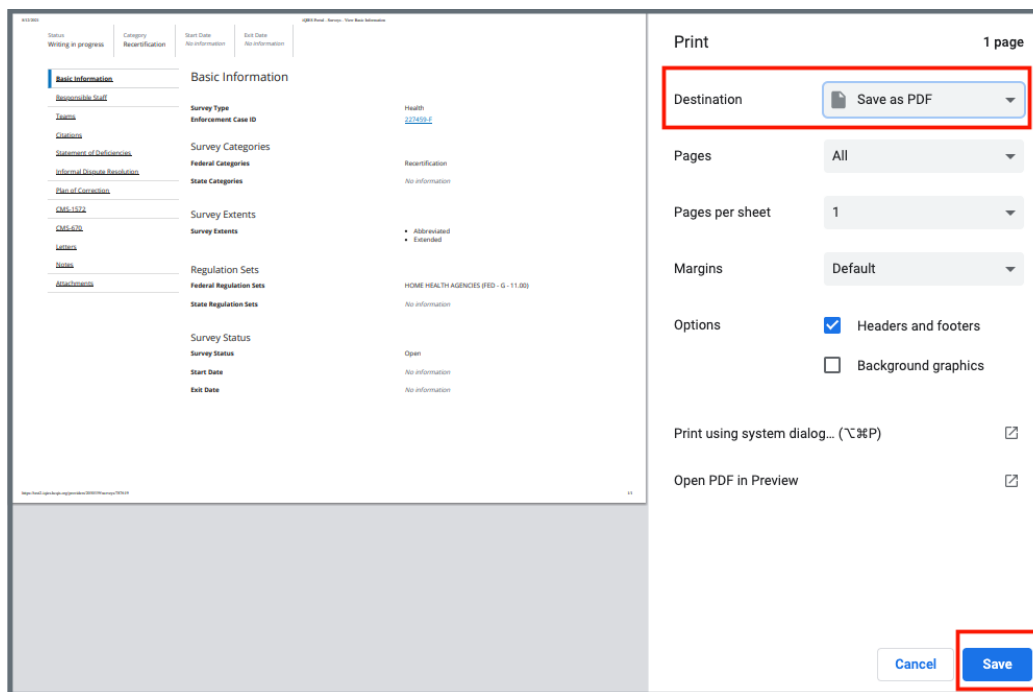
Figure 218: Print Menu

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 219, Save As Popup Window.*

Figure 219: 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
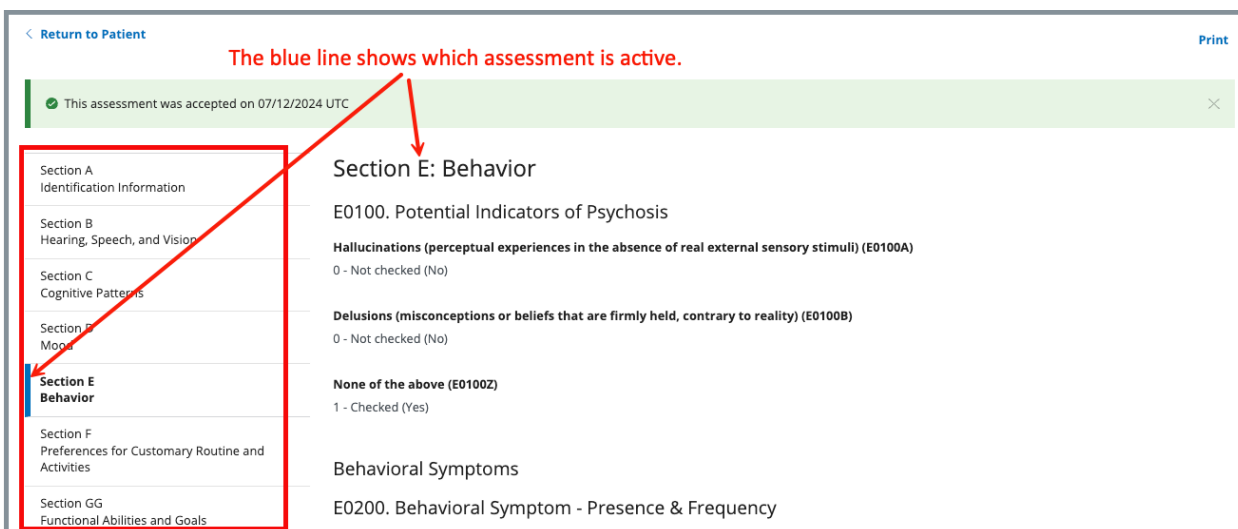
a. Click **View** on the assessment page or on the resident page. See *Figure 220, View.* The **Assessments** section opens.

Figure 220: View

b. Select the section to be printed on the left menu. See *Figure 221, MDS Single Section Print.*

Figure 221: MDS Single Section Print

c. Right click on the mouse. A pop-up window opens. See *Figure 222, Right Click Menu.*

Notes:

- Be sure to be in the middle of the desired section.

- Do not have any words highlighted.
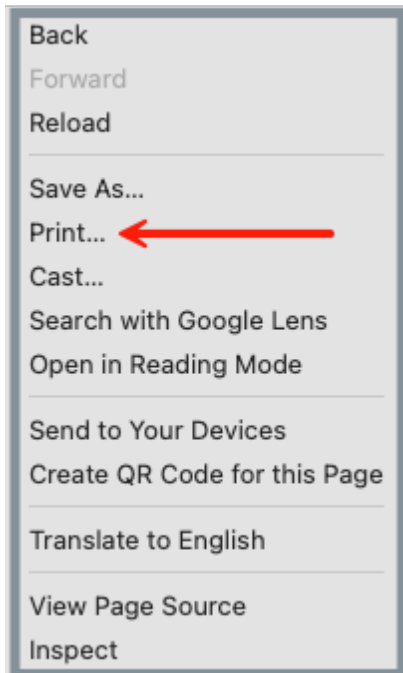
Figure 222: Right Click Menu

d. Select **Print**. The **Print** menu opens.

e. Select **Save as PDF** from the drop-down menu next to **Destination**. *See Figure 223, Print Menu*.

Note: Save as PDF is usually the default choice.
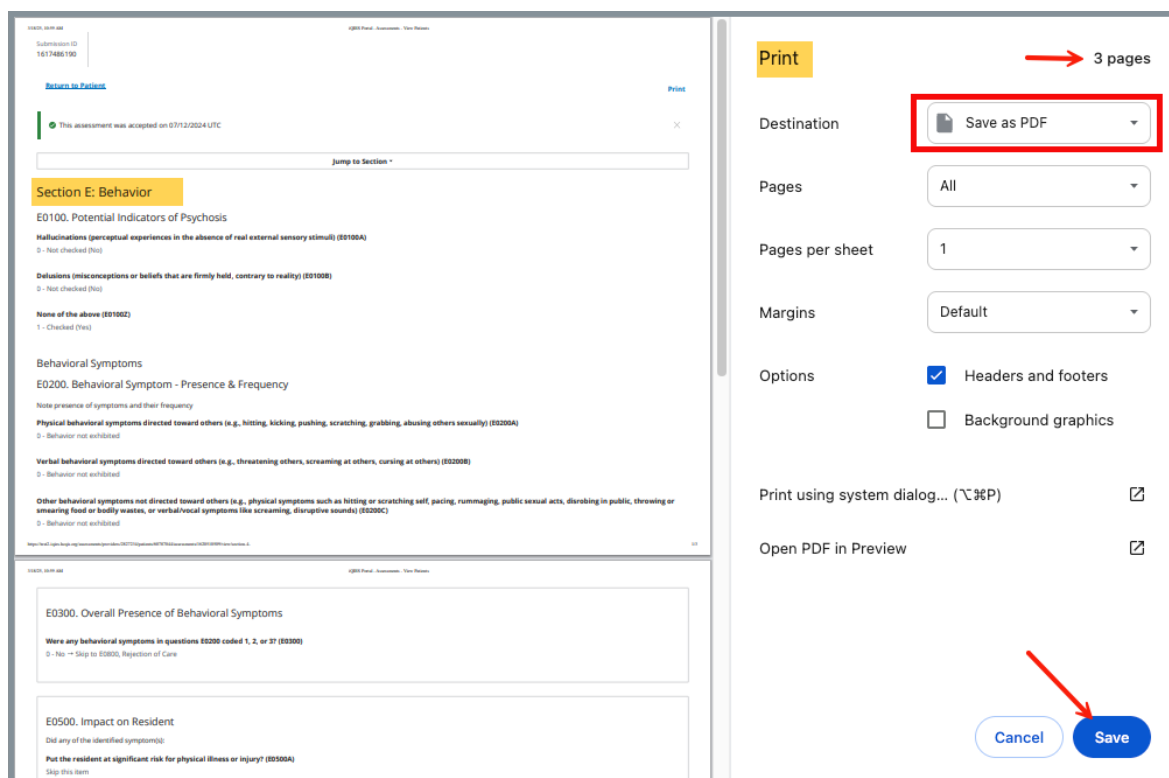
Figure 223: Print Menu

Note: The figure above is a Google Chrome print menu. Other print menus may look slightly different.
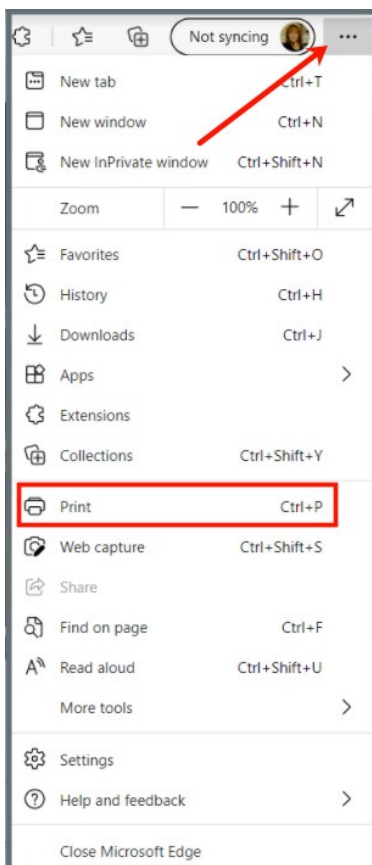
f. Click **Save**. The **Save As** popup window opens. *See Figure 224, Save As Popup Window.*

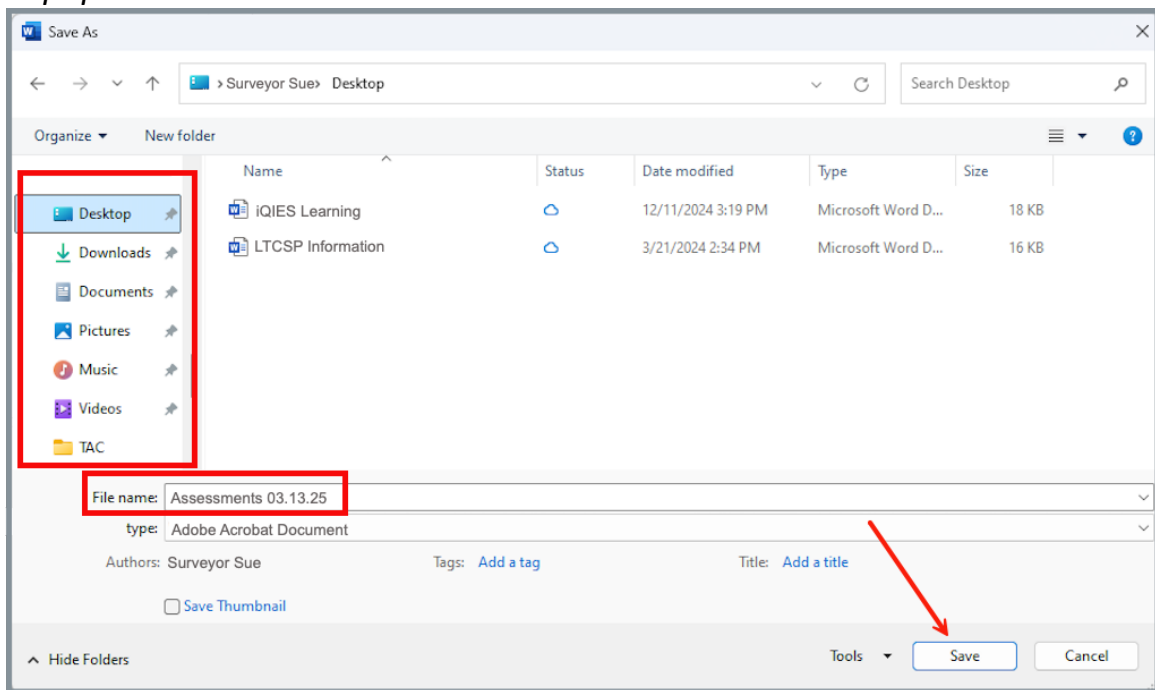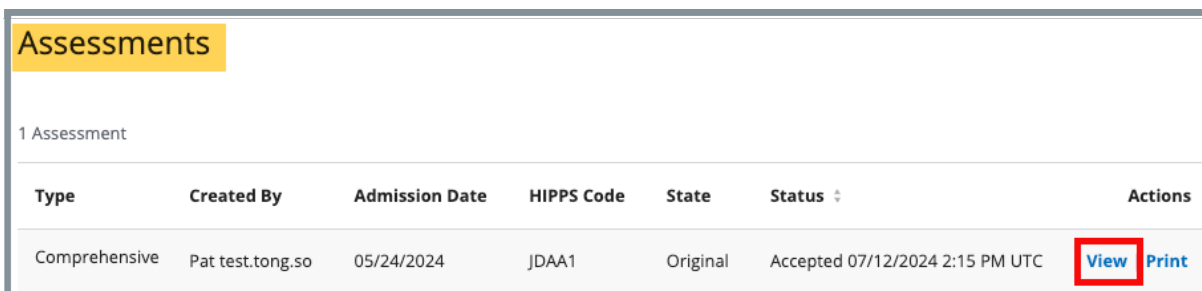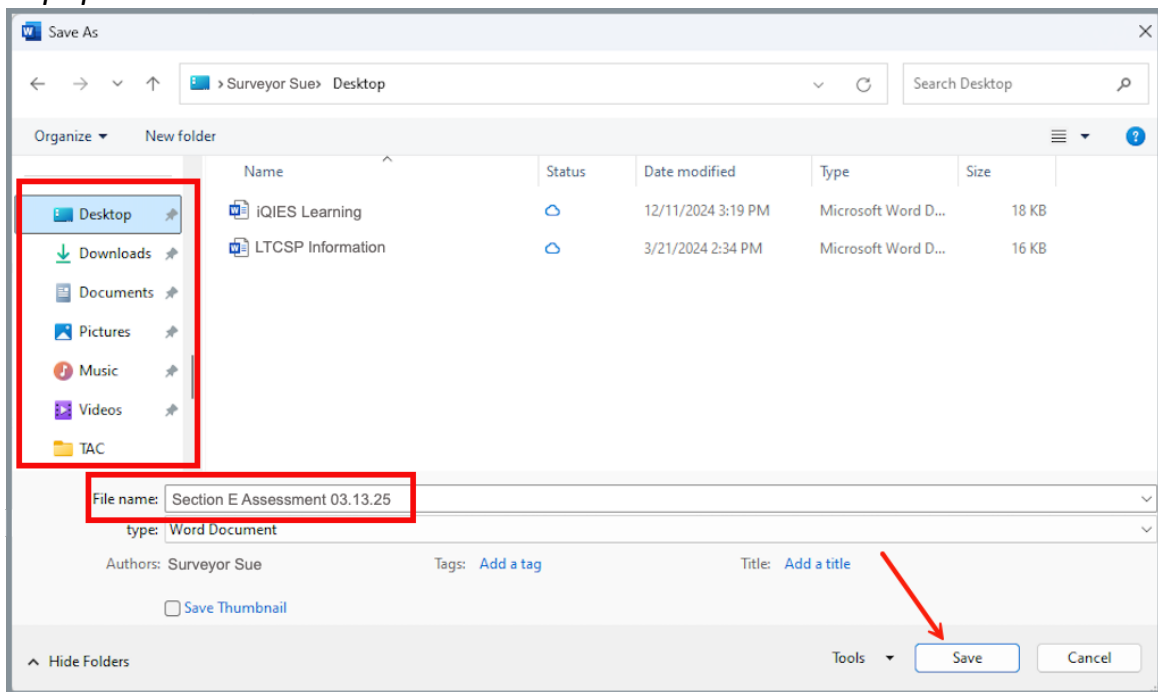

Figure 224: Save As Popup Window

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 225, 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 225: 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**	Shows how the investigation was initiated. Investigations can be: • 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 For **Unnecessary Medications Review**: Click the link under **Reason** to open a pop-up window with **Unnecessary Meds Calculation Details**.
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 226, 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 226: 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**	Shows how the investigation was initiated. Investigations can be: • 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 For **Unnecessary Medications Review**: Click the link under **Reason** to open a pop-up window with **Unnecessary Meds Calculation Details**.
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**	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. 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
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 227, 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 227: 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**	Shows how the investigation was initiated. Investigations can be: • 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 For **Unnecessary Medications Review**: Click the link under **Reason** to open a pop-up window with **Unnecessary Meds Calculation Details**.
b	**Investigative Area**	• Click resident to see Investigations tab, which shows all investigative areas assigned to the resident. • Click investigative area to see the <u>Residents tab</u>, 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 228, 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.
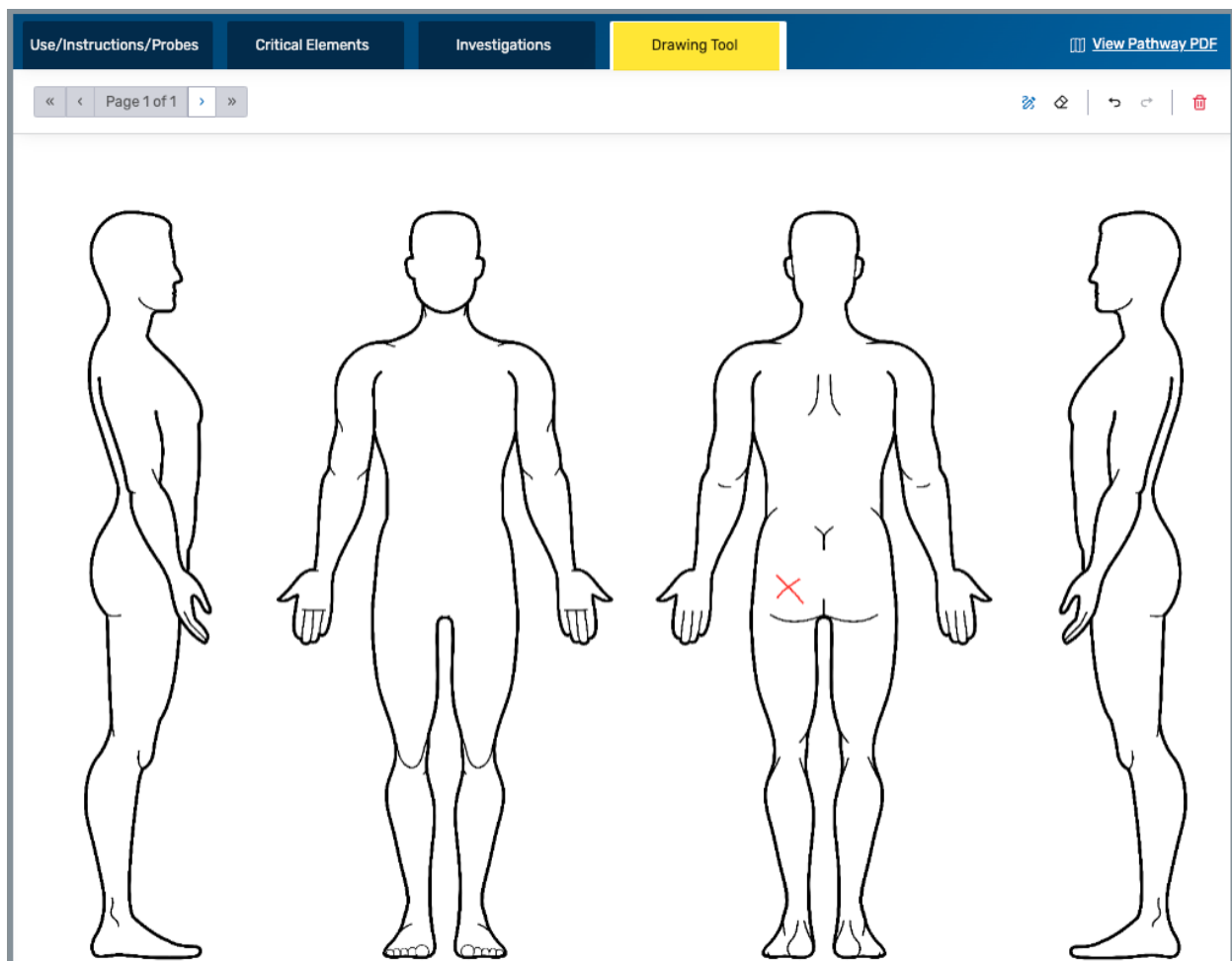

Figure 228: Drawing Tool Tab

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 229, Investigations Residents Tab.*

Figure 229: 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 <u>Surveyor Notes</u> 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 230, Notes Icon.*

Figure 230: 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 231, Facility Notes View.*

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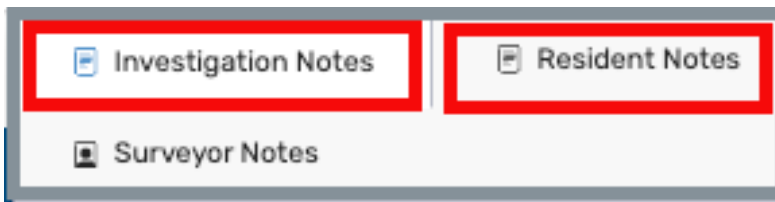

Figure 231: Facility Notes View

- 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 232, Investigation and Resident Notes Bottom Screen Icon.*

Figure 232: 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.
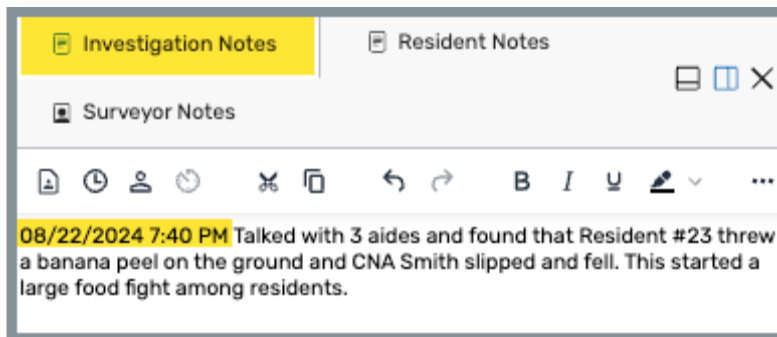
- Type notes. See *Figure 233, Sample Investigation Note.*

Figure 233: Sample Investigation Note

- Notes are autosaved.

- The **Last saved** date and time shows at the bottom of the Notes. See *Figure 234, Notes Last Saved Date and Time.*
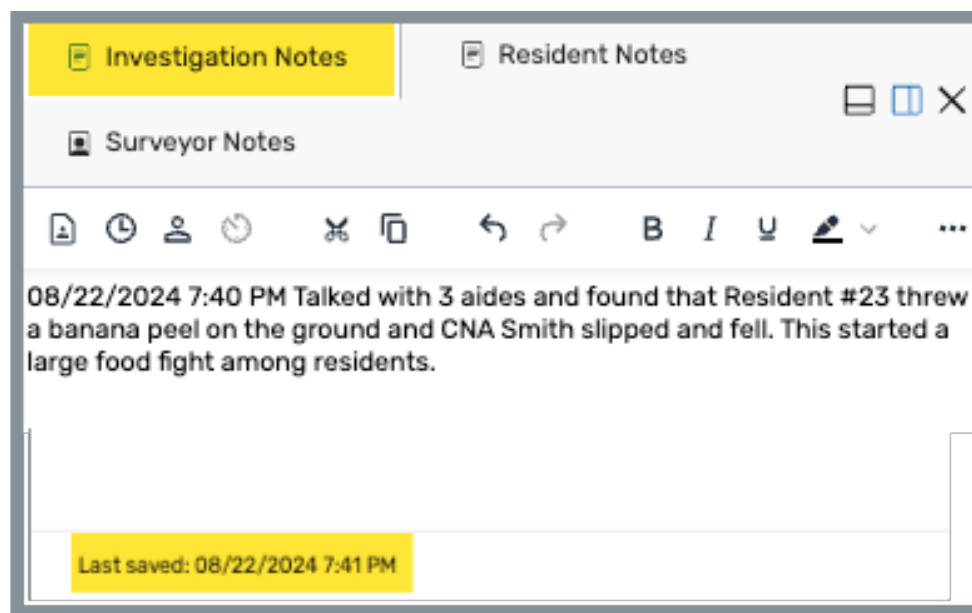
Figure 234: Notes Last Saved Date and Time

Custom Toolbar Functions

There are 4 custom toolbar options among the normal standard formatting options. See *Figure 235, Notes Custom Toolbar Functions.*
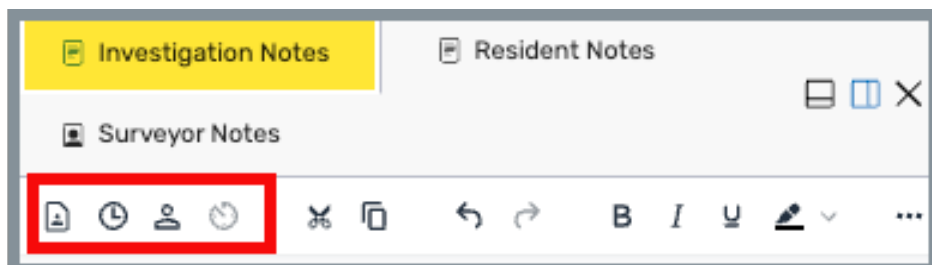

Figure 235: Notes Custom Toolbar Functions

From left to right they are:

o **View All Surveyor Notes**
o **Insert Date/Time Stamp**
o **Insert Resident ID**
o **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 236, View All Surveyor Notes.* Click any name to view the note.
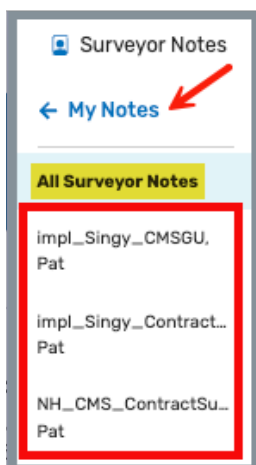
  Figure 236: View All Facility Notes

  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 237, Notes Formatting Menu.*
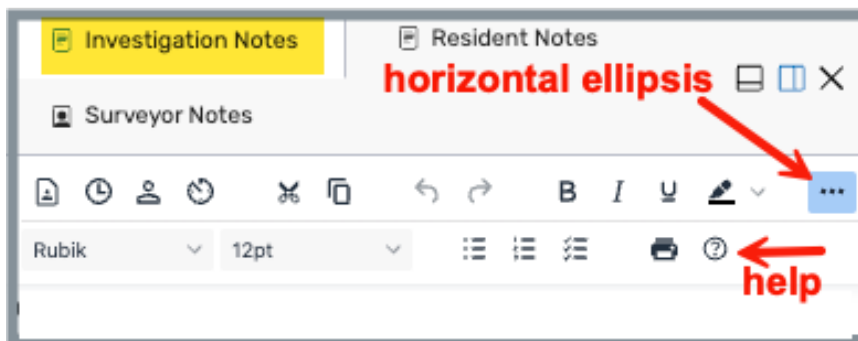
Figure 237: Notes Formatting Menu

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 238, Completed Investigation.*
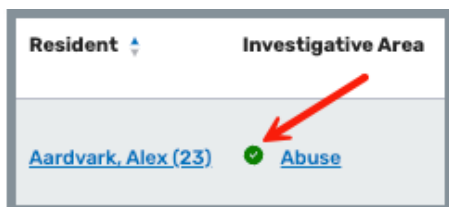

Figure 238: Completed Investigation

Check the **Hide Completed Investigations** checkbox to filter completed investigations. See *Figure 239, Hide Completed Investigations.*
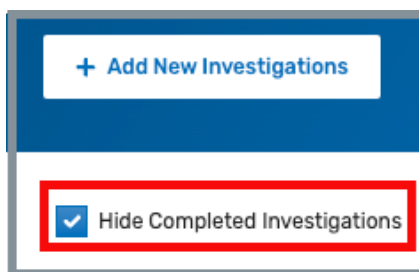

Figure 239: Hide Completed Investigations

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 240, Potential Citations*.

Figure 240: 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 241, 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 242, IJ Start/End Dates.*

  o IJ scope/severity levels of **J, K**, or **L** trigger the IJ start/end date.

  o IJ scope/severity levels of **G** or **J** trigger singular events

  o IJ scope/severity levels of **F**, **H**, **I**, **J**, **K**, or **L** for an SQC tag trigger the Extended Survey Facility Task.

Figure 241: 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 242: 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 243, Residents/Facility Drop-Down Menu.*

Figure 243: 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 244, Reason Not Cited.*

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

Figure 244: 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 245, F-Tag
    Updates*.
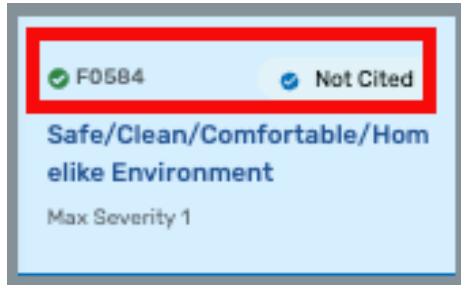
Figure 245: F-Tag Updates

[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.
- Am 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 246, Move a Citation Tag.

Figure 246: Move a Citation Tag

Create Citation

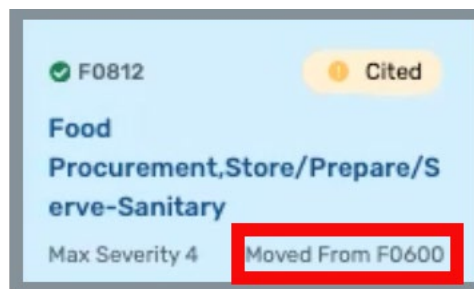a. The **Create Citation** button is disabled until all tags have been reviewed and completed.

    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 247, Resources.* The resources automatically download.
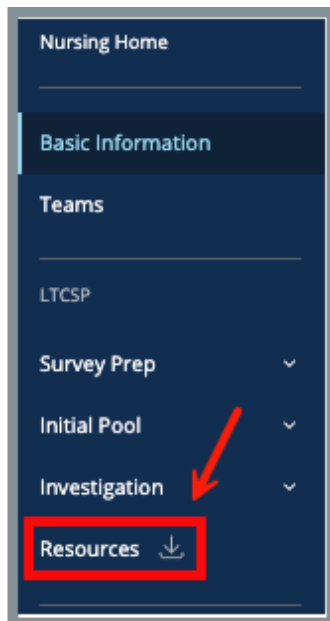

Figure 247: Resources

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 248, S&C Search*.
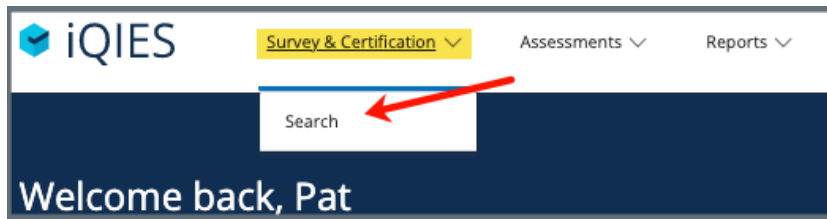

Figure 248: S&C Search

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 249, Search*.
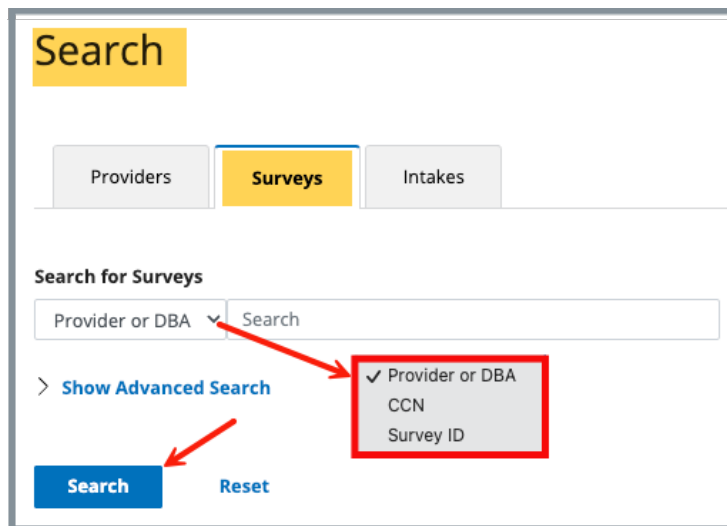

Figure 249: Search

25.5 Type search criteria.

25.6 Click **Search**. The survey information shows below. See *Figure 250, Survey Search Results*.

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

Figure 250: Survey Search Results

25.7 Click the survey number to view basic information. The **Basic Information** window opens. See *Figure 251, 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

Figure 251: 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 252, Citation Notification Example*. Read the notification and follow the directions, if necessary.
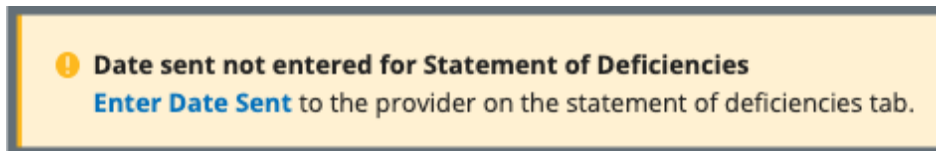

⚠ **Date sent not entered for Statement of Deficiencies**
Enter Date Sent to the provider on the statement of deficiencies tab.

Figure 252: Citation Notification Example

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

26.1 Citation Overview

Notes:

- Citation Statuses are:

  o **Not Started**
  o **In Progress**
  o **Ready for Merge**
  o **Merged – In Progress**
  o **Writing Complete**
  o **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 253, Citations*.

Figure 253: Citations

26.1.2   Click the citation to open **Citation Overview**. The Citation Overview window opens. See *Figure 254, Citation Overview*.

Figure 254: 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 255, Edit Citation Overview.*

Figure 255: 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 256, Manage Survey Categories.* The **Manage Survey Categories** window opens.
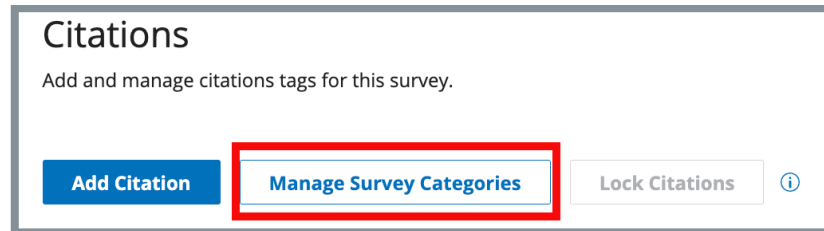

Figure 256: Manage Survey Categories

26.2.2   Check the box next the correct survey category. See *Figure 257, Manage Survey Categories Window*.

Note: More than one category can be checked.

Figure 257: 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 258, Add Citation Window*.
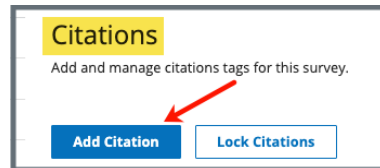
Figure 258: Add Citation Window

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 259, Added Citations* and *Table 34, Added Citations Detailed Callout*.
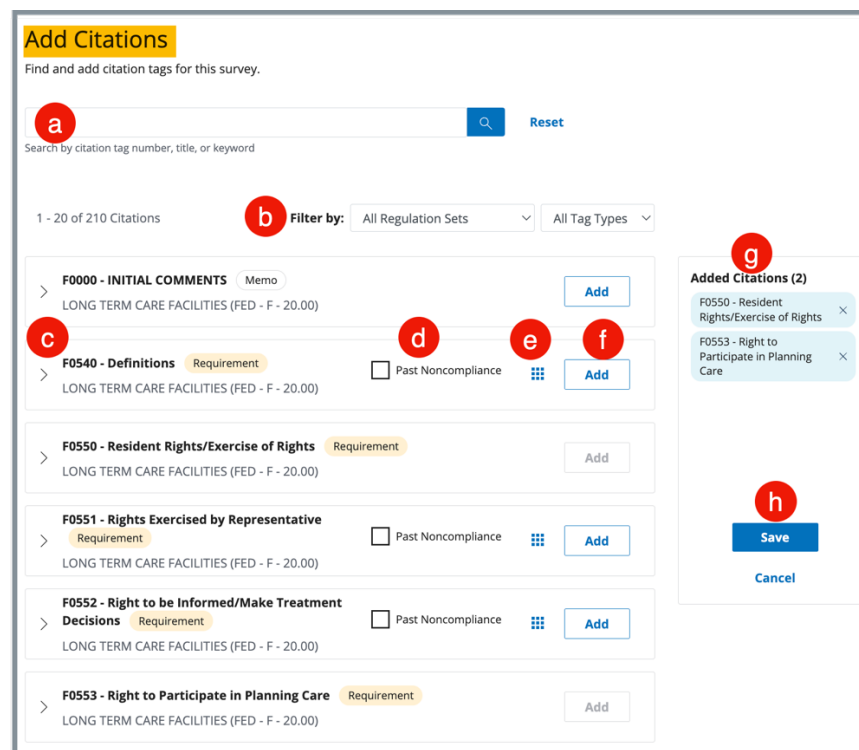
Figure 259: Added Citations

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 260, Add LSC Citation Window.*
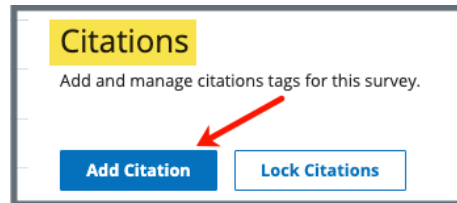

Figure 260: Add LSC Citations Window

26.4.2   Click the radio circle next to the desired building. See *Figure 261, 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 261: 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 262, Add LSC Citations, Step 2.*

Figure 262: 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 263, Actions Delete Citation Drop-Down Menu.* A confirmation pop-up window appears.
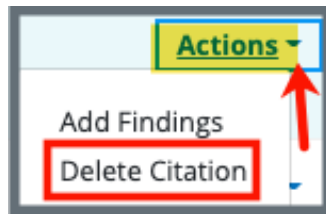
Figure 263: Actions Delete Citation Drop-Down Menu

26.5.2 Click **Confirm**. See *Figure 264, Delete Citation Confirmation Pop-up Window.* The citation has been deleted.
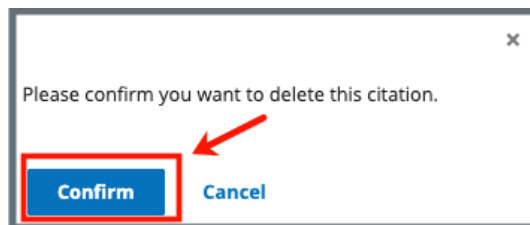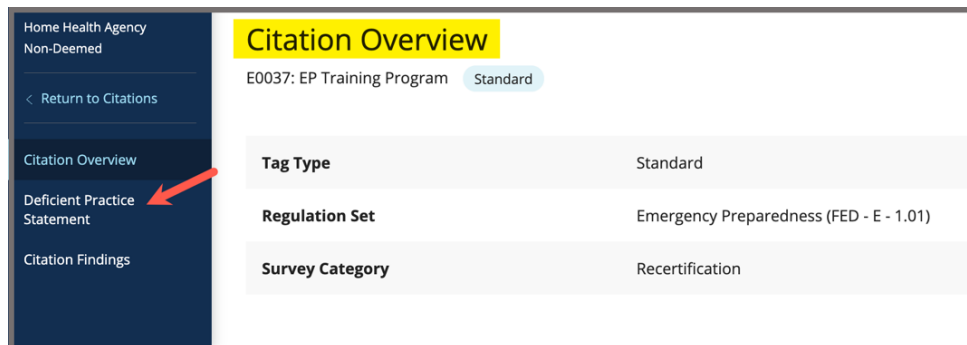
Figure 264: Delete Citation Confirmation Pop-up Window

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 265, Deficient Practice Statement.* The **Deficient Practice Statement** window opens.
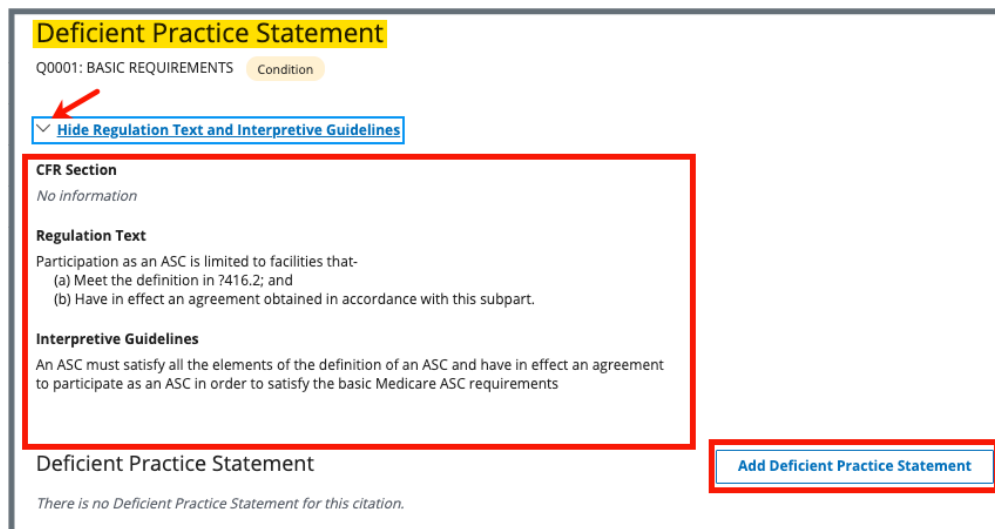
Figure 265: Deficient Practice Statement

26.6.3   Click the caret to review the **Regulation Text and Interpretive Guidelines**. See *Figure 266, Regulation Text and Interpretive Guidelines.*

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

Figure 266: 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 267, 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.
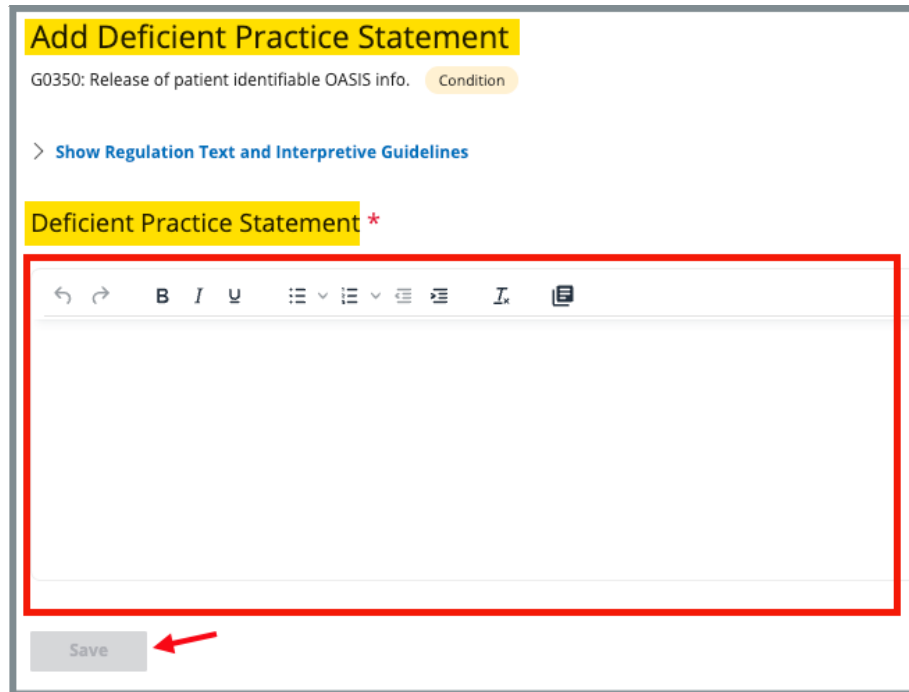
Figure 267: Deficient Practice Statement Text Box

> **Note**: Be aware that two users can be in **Edit** mode in the **Deficient Practice Statement** at the same time. See *Figure 268, 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.
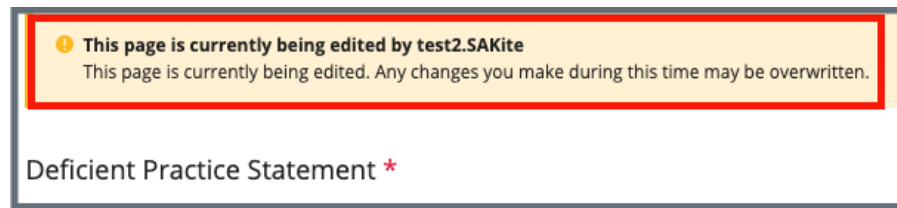
Figure 268: Concurrent Editor Notification

- 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 269, DPS Pencil Icon.*

Figure 269: 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 270, Citation Add Findings.* The Citation Findings window opens.
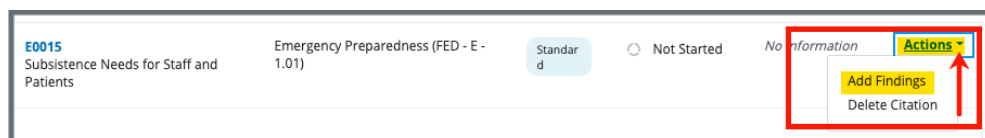
Figure 270: Citation Add Findings

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 271, Actions Drop-Down Menu*. The respective window opens, and the specific action can be performed.
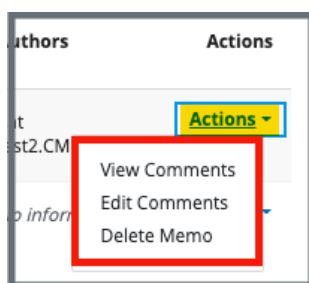
Figure 271: Actions Drop-Down Menu

26.7.2   Click **Add Findings**. The **Add Citation Findings** window opens. See *Figure 272, Add Citation Findings.*

Figure 272: Add Citation Findings

Note: Be aware that two users can be in **Edit** mode in **Findings** at the same time. See *Figure 273, 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 273: 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 274, Findings Pencil Icon.*
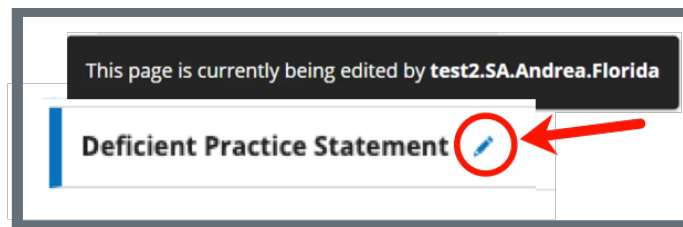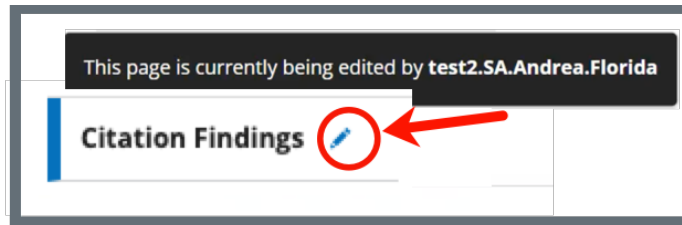

Figure 274: Findings Pencil Icon

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 275, Content Library Icon.*

Figure 275: Content Library Icon

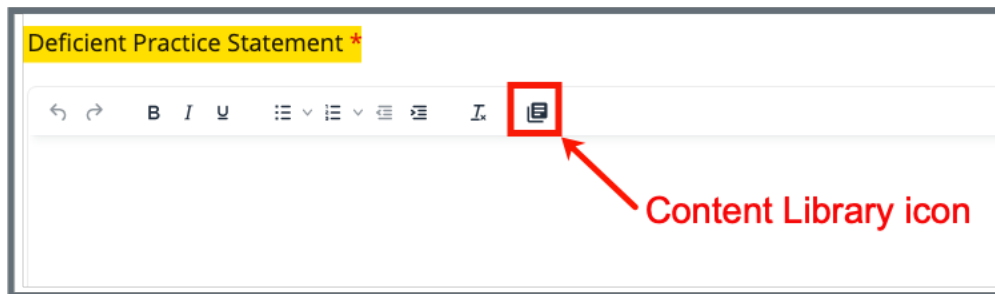26.8.1   Click the **Content Library** icon. The **Content Library** pop-up window opens. See *Figure 276, Content Library Pop-up Window* and *Table 35, Content Library Popup Window Detailed Callout.*

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

Figure 276: 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. It shows the date, time, and author (user) of the last modification of the file
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 277, New
         Content Pop-up Window* and *Table 36, New Content Popup Detailed
         Callout.*

Figure 277: 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 278, 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**.
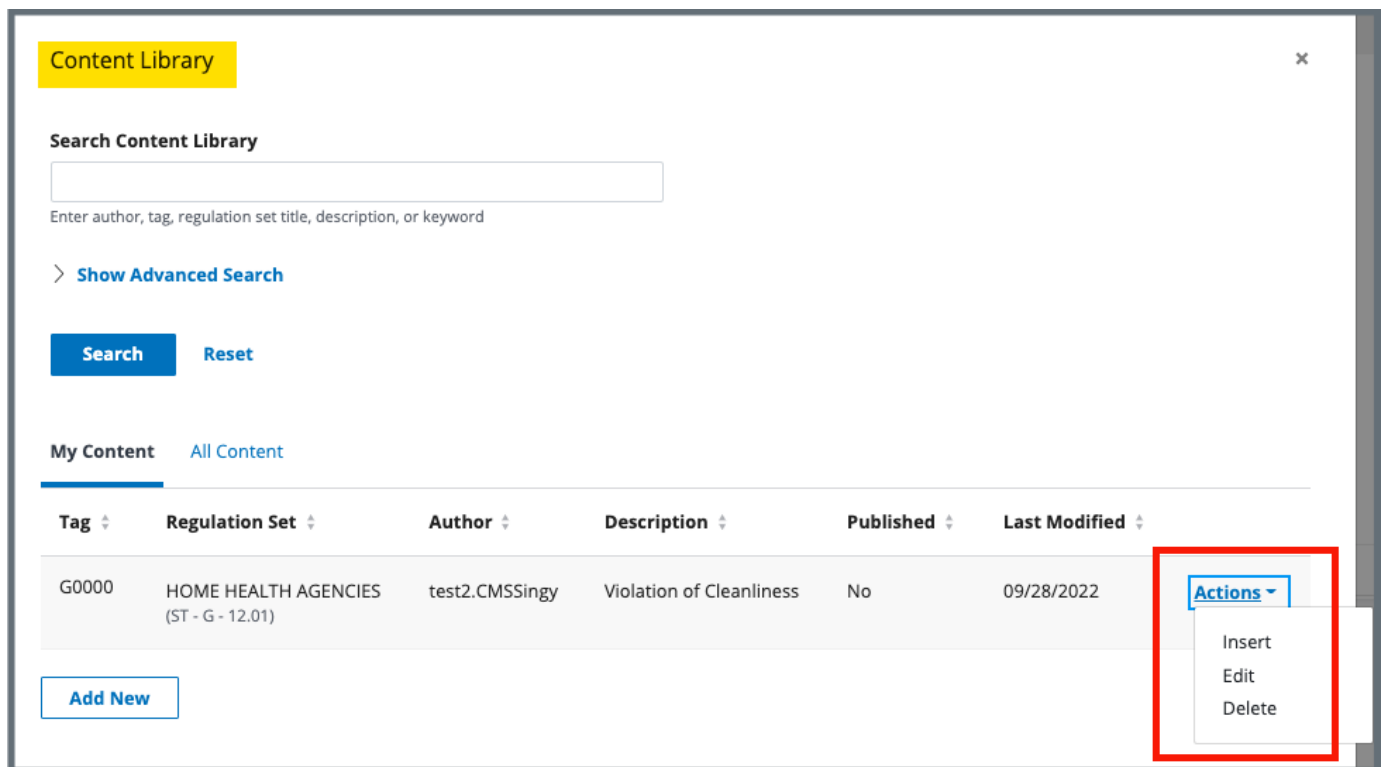

Figure 278: Content Library: Insert, Edit, Delete

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.

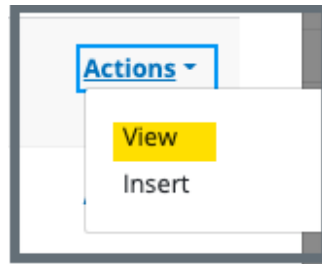b. Select **View** from the **Actions** drop-down menu. See *Figure 279, View Drop-Down Menu*.

Figure 279: View Drop-Down Menu

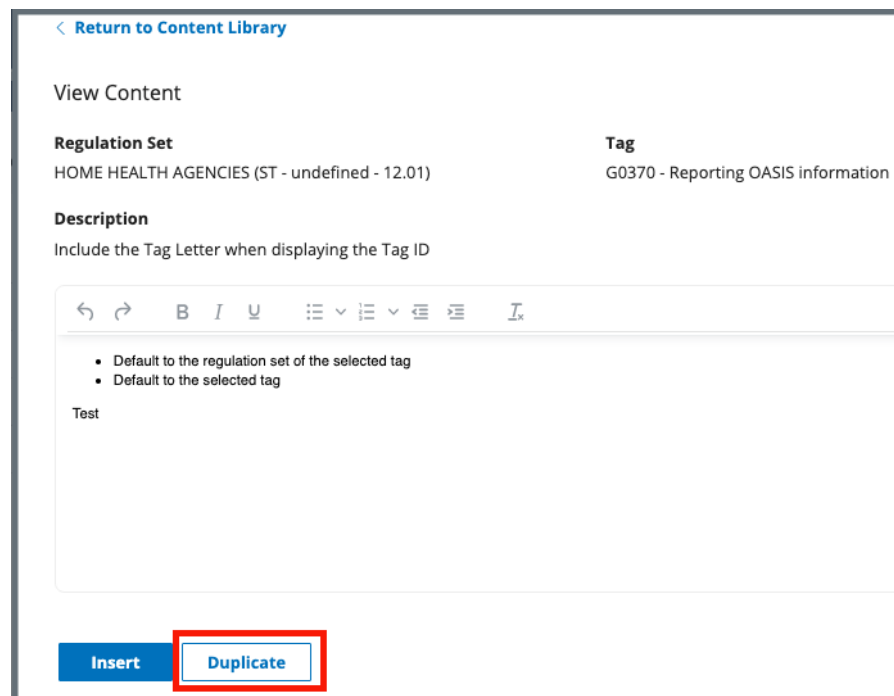c. Click **Duplicate**. See *Figure 280, Duplicate.* The **Add New Content** window opens.

Figure 280: Duplicate

d. Make any desired changes.

e. Click **Save** to save the document to **My Content**. See
    Figure 281, 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.

Figure 281: Edit Duplicated Content

Note: Duplicated Content has **COPY** in the description. See
Figure 282, 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.

Figure 282: 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 283, Attachments.*

Figure 283: 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 284, Citations Ready to be Locked*. The **Survey Extents** popup opens.
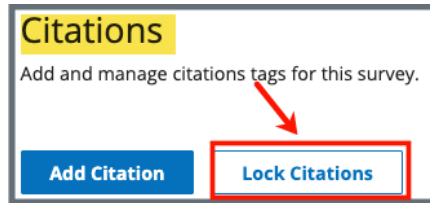

Figure 284: Citations Ready to be Locked

26.11.2 Click **View Survey Extents** to review or edit survey extents. See *Figure 285, Survey Extents Popup.*
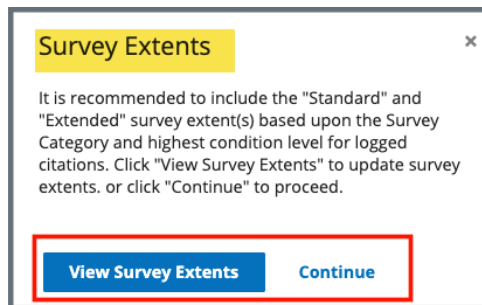

Figure 285: Survey Extents Popup

26.11.3 Click **Continue**, to lock citations*.* The **Lock Citations** popup opens. See *Figure 286, Lock Citations*.
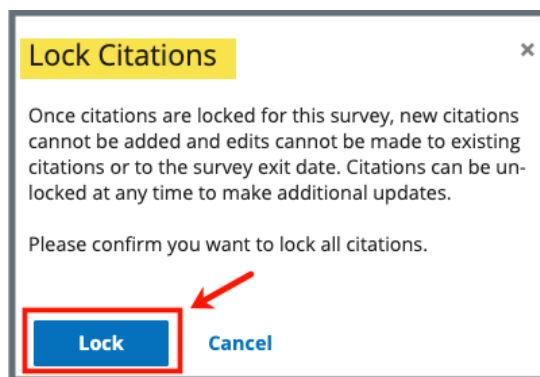

Figure 286: Lock Citations

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 287, Unlock Citations Pop-Up Window*. The **Unlock Citations** popup opens.

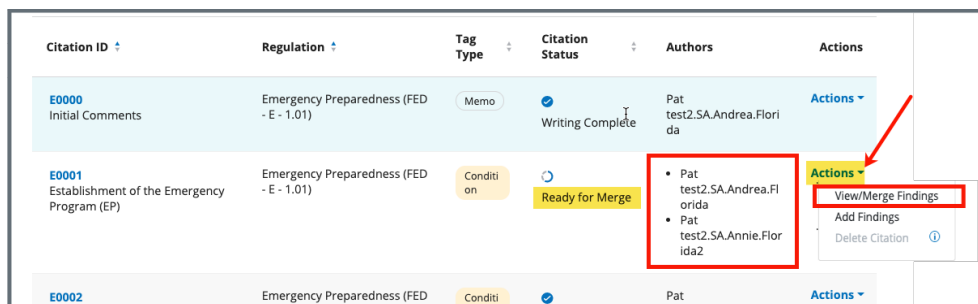**Note**: A citation cannot be unlocked once a Revisit Survey has been started.

Figure 287: 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 288, Ready for Merge.*

Figure 288: Ready for Merge

26.12.2 Click **View/Merge Findings** on the drop-down menu under **Actions**. The **Findings** window opens. See *Figure 289, Findings.*

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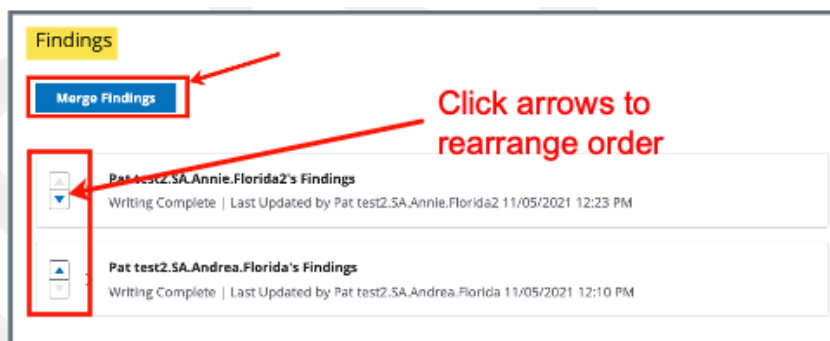

Figure 289: Findings

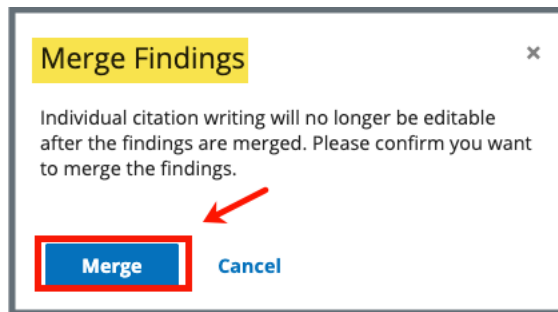26.12.3 Click **Merge Findings**. The **Merge Findings** pop-up window opens. See *Figure 290, Merge.*

Figure 290: Merge

26.12.4 Click **Merge**. The **Findings** window opens with the merged findings. See *Figure 291, Ready for Merge.*
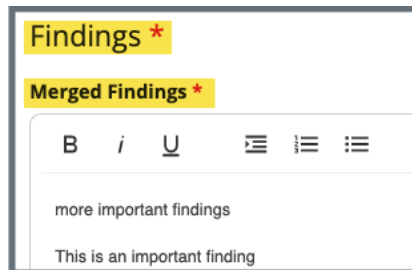

Figure 291: Ready for Merge

26.12.5 Update or edit findings, if desired. See *Figure 292, 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.

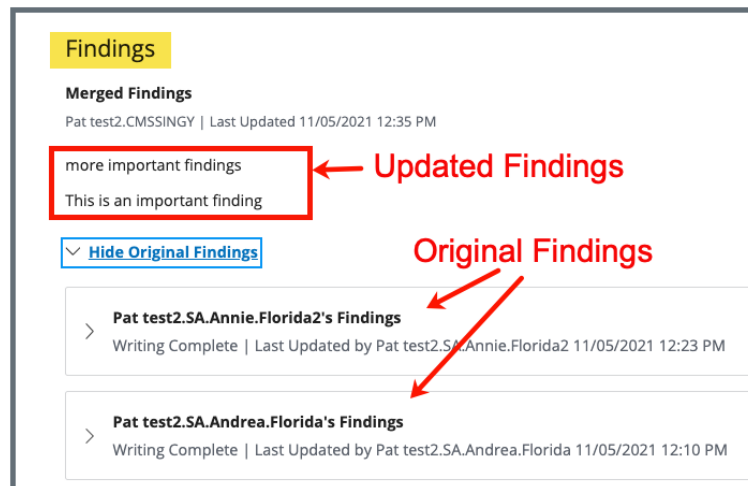- A merged citation can be edited to remove one of the merged citations.

Figure 292: 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.

- At least one citation with a scope/severity level of **D** or higher

- 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:

  o All citations and findings have been added
  o The survey has an exit date
  o Citations are locked
  o 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 293, Create Revisit Drop-Down Menu*. The **Basic Information** page opens.
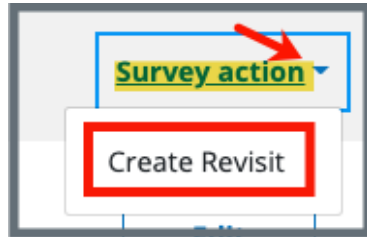

Figure 293: Create Revisit Drop-Down Menu

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

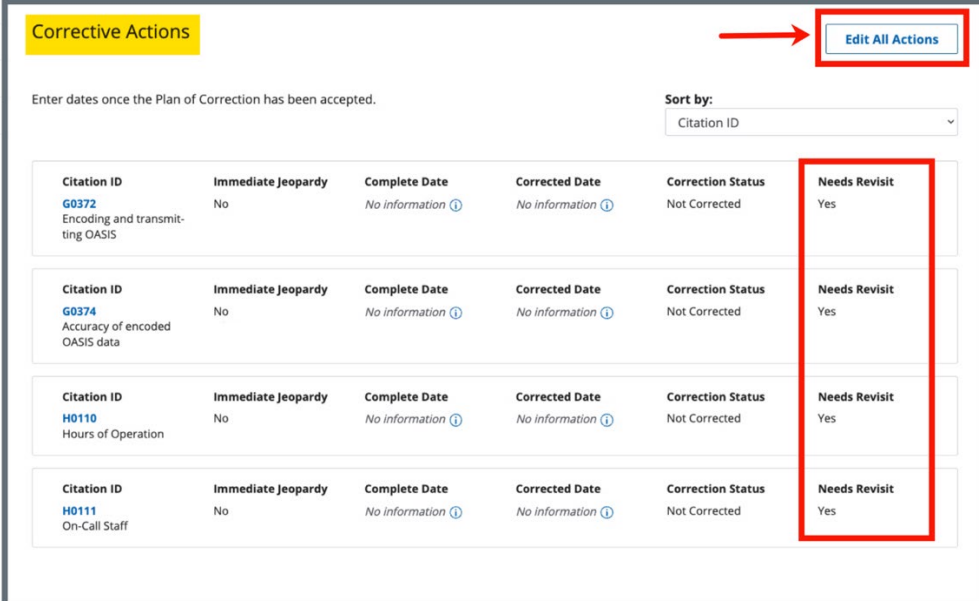**Purpose:**   To create a revisit survey for some, but not all, of the citations on a survey.

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 294, Needs Revisit Column.*

Note: The default response to **Needs Revisit** is **Yes**.

Figure 294: Needs Revisit Column

26.14.3 Click **Edit All Actions**. The fields are now editable. See *Figure 295, Needs Revisit Editable Fields.*

Figure 295: 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 296,
Revisits Corrective Actions.*

Figure 296: 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 297, Citation Corrected Dates.*

Figure 297: Citation Corrected Dates

26.15.4 Click **Save**. The **Corrective Actions** are updated with a link to the original survey. See *Figure 298, Revisits Linked in Corrective Actions.*

26.15.5 Click the link to view details about the revisit survey.

Figure 298: 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 299, Add IJ to a Citation.*

Add IJ to a Citation

Figure 299: 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 <u>Add Findings</u>, if necessary.

27.3 Click **Lock IJs**. See *Figure 300, 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**.
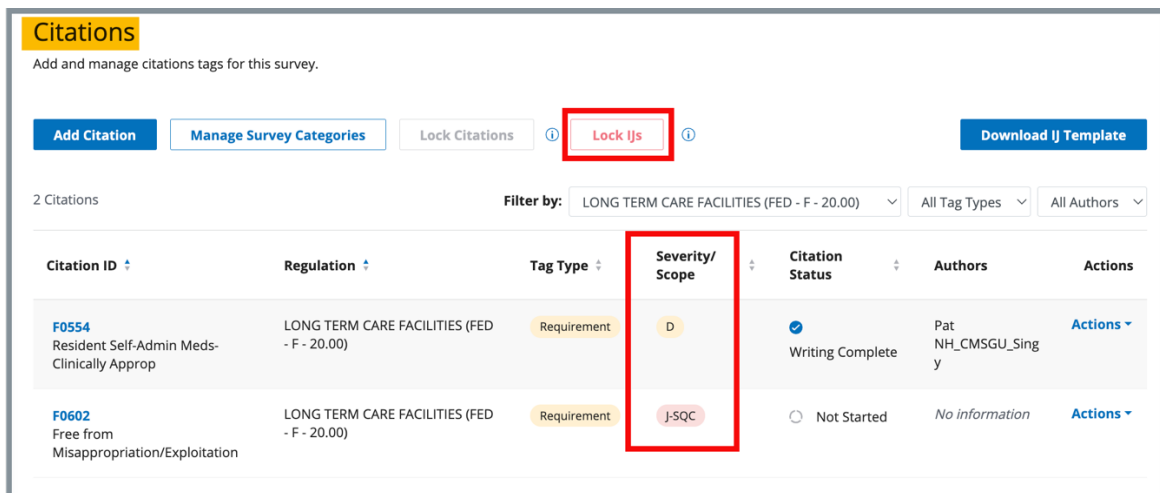

Figure 300: Lock IJs

27.4 Click **Lock as IJ**. See *Figure 301, Lock IJ Citations Popup Window*. The **Citations** page opens, and a Statement of Deficiencies can now be generated with **Date Sent**.
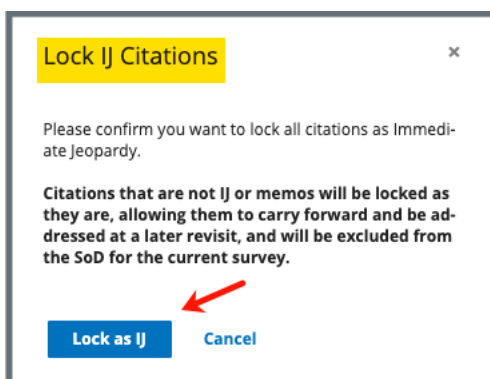
Figure 301: Lock IJ Citations Popup Window

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 302, IJ Citation Check Box.*

Figure 302: 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 303, Statement of Deficiencies*.

Note: **Edit** is not active for Statements of Deficiencies until the survey has an exit date.

Figure 303: 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 304, 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 304: 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 305, Statement of Deficiencies*.

Figure 305: Statement of Deficiencies

28.2.2 Type dates under **Date Sent** and **Due Back from Provider**, in a **MM/DD/YYYY** format. See *Figure 306, Statement of Deficiencies Edit Screen*.

Note: The **Due to Provider** date is automatically set to ten (10) days after the survey exit date.

Figure 306: Statement of Deficiencies Edit Screen

28.2.3 Click **Save**.

						PRINTED: 09/14/2022

DEPARTMENT OF HEALTH AND HUMAN SERVICES
CENTERS FOR MEDICARE & MEDICAID SERVICES

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	STREET ADDRESS, CITY, STATE, ZIP CODE
House of the Rising Sun	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)	(X5) COMPLETION DATE
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		

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.

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 307: 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 308, Create Informal Dispute Resolution Drop-Down Menu*. The **Informal Dispute Resolution** page opens.
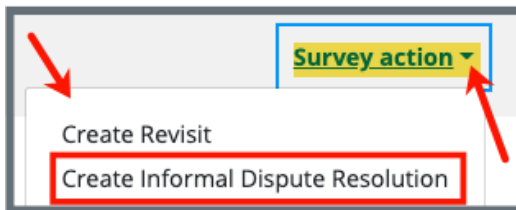
Figure 308: Create Informal Dispute Resolution Drop-Down Menu

**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 309, Create Independent Informal Dispute Resolution Drop-Down Menu*. The **Independent Informal Dispute Resolution** page opens. See *Figure 310, Independent Informal Dispute Resolution.*
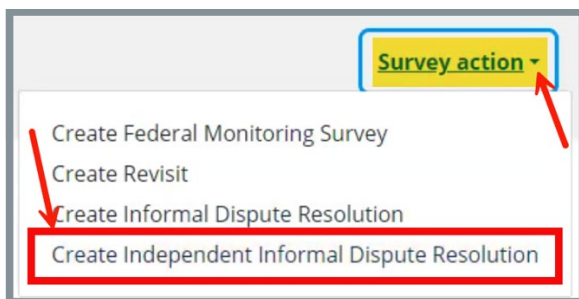
Figure 309: Create Independent Informal Dispute Resolution Drop-Down Menu

Figure 310: Independent Informal Dispute Resolution

30.2 Click **Edit** to update the information. The fields become editable. See *Figure 311, Independent Informal Dispute Resolution Editable Fields.*

Figure 311: 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 312, IIDR Citation Filter.*
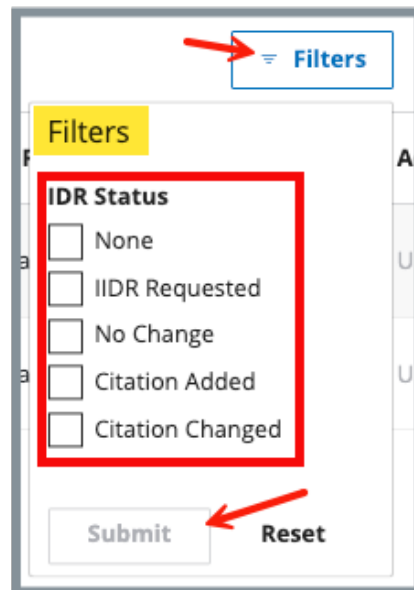

Figure 312: IIDR Citation Filter

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 313, Plan of Correction*.

Figure 313: 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 314, Citation ID & Building ID.*

Figure 314: 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 315, Edit All Actions.*

Figure 315: Edit All Actions

31.2.3   Click the drop-down menu under **Waiver** to change the waiver status. See *Figure 316, Waiver Selections.*

Note: Grayed out areas can only be updated by a CMS General User.

Figure 316: 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 317, Surveys Letters*.
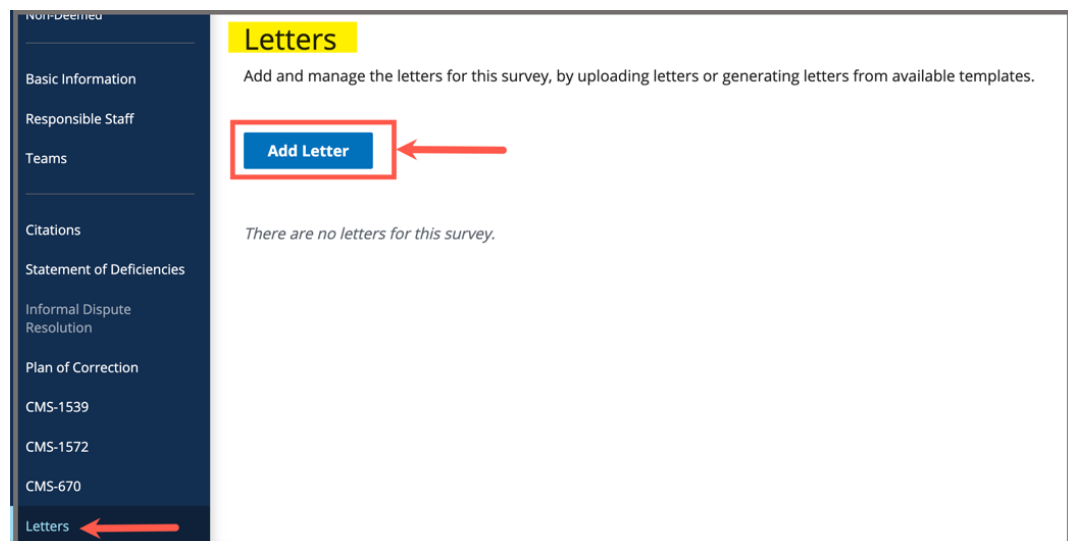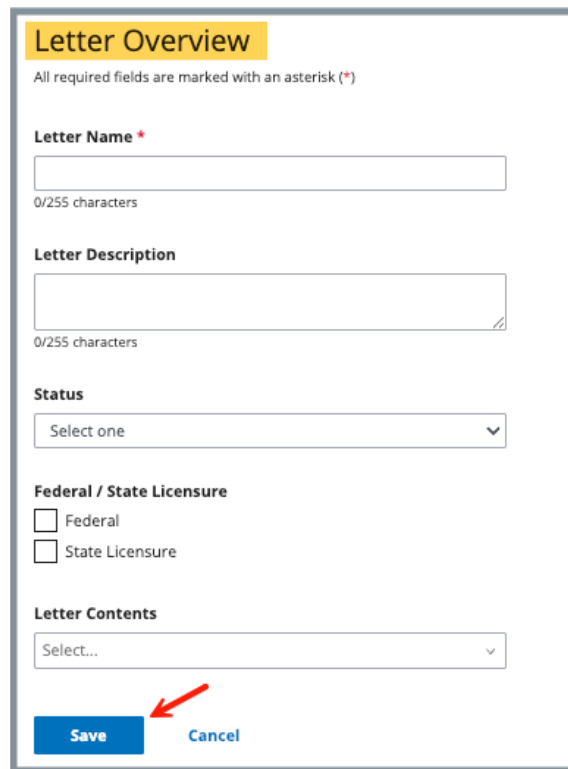
Figure 317: Surveys Letters

32.1.2 Click **Add Letter**. The **Letter Overview** window opens. See *Figure 318, Surveys Letter Overview*.

Figure 318: Surveys Letter Overview

32.1.3 Fill out the information.

32.1.4 Click **Save**. The information updates in a new screen. See *Figure 319, Letter Attachment and Recipient*.

Figure 319: Letter Attachment and Recipient

32.1.5 Scroll down to **Attachments**.

32.1.6 Click **Upload Attachment** to upload a letter from the computer.

32.1.7 Click **Select File**. The Windows Explorer window pops up. For Mac users, the Finder window pops up.

32.1.8 Select the file to be attached. Click **Open**. The file is attached and ready to be saved.

32.1.9 Type a file description in the **File Description** field, if desired.

32.1.10 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 320, Generate from Template.* The **Add Letter** page opens.

Figure 320: Generate from Template

32.2.5   Click the circle next to the desired template. See *Figure 321, Select a Template*.
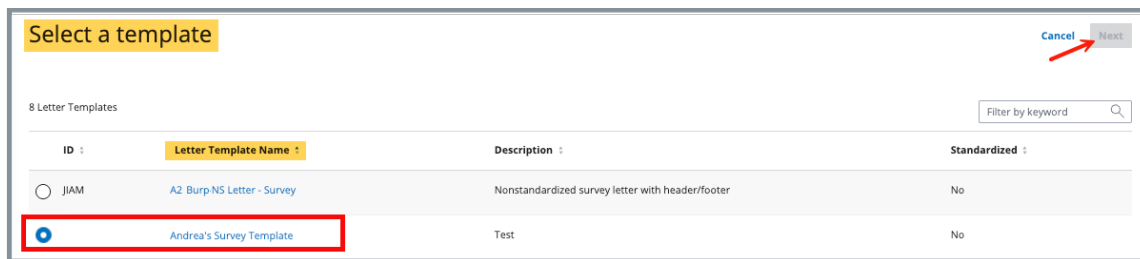

Figure 321: Select a Template

32.2.6   Click **Next**. The **Create attachment** page opens.

Note: **Next** is disabled until a selection is made.

32.2.7   Update the template as desired. See *Figure 322, Letter Template*.

Notes:

- Only nonstandardized templates 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 322: Letter Template

a. **Print Preview**: Click **Print Preview** to preview the .pdf version of the letter. The letter can be downloaded from **Print Preview**, if desired.

b. **File Name**: Edit the name, if desired.

c. **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.

d. **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.

e. **Letter**: Shows how the letter looks. Verify inputs. Make any changes for nonstandardized templates, if desired.

f. **Create attachment**: Click **Create attachment** to create a .pdf that attaches to provider/survey/intake/enforcement record.

32.2.8   Click **Create Attachment** to attach the letter to the record.

32.2.9   Verify the letter is attached under **File Name**. See *Figure 323, Letter Attachment.*

Note: Click the file name to automatically download the letter to the user's computer.

Figure 323: 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 324, Add Recipient*.

Figure 324: Add Recipient

32.3.2 Fill out the information.

Notes:

- **Primary Recipient** is automatically checked for the first recipient of the letter. It is grayed out for subsequent recipients.

- **Letter Information** is not automatic and must be filled out manually.

- **Date Sent** is the date the letter was sent.

32.3.3   Click **Save**. The **Recipient Information** updates. See *Figure 325, Recipient Information.*

Note:

- Click **Return to Letter** to return to the Letter Overview page.

- Click **Add Recipient** under the **Actions** menu on the Letter Overview page to add additional recipients.

Figure 325: Recipient Information

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 326, Edit a Letter Overview*. The **Edit Letter Overview** opens. See *Figure 327, Edit Letter Overview*.

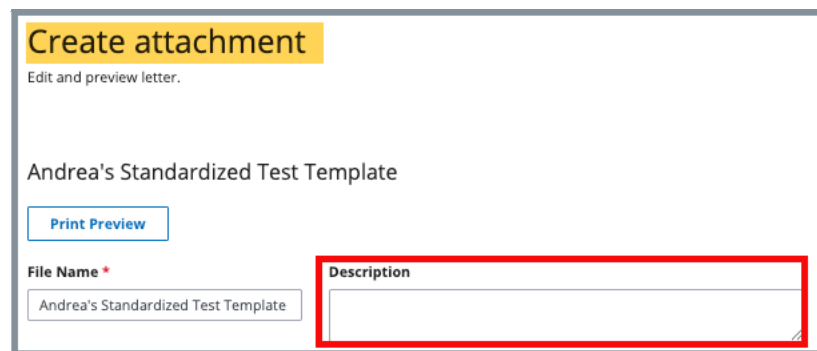*Figure 326: Edit a Letter Overview*

Figure 327: Edit Letter Overview

32.4.2 Update fields.

32.4.3 Click **Save**.

32.5 Edit a Standardized Letter Attachment Description

Note: Standardized letters cannot be edited or changed. Only the **Description** can be updated.

32.5.1 Select a standardized template. The **Create attachment** page opens.

32.5.2 Edit or add a description in the **Description** field. See *Figure 328, Standardized Letter Description.*

Figure 328: Standardized Letter Description

32.5.3 Click **Create Attachment**.

32.6 Edit a Nonstandardized Letter Attachment

Notes:

- Only letters generated from nonstandardized templates can be edited after the .pdf is created.

- Finalized letters cannot be edited.

    32.6.1   Click the letter name on the **Letters** page. See *Figure 329, Click Letter Name.* The letter detail page opens with **Overview**, **Attachments**, and **Recipients** sections. See *Figure 330, Letter Details Page.*
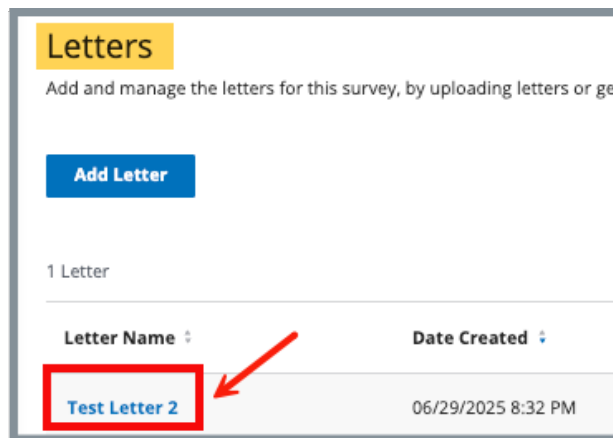

Figure 329: Click Letter Name

Figure 330: Letter Details Page

32.6.2   Scroll to the **Attachments** section.

32.6.3   Select **Edit** from the drop-down list under **Actions**. See *Figure 331, Edit.* The **Edit Attachment** page opens.

> **Note**: **Last Modified** shows the date, time, and author (user) of the last modification of the file. **Last Modified** is updated each time the file is modified.

Figure 331: Edit

32.6.4   Make any necessary changes. See *Figure 332, Edit Attachment Page*.

> **Note**: See **Appendix A** for tips and tricks for working in a template.

Figure 332: Edit Attachment Page

32.6.5   Click **Save**.

Notes:

The letter can now be regenerated with these changes.

32.7 Finalize a Letter Attachment

Note: No changes can be made once a letter is finalized.

32.7.1 Select **Finalize Letter** from the **Actions** drop-down menu to finalize a letter attachment. A pop-up window opens. See *Figure 333, Finalize Letter Pop-Up Window*.
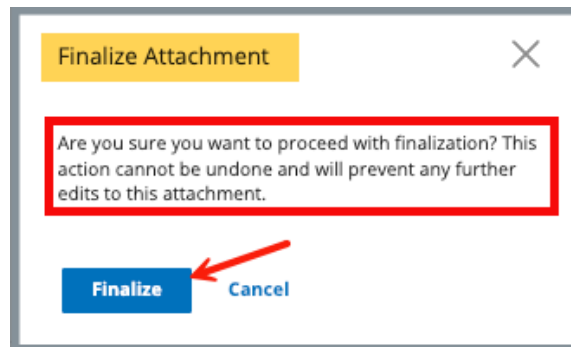

Figure 333: Finalize Letter Pop-Up Window

32.7.2 Click **Finalize**. The letter overview opens.

32.7.3 Verify that the letter states **Finalized** under the **Actions** menu. See *Figure 334, Finalized*.

Figure 334: Finalized

32.8 Delete a Letter Attachment

Note: Letters can only be deleted when no attachments are finalized.

32.8.1 Select **Delete** from the **Actions** drop-down menu to delete a letter. A pop-up window opens. See *Figure 335, Delete Letter Pop-Up Window*.
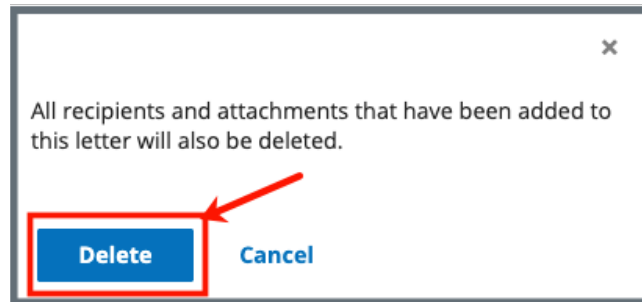

Figure 335: Delete Letter Pop-Up Window

32.8.2 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 336, Add Note*.

Figure 336: Add Note

33.2   Type notes in blank field.

33.3   Click **Save**. The **Notes** window opens with note information. See *Figure 337, Notes.*
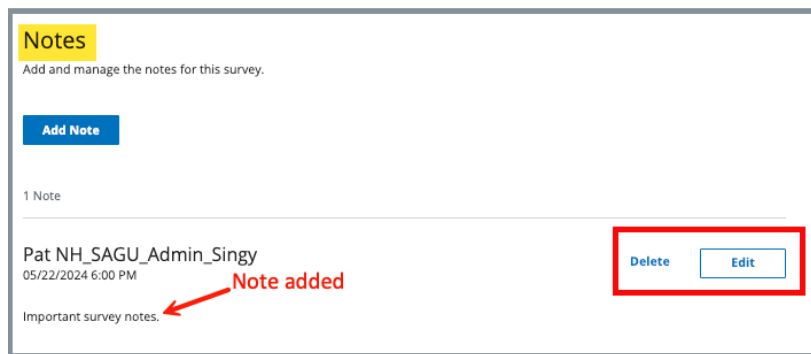
Figure 337: Notes

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 338, Delete Note Pop-Up Window.*
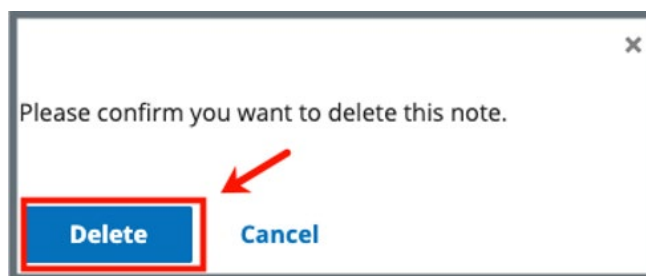
Figure 338: Delete Note Pop-Up Window

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 339, Attachments*.

Figure 339: 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 340, Attachment.*
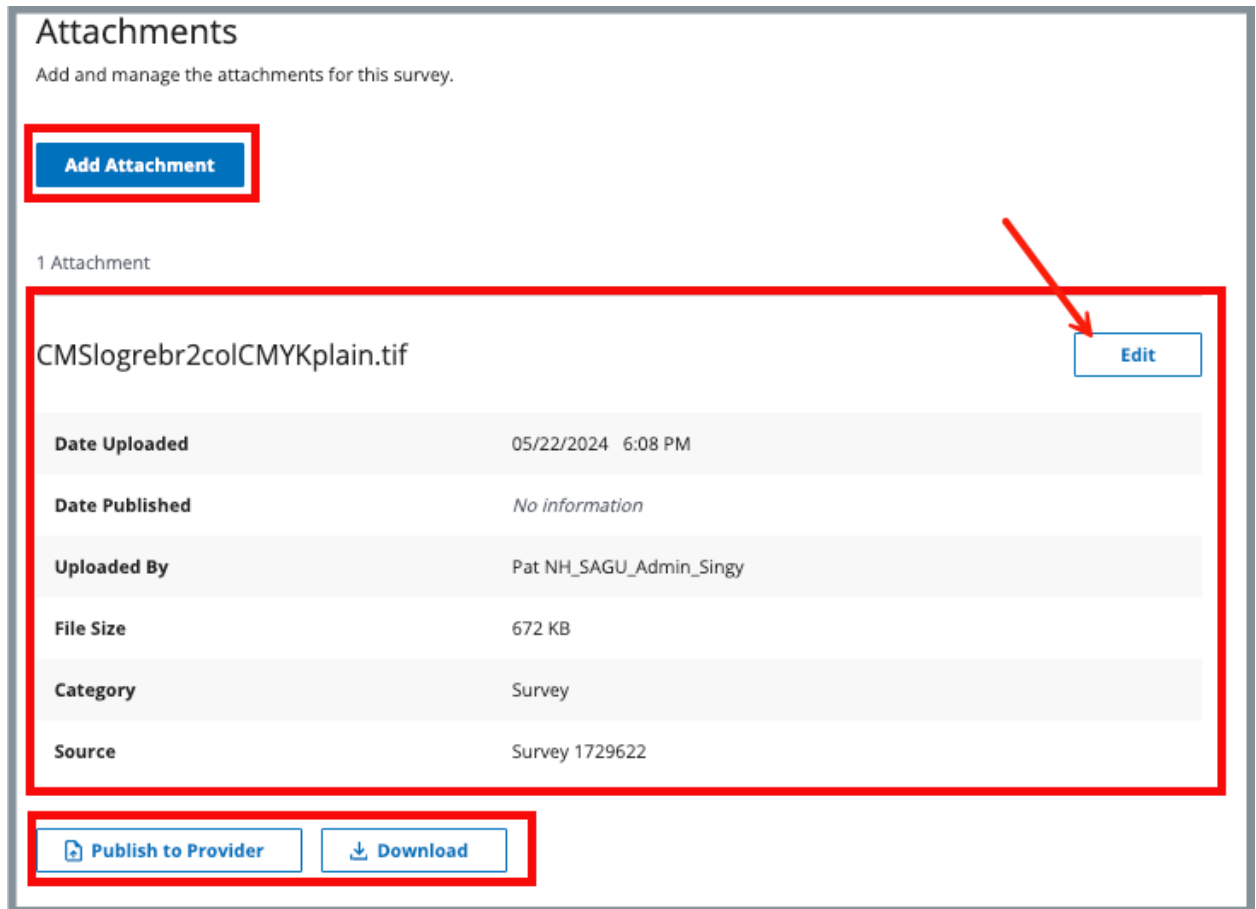
Figure 340: Attachment

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 341, Unpublish To Provider*. Click again to toggle.

Figure 341: Unpublish To Provider
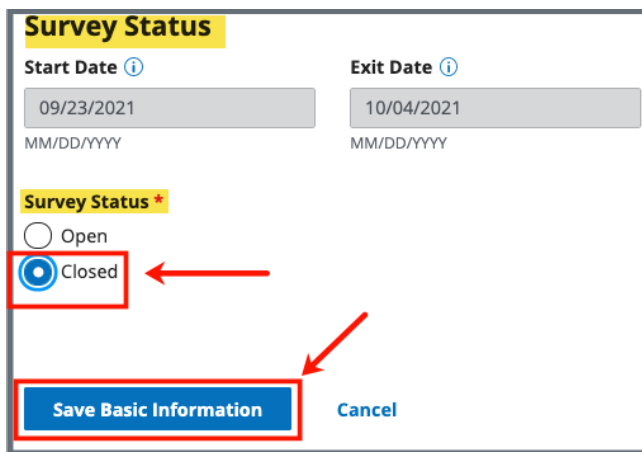
34.9   Click **Download** to download the attachment.

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 342, Survey Status*.

Figure 342: 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 343, Letter Template Format Menu for* a few tips and tricks to help.

Template Menu
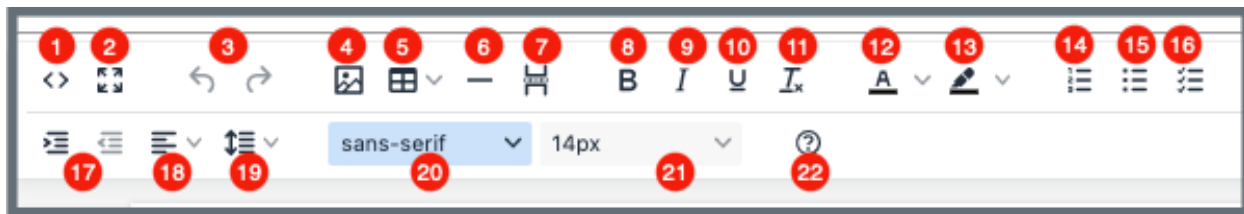
Figure 343: Letter Template Format Menu

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 <u>underline</u>
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 1st 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	