

**Centers for Medicare & Medicaid Services** 

# Internet Quality Improvement & Evaluation System (iQIES)

# Survey and Certification (S&C)

# Health Comparative Survey

**User Manual** 

Version 1.1 July 14, 2025

# **Table of Contents**

1.	Introduction		
	1.1	Getting Started in S&C – Important Information to Know	1
	1.2	iQIES Service Center	4
	1.3	Roles and Permissions	5
2.	Неа	Ith Comparative Overview	6
3.	Add	a Federal Monitoring Survey (FMS)	7
4.	Link a Survey		
	4.1	Link State Survey	9
	4.2	Link Life Safety Code Survey	12
5.	Add	Team Coordinator	14
6.	Complete the Survey Process		
	6.1	Offsite Prep	18
	6.2	Team Meeting: Initial Pool	20
	6.3	Team Meeting: Investigation	23
	6.4	Resident Manager- Initial Pool	27
	6.5	Update Initial Pool Status	29
	6.6	Finalize Sample	31
	6.7	Facility Tasks	33
	6.8	Investigations	34
	6.9	Potential Citations	35

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# List of Figures

Figure 1: Expandable Field	1
Figure 1: Notification Banner	2
Figure 3: Tool Tip Icon	3
Figure 4: Help Icon	5
Figure 5: Create Federal Monitoring Survey from Action Drop-Down Menu	7
Figure 6: Federal Monitoring Survey	8
Figure 7: FMS Details	8
Figure 8: Link State Survey	9
Figure 9: Survey Not Available To Link 10	0
Figure 10: Linked State Survey 10	0
Figure 11: Linked Health Survey Basic Information 12	1
Figure 12: Linked Survey IDs 12	1
Figure 13: Create Life Safety Code Survey 12	2
Figure 14: Linked Health Survey Basic Information 13	3
Figure 15: Linked Survey IDs 13	3
Figure 16: Teams 14	4
Figure 17: Add Teams 1	5
Figure 18: Survey Team Member Successfully Added Popup 1	5
Figure 19: Delete a Team Member 10	6
Figure 20: Deletion Confirmation Popup 10	6
Figure 21: Offsite Prep State Agency Section 18	8
Figure 22: Offsite Active Intakes Section 19	9
Figure 23: Identify LTCSP Areas Pop-Up Window 19	9
Figure 24: Initial Pool Information, part 1 of 2 22	1
Figure 25: Initial Pool Information, part 2 of 2 22	2
Figure 26: Initiate F895 Reminder 23	3

Figure 27: Investigation Information, page 1 of 3	. 24
Figure 28: Investigation Information, page 2 of 3	. 25
Figure 29: Investigation Information, page 3 of 3	. 26
Figure 30: Resident Manager	. 27
Figure 31: Resident Page	. 28
Figure 32: Initial Pool Status	. 29
Figure 33: Initial Pool Status Change	. 29
Figure 34: Initial Pool Status Change with MDS Indicators	. 30
Figure 35: Was the Resident Correctly Included in the Initial Pool?	. 30
Figure 36: Finalize Sample Candidates	. 31
Figure 37: SA Missed Details Pop-Up Window	. 32
Figure 38: SA Team Sampled Residents Green Notification Banner	. 32
Figure 39: SA Team Failure Blue Notification Banner	. 32
Figure 40: Sample Facility Task Page	. 33
Figure 41: Investigations	34
Figure 42: SA Missed Details Pop-Up Window	. 34
Figure 43: Potential Citations	35

# List of Tables

Table 1: Notification Banner Color Descriptions         2
---

# 1. Introduction

This user manual addresses the processes necessary to perform Survey & Certification (S&C) Health Comparative Survey functions in iQIES. It is necessary to be familiar with the <u>LTC Manage a Survey: Nursing Homes User Manual</u> to complete the processes in this manual.

For information on other modules, refer to <u>Reference & Manuals</u> 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 <u>https://iqies.cms.gov/</u> with Health Care Quality Information Systems (HCQIS) Access Roles and Profile (<u>HARP</u>) login credentials. Refer to <u>iQIES Onboarding Guide</u> 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*.

0/255 characters	

Figure 1: Expandable Field

- iQIES times out after 30 minutes of nonuse and reverts to the login page.
  - iQIES remains up and active as long as it is in use.
  - iQIES gives a five-minute warning before timing out.
  - The session resumes at the last accessed page after reauthentication.
  - 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.

If there are surveys that occured prior to the newly selected Cycle starting survey, please verify that these surveys still belong to the enforcement case.

Figure 2: Notification Banner

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.

#### Table 1: Notification Banner Color Descriptions

• 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 only supported browsers for access to iQIES. Be sure to keep your browser updated.

<u>Chrome</u> <u>Edge</u>

## 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 Security Official (SO) for your organization	
Technical Support:	Contact the iQIES Service Center:	
	Phone: 888-477-7876 (select Option 1) Email: <u>iQIES@cms.hhs.gov</u>	
CCSQ Support Central:	Create a new ticket or track an existing ticket: <u>https://cmsqualitysupport.servicenowservices.c</u> <u>om/ccsq_support_central</u>	
Idea Portal:	Feedback for future iQIES software development: <u>CCSQ Support Central</u> . Click Idea Portals and select iQIES Idea Portal.	
More information on iQIES:	Refer to the <u>QIES Technical Support Office</u> (QTSO) and the <u>Quality, Safety, &amp; Education</u> <u>Portal</u> (QSEP). Logging in to HARP may be required before accessing some documentation in QTSO and QSEP.	
	iQIES reference materials include:	
	<ul> <li>Links to Training Videos for providers</li> <li>Assessment Management User Manual</li> <li>Quick Reference Guides</li> <li>Onboarding Guide</li> <li>Managing User Information</li> <li>Other helpful iQIES material</li> </ul>	
	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 Centers for Medicare & Medicaid Services (CMS) General User (CMSGU) role with the capability to view or edit this information.

Permissions are ultimately governed by HARP access privileges. Contact the SO for your organization or the iQIES Service Center for issues relating to access and permissions. Refer to the <u>iQIES User Roles Matrix</u> for detailed information on roles.

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

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Figure 4: Help Icon

# 2. Health Comparative Overview

**Purpose**: A Health Comparative is a full survey conducted by federal surveyors in the same facility, after a standard survey is conducted by the state agency, to monitor and evaluate state agency performance.

#### Notes:

- **FMS Details** link does not appear on the left menu until an FMS has been set.
- Health comparatives must be a Health survey and an FMS survey.
- The health survey must be linked to a state survey
- The health comparative survey must be completed within 60 days of the original survey.
- Survey information from the original survey is populated in the comparative survey, once the surveys are linked.
- This manual focuses on the Health Comparative survey. Other types are:

#### Health

- Resource and Support Survey
- Focused Concern Survey
- o Health Comparative

#### Life Safety Code

- LSC Comparative
- Resource and Support Survey
- o LSC Desk Audit
- LSC Revisit Comparative
- LSC Revisit Resource and Support Survey

# 3. Add a Federal Monitoring Survey (FMS)

#### Notes:

- An FMS can only be created and edited by a CMSGU. A revisit survey with an FMS can be created by the State Agency General User (SAGU).
- Only CMSGUs can add an attachment.
- There must be a linked Health survey.
- The CMSGU can restrict the SAGU from viewing the FMS.
- **3.1** Click Add Survey on the Provider History page. The Survey Basic Information page opens.
  - Note: The FMS can also be added directly from the survey to be linked. Click Create Federal Monitoring Survey under Survey action on the Provider History page in the Survey section. See Figure 5, Create Federal Monitoring Survey from Action Drop-Down Menu.

0%	Survey action -
Create Revisit	
Create Federal Mo	onitoring Survey

*Figure 5: Create Federal Monitoring Survey from Action Drop-Down Menu* 

**3.2** Select Federal Monitoring Survey. See Figure 6, Federal Monitoring Survey.

#### **3.3** Click Save Basic Information.

Basic Information					
Enter the basic information for this survey. To add open intakes choose 'Compla	int' or 'Licensure Complaint' survey category.				
All required fields are marked with an asterisk (*)					
Survey Type *					
O Health					
C Life Safety Code					
Survey Categories *					
Federal Categories	State Categories				
Initial Certification	Initial Licensure				
Recertification (j)	Re-Licensure				
Complaint (i)	Licensure Complaint (i)				
Federal Monitoring Survey					
Focused Infection Control					

Figure 6: Federal Monitoring Survey

- **3.4** Fill out the rest of the information.
- **3.5** Verify that **FMS Details** is now a selection on the left menu. See *Figure 7, FMS Details.*



Figure 7: FMS Details

# 4. Link a Survey

**Purpose**: The health survey must be linked to a state survey prior to starting the comparative process.

It is possible to link health survey to either a state survey or to a life safety code survey. Select the option:

Link State Survey

Link Life Safety Code Survey

- 4.1 Link State Survey
  - 4.1.1 Go to the **Basic Information** page for the survey.
  - 4.1.2 Click **Edit**.
  - 4.1.3 Scroll to **Linked State Survey** section at the bottom of the page. See *Figure 8, Link State Survey*.
  - 4.1.4 Select desired survey.

Linked State Survey *						
Search						
Enter Survey ID, Si	urvey Category, Survey Status,	or Exit Date (MM/DD/YYYY)				
	Survey ID	Survey Category	Survey Status	Exit Date		
<b>O (</b>	1CDF52-H1	Recertification	Writing complete	11/06/2024		
0	1CDF52-L1	Recertification	Writing in progress	11/06/2024		
<b>O (</b>	1DF843-H1	Recertification, Complaint	Statement of Deficiencies sent	11/07/2024		
Save Basic Information Cancel						

Figure 8: Link State Survey

**Note**: Some surveys may not be available to link. Check the Tool Tip next to the survey to see why. See *Figure 9, Survey Not Available To Link.* 

Linked State Su	ırvey *	doub.
Enter Survey ID, Survey Category, Survey Status, or Exit Date (MM/DD/YYYY)		
	Survey ID	Survey Category
This survey will be available after the sample has been finalized.	1F954A-H1	Complaint
	1FCB64-H1	Recertification, Complaint
0 0	201C5A-H1	Recertification

Figure 9: Survey Not Available To Link

Note: If there is an existing linked survey, the linked survey will show in Linked State Survey. Click Edit Linked Survey to change the survey. See Figure 10, Linked State Survey.

Linked State Survey *						
	Survey ID	Survey Category	Survey Status	Exit Date		
0	1CDF52-L1	Recertification	Writing in progress	11/06/2024		
Edit Linked Survey						

Figure 10: Linked State Survey

4.1.5 Click **Save Basic Information** at the bottom of the form. The page returns to **Survey Basic Information**.

4.1.6 Verify the linked survey is correct and fill out the information. Some information is prepopulated. See *Figure 11, Linked State Survey Basic Information*.



Figure 11: Linked Health Survey Basic Information

**Note**: Both the Health and LSC surveys have the same survey prefix ID. The same ID helps locate the surveys. See *Figure 12, Linked Survey IDs.* 

1 - 20 of 80 Surveys	Note: The Land	H show whather t	he survey is a	an ISC (I.)	survey or a Healt	
Sets & Survey ID 💠	Survey Type ÷	Survey Category ‡	Exit Date \$	Status ÷	Linked Survey ‡	Actions
EFC36-L1	Life Safety Code	Recertification		New	EFC36-H1	
EFC36-H1	Health	Recertification		New	EFC36-L1	
EFC0C-H1	Health	Recertification		New	No Linked Survey	Survey action *
EE1E1.H1	Health	Recertification		New	No.Linked Survey	Survey action T

Figure 12: Linked Survey IDs

# 4.2 Link Life Safety Code 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.
  - 4.2.1 Go to the **Provider History** page for the provider.
  - 4.2.2 Click **Create Life Safety Code Survey** under the **Survey** action menu on the survey line. See *Figure 13, Create Life Safety Code Survey*. The **New Survey Basic Information** page opens.

Provider Histo For more information on t	Dry the deficiency history of a p	rovider, view the provider history	report.					
View Provider History	y Report View All Pro	vider Reports						
Add Form -	15							
Form Name 🗄	Status 🗄	Related Survey(s)	Created Date $\div$	Last Upda	ated ÷	Track ID ≑		Actions
CMS-377	in Progress	СС837-Н1 🗹	12/06/2023	12/05/202	3	CC837	0%	Form action -
Recent Survey	s							
Sets & Survey ID 🕴	Survey Type 💠	Survey Category 🗧	Exit Date 🗘	Status 🗄	Linked Survey 🗧	Track ID 🔅		Action
12870A-H1	Health	Recertification		New	No Linked Survey	12870A	0%	Survey action -
122C82-H1	Health	Validation Survey		New	No Linked Survey	122C82	Create Life Sat	ety Code Survey
1202BA-H1	Health	Validation Survey		New	No Linked Survey	1202BA	0%	

Figure 13: Create Life Safety Code Survey

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

4.2.3 Verify the linked survey is correct and fill out the information. Some information is prepopulated. See *Figure 14, Linked Health Survey Basic Information*.

Basic Info Enter the basic in category.	Drmation Information for this surve	ey. To add open intakes choose 'C	Complaint' or 'Licensure Complaint' su	ırvey
All required fields a	are marked with an asteris	k (*)		
Survey Type *	ode			
Survey Cat Federal Categor Initial Certific Recertificatio Complaint ( Focused Infe	cegories * ries cation () on ) ection Control ()		State Categories Initial Licensure Re-Licensure Licensure Complaint (i)	
Linked Hea	alth Survey *			
	Survey ID	Survey Category	Survey Status	Exit Date
0	EFC36-H1	Recertification	New	
Edit Linked S	Survey			

Figure 14: Linked Health Survey Basic Information

- 4.2.4 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 15, Linked Survey IDs.*

- 20 01 60 SURVeys	Note: The L and	H show whether t	he survey is a	an LSC (L)	survey or a Health	(H) survey.
Sets & Survey ID 🕴	Survey Type 💠	Survey Category 🗦	Exit Date ≑	Status ≑	Linked Survey 🗧	Actions
EFC36-L1	Life Safety Code	Recertification		New	EFC36-H1	
EFC36-H1	Health	Recertification		New	EFC36-L1	
EFC0C-H1	Health	Recertification		New	No Linked Survey	Survey action -

Figure 15: Linked Survey IDs

# 5. Add Team Coordinator

There must be a Team Coordinator (TC) in order to make any edits or updates to this survey.

Notes:

- If no TC is selected, then the first staff member on the list is designated TC.
- When a specific role is required to be on the team, an orange warning message appears on the top of the screen. This does not apply to FMS. Click the **X** to remove the notice.
- **5.1** Click **Teams** on the left menu. See *Figure 16, Teams*. The **Teams** window opens.

Home Health Agency Non-Deemed	• A Registered Nurse is required for the Survey Team
Basic Information Responsible Staff Teams	Teams Add and manage the team members for this survey.
Citations Statement of Deficiencies Informal Dispute Resolution Plan of Correction Letters Notes Attachments	There are no team members for this survey. Add Team Members

Figure 16: Teams

5.2 Click Add Team Members to add a new person to the team. The Add Teams window opens. See *Figure 17, Add Teams*.

Add Tean	n QA Team	elected will be designated as team coordinator by default.	
First Name		Last Name	Organization
			Select one
Disciplines			
Select	×		
Search	aff members		
Selected	Name 🗘	Organization $\diamondsuit$	Disciplines
	1, Pat	CMS	

#### Figure 17: Add Teams

**5.3** 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.
- **5.4** Click **Search**. The search results appear below.
- **5.5** Check the box under **Select** next to the correct name.
- **5.6** Click **Save**. A green notification banner appears at the top of the screen, verifying the member was successfully added. See *Figure 18, Survey Team Member Successfully Added Popup*.



Figure 18: Survey Team Member Successfully Added Popup

- **5.7** Click **Delete** under **Actions** to delete a team member. See *Figure 19, Delete a Team Member*. A confirmation pop-up window opens. See *Figure 20, Deletion Confirmation Popup*.
  - Note: The Team Coordinator role cannot be deleted (there must be a Team Coordinator). The Team Coordinator role can be assigned to another team member and then that person can be deleted. The Team Coordinator has a blue circle next to their name.

4 Staff Members					
Team Coordinator	Name 💠	Disciplines	Management Unit	Work Unit	Actions
0	"TEST.2AK- SAGU-VA", Pat	Registered Nurse	None	None	Delete
0	"ajmaines", Pat		None	None	Delete
0	"test2.npeta ", Pat		None	None	Delete
0	"testsasb", Pat	Physical Therapist	NON LONG TERM CARE	HOSPI- TAL UNIT	Delete

Figure 19: Delete a Team Member



Figure 20: Deletion Confirmation Popup

- 5.8 Click Delete.
- **5.9** Verify that the team member is no longer on the list.

# 6. Complete the Survey Process

Complete the survey process. Refer to the <u>LTC Manage a Survey: Nursing Homes</u> <u>User Manual</u> to complete the survey process.

The following pages show specific FMS details for comparative surveys, in addition to the information found in the user manual. Click on any link to go to the section in this manual that clarifies specific comparative details.

Offsite Prep

Team Meeting: Initial Pool

Team Meeting: Investigation

**Resident Manager: Initial Pool** 

Finalize Sample

**Facility Tasks** 

**Investigations** 

Potential Citations

Note: The following areas require no FMS-specific details.

- Entrance Conference
- Investigation Assignments

### 6.1 Offsite Prep

**Purpose**: View information that was entered by the previous survey team.

6.1.1 Go to the **State Agency** section of **Offsite Prep**. See *Figure 21, Offsite Prep State Agency Section*.

Note: The State Agency section is only available for FMS.

Offsite Pr	tion						
<b>Administrator</b> Doohan, Howie (j		<b>P</b> 11	revious Recertifica /07/2024 (j)	tion Survey Date	Last Upd NH_CMS at 11/20/:	<b>ated by</b> GU_Singy, Pat 2024 5:39 PM	
State Agency Did the SA inappr No	opriately exclude an	y offsite selected re	sidents in the initia	al pool?			
<ul> <li>All applicable</li> <li>SA</li> <li>Administrator</li> <li>No Information</li> </ul>	residents were inclue SA Survey Date 2024-11-06	ed Event ID <u>1CDF52-H1</u>	<b>SA Facility Census</b> O	<b>SA Team Size</b> 0	Recommended Team Size O	<b>SA IP Size</b> 0	<b>Target IP Size</b> 0
Is there a concern If yes, please expl	n with the size of the lain.	SA's Initial Pool?					Yes No

Figure 21: Offsite Prep State Agency Section

6.1.2 Click the **Event ID** to view the original survey.

**Note**: The original survey opens in the same window.

6.1.3 Click **Yes** if there are any concerns with the size of the SA's Initial Pool.

**Note**: If yes, type any details into the empty field below.

6.1.4 Scroll down to the Active Intakes section.

Note: Active Intakes is editable for the CMS General User.

6.1.5 Update Resident, if necessary. See Figure 22, Offsite Active Intakes Section.

Active Intakes								+	Add New Resident
2 Active Intakes									
	Intake ID 💠		Allegations	Person(s) A	ffected	Resident	t (ID), Room		
~	Incident 1077102		None	None		Nutt, Haz	el (11) , N-8		
Resident	(ID), Room	Care Areas	Investigations	Facility Tasks	Intake Closed Records	D/C Location	Offsite	in Pool	<u>۲</u>
Nutt,	Hazel (11) , N-8 🗸	Food Hospitalizations Falls	Accidents Food	Dining Observation	None	None		~	Edit
+ Add Ano	ther Resident								
~	Complaint 1078501		None	None		Legge, Pe	eg (12) , F-1		
Resident	(ID), Room	Care Areas	Investigations	Facility Tasks	Intake Closed Records	D/C Location	Offsite	in Pool	<b>\</b>
Legge	e, Peg (12) , F-1 🗸 🗸	Abuse Food Accident Hazards	Abuse	Dining Observation	None	None		~	Edit
+ Add Ano	ther Resident	_							

Figure 22: Offsite Active Intakes Section

6.1.6 Click **Edit** to update any care areas, investigations, facility tasks, or Intake Closed Record, if necessary. The **Identify LTCSP Areas** pop-up window opens. See *Figure 23, Identify LTCSP Areas Pop-Up Window*.

Identify LTCSP Areas		×
Intake ID Complaint 677743	Resident (ID), Room 624 (take 2), SNOOP (40)	
	* indicate	es required field
Care Areas 🥡		
Select all that apply		~
Investigations (j)		
Abuse X Select all that apply		x   ~
Assigned Surveyor		
test2.csbunker2	~	
Facility Tasks (j)		
Kitchen X Select all that apply		$\times  $ $\vee$
Intake Closed Record (j)		
Select		~
Description		
Update Resident's Closed Record	d to Intake Closed Record (j)	
	Cancel	Save

Figure 23: Identify LTCSP Areas Pop-Up Window

6.1.7 Click Save to save changes.

### 6.2 Team Meeting: 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.
- Only the TC can update the text entry fields in Team Meeting.
- Surveyors can use the Initial Pool area in <u>Resident Manager</u> 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.
- 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 24, Initial Pool Information, part 1 of 2,* and *Figure 25, Initial Pool Information, part 2 of 2.* 

Team Meeting				
Initial Pool	Investigation			
If the SA discharged any of	their offsite selected resid	dents, the names and discharge loca	tion will be listed below.	
<ul> <li>No applicable residents</li> </ul>				
If the SA failed to include a	ny offsite selected residen	t in their initial pool, excluding any	ffsite selected resident who was discharged, the names will be	listed below.
<ul> <li>All applicable residents</li> </ul>	were included	· · · · · · · · · · · · · · · · · · ·	<b>--</b>	
Review the list below and e	nsure at least one of the S	A's residents were included in the S	IG team's initial pool for dialysis, hospice, ventilator and smokin	g, and three of the SA's
	-based precautions, it appl	icable.		
1:1 Thore are no applicable	regidents colocted			
There are no applicable	residents selected.			
U There are no applicable	residents selected.			
Confirm the residents liste	d are in the RO's initial poo	I. If a resident is listed who shouldn	t be in the initial pool, change the IP indicator to No or unassign	your name from the resident or
(j) There are no applicable Confirm the residents liste the Resident Manager scre Surveyor	residents selected. d are in the RO's initial poo en. For any unassigned res	I. If a resident is listed who shouldn ident who was also in the SA's initia Resident(s) ≑	t be in the initial pool, change the IP indicator to No or unassign pool, you must complete any unassigned resident or discharge SA :	your name from the resident or them.
Confirm the residents liste the Resident Manager scre Surveyor	residents selected. d are in the RO's initial poo en. For any unassigned res	I. If a resident is listed who shouldn ident who was also in the SA's initia Resident(s) \$	t be in the initial pool, change the IP indicator to No or unassign pool, you must complete any unassigned resident or discharge SA \$	your name from the resident or them.
Confirm the residents liste the Resident Manager scre Surveyor	residents selected. d are in the RO's initial poo en. For any unassigned res	il. If a resident is listed who shouldn ident who was also in the SA's initia Resident(s) \$ • Booke, Rita ( • Dover, Eileen	t be in the initial pool, change the IP indicator to No or unassign pool, you must complete any unassigned resident or discharge SA ‡ 2)	your name from the resident or them.
(j) There are no applicable Confirm the residents liste the Resident Manager scre Surveyor \$ NH_CMSGU_Singy	residents selected. d are in the RO's initial poo en. For any unassigned res	I. If a resident is listed who shouldn ident who was also in the SA's initia Resident(s) \$ • Booke, Rita ( • Dover, Eileen • Cade, Barry ( • Foldes, Bill (	t be in the initial pool, change the IP indicator to No or unassign pool, you must complete any unassigned resident or discharge SA \$ 2)	your name from the resident or them.
Confirm the residents liste the Resident Manager scre Surveyor \$ NH_CMSGU_Singy	residents selected. d are in the RO's initial poo en. For any unassigned res	I. If a resident is listed who shouldn ident who was also in the SA's initia Resident(s) \$ • Booke, Rita (' • Dover, Eileen • Cade, Barry ( • Foldes, Bill (4 • Pitts, Cheri (f	t be in the initial pool, change the IP indicator to No or unassign pool, you must complete any unassigned resident or discharge SA \$	your name from the resident or them.
(j) There are no applicable Confirm the residents liste the Resident Manager scre Surveyor \$ NH_CMSGU_Singy	residents selected. d are in the RO's initial poo en. For any unassigned res	II. If a resident is listed who shouldn ident who was also in the SA's initia Resident(s) ¢ • Booke, Rita ( • Dover, Eileen • Cade, Barry • Foldes, Bill (4 • Pitts, Cheri (5	t be in the initial pool, change the IP indicator to No or unassign pool, you must complete any unassigned resident or discharge SA ‡ 2)	your name from the resident or them.
There are no applicable     Confirm the residents liste     the Resident Manager scre     Surveyor      NH_CMSGU_Singy	residents selected. d are in the RO's initial poo en. For any unassigned res	I. If a resident is listed who shouldn ident who was also in the SA's initia Resident(s) \$ • Booke, Rita ( • Dover, Eileen • Cade, Barry • Foldes, Bill ( • Pitts, Cheri (s	t be in the initial pool, change the IP indicator to No or unassign pool, you must complete any unassigned resident or discharge SA \$ 2)	your name from the resident or them.
(j) There are no applicable Confirm the residents liste the Resident Manager scre Surveyor \$ NH_CMSGU_Singy How much work does each Surveyor \$	residents selected. d are in the RO's initial poo en. For any unassigned res	I. If a resident is listed who shouldn ident who was also in the SA's initia Resident(s) ¢ · Booke, Rita (' · Dover, Eileen · Cade, Barry ( · Pitts, Cheri (! Pitts, Cheri (! Resident(s) ¢	t be in the initial pool, change the IP indicator to No or unassign pool, you must complete any unassigned resident or discharge SA ‡	your name from the resident or them.
There are no applicable     There are no applicable     Confirm the residents liste     the Resident Manager scre     Surveyor      NH_CMSGU_Singy     How much work does each     Surveyor	residents selected. d are in the RO's initial poo en. For any unassigned res RO surveyor have left to do	A. If a resident is listed who shouldn ident who was also in the SA's initia Resident(s) ¢ · Booke, Rita ( · Dover, Eileen · Cade, Barry · Foldes, Bill ( · Pitts, Cheri (s) Resident(s) ¢ · Booke, Rita (1)	t be in the initial pool, change the IP indicator to No or unassign pool, you must complete any unassigned resident or discharge SA ( 2) ) Task	your name from the resident or them.
There are no applicable     Confirm the residents liste the Resident Manager scre Surveyor NH_CMSGU_Singy How much work does each Surveyor	residents selected. d are in the RO's initial poo en. For any unassigned res RO surveyor have left to do	Al. If a resident is listed who shouldn ident who was also in the SA's initia Resident(s) ¢ • Booke, Rita (1) • Booke, Rita (1) • Dover, Eileen (2)	t be in the initial pool, change the IP indicator to No or unassign pool, you must complete any unassigned resident or discharge SA ( 2) ) Task Task - Unfinished RRI, RI, RR, RO - Unfinished RRI, RI, RR, RO	your name from the resident on them.
<ul> <li>There are no applicable</li> <li>Confirm the residents liste the Resident Manager scre</li> <li>Surveyor \$</li> <li>NH_CMSGU_Singy</li> <li>How much work does each</li> <li>Surveyor \$</li> <li>NH_CMSGU_Singy</li> </ul>	residents selected. d are in the RO's initial poo en. For any unassigned res	A. If a resident is listed who shouldn ident who was also in the SA's initia Resident(s) ¢ · Booke, Rita ( · Cade, Barry · Foldes, Bill (A · Pitts, Cheri (S · · · · · · · · · · · · ·	t be in the initial pool, change the IP indicator to No or unassign pool, you must complete any unassigned resident or discharge SA ( 2) ) ) Task Task - Unfinished RRI, RI, RR, RO - Unfinished RRI, RI, RR, RO - Unfinished RRI, RI, RR, RO	your name from the resident on them.

Figure 24: Initial Pool Information, part 1 of 2

Any harm or IJ concerns for the RO team?
(i) No applicable residents
Dienlay number of SA and DO completed DDI /family interviewe
RO/RRI Family Interviews 0
(i) No applicable residents
SA/RRI Family Interviews 0
(i) No applicable residents
If the SA did not complete at least three RRI/family interviews, was it feasible for the SA to have completed at least three RRI/family interviews (e.g., the RO team was able to complete the minimum with interviewees who visit daily)?
What is the status and participant information for complaint and EPI residents?
Device the list of initial neal concerns and ensure the team discusses notential staffing concerns
Review die nsconinitial poor concerns and ensure the team discusses potential staming concerns.
(j) No applicable results

Figure 25: Initial Pool Information, part 2 of 2

### 6.3 Team Meeting: Investigation

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

Notes:

- Only the TC can update the text entry fields in Team Meeting.
- Only active **Facility Tasks**, **Investigations**, or **Potential Citations** are shown. Once a task is complete, it no longer shows on the page.
- 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 <u>Offsite Prep</u> page answered **Yes.**
- Select Yes to the last question: Are there concern(s) regarding unethical, criminal, civil or administrative violations of the Social Security Act by the facility? when there are concerns. A pop-up window opens to remind the TC to initiate the F895. See Figure 26, Initiate F895 Reminder.

Initiate F895	×
Initiate F895 Compliance and Ethics for the Facility. Refer to the regulations and interpretive guidance to investigate the concern.	
Close	•

Figure 26: Initiate F895 Reminder

Click the **Investigation** tab to view **Investigations**. See Figure 27, Investigation Information, page 1 of 3, Figure 28, Investigation Information, page 2 of 3, and Figure 29, Investigation Information, page 3 of 3.

Team Meeting
Did the SA include complaints/FRIs in the sample appropriately? Yes. No. If not, explain.
Did the SA appropriately include residents in the sample to cover abuse, dialysis, hospice and ventilator as appropriate? Yes, No. No
Areas not sampled by SA with FI or NI marked:          ✓       All Residents were included in the SA Sample.
Based on the initial pool concerns identified by the SA, should the SA have included any other residents in the sample excluding the areas covered above for dialysis, hospice, etc.? Yes, No. If so, explain
No results entered for this question
Are there newly identified harm or IJ concerns?
Does the sample need to be expanded to rule out SQC?

Figure 27: Investigation Information, page 1 of 3

What is the status and pertinent information for complaint and FRI residents?							
What pertinent findings does each surveyor have	(ensure you review and address all prior reported concerr	rs)?					
How much work does each surveyor have left to c	omplete?						
Surveyor 🔶	Resident(s) 💠	Investigation					
NH_CMSGU_Singy	Facility, Facility (0)	Accidents					
FACILITY TASKS							
Beneficiary Notification     Diving Observation							
Environment							
Infection Control     Kitchen							
Medication Administration							
Medication Storage and Labeling     OAPL and OAA							
Resident Council							
Sufficient and Competent Nurse Staffing							
Display number of SA and RO completed RRI/fami RO/RRI Family Interviews 0	y interviews.						
(i) No applicable residents							
SA/RRI Family Interviews 0							
(i) No applicable residents							

Figure 28: Investigation Information, page 2 of 3

o you need to adjust the workload?	
	_
re there concerns that are indicative of a system failure? Do you have enough information to validate that?	
	_/_
eview the list of investigation concerns and ensure the team is discussing potential staffing concerns.	
No applicable results	
re there concern(s) regarding unethical, criminal, civil or administrative violations of the Social Security Act by the facility?	
Yes No	
	_/_

Figure 29: Investigation Information, page 3 of 3

## 6.4 Resident Manager- Initial Pool

#### Notes:

- The Resident Manager page has two additional columns: SA? and RRI?
- **SA Initial Pool** residents are residents that were selected by the original survey team. These residents are shown in the **SA** column.
- Resident Representative Interview Information or the **RRI?** column. Click **Yes** and a pop-up window opens with the resident's RRI information.
- The default filter is **SA Initial Pool Residents**.
  - 6.4.1 Click **Resident Manager** on the drop-down left menu under Initial Pool. The **Resident Manager** window opens with **All Residents** and **My Residents** tabs. See *Figure 30, Resident Manager*.

Resident Manager													
All Resi	idents 5	My Reside	nts 💿									+ Add	New Resident
Q Sear	Q Search Residents Filter By ✓ All SA Initial Pool Residents												
IP \$	<b>SA?</b> \$	Resident 💠	Room \$	MDS Indicators	BIMS \$	RI RO	RR	RRI? \$	Admit Date 💠	Surveyor	All Current :	Sample Resi	dents
	SA	Booke, Rita (1) New Admission	B-52				-		09/01/2024	NH_CMSGU_Si	Discharged		
	SA	Cade, Barry (3) New Admission	C-44				-	<u>Yes</u>	09/01/2024	NH_CMSGU_Si	New Admiss Offsite Sele	ilon cted	
	SA	Dover, Eileen (2) New Admission					-		06/01/2024	NH_CMSGU_Sing	y (P)	~	Actions -
	SA	Foldes, Bill (4) New Admission	5				-		09/04/2024	NH_CMSGU_Sing	y (P)	~	Actions -
•	SA	Pitts, Cheri (5) New Admission	B-66				-		08/01/2024	NH_CMSGU_Sing	y (P)	~	Actions -

Figure 30: Resident Manager

6.4.2 Click resident name to review. The **Resident** page opens. See *Figure 31, Resident Page*.

#### Notes:

- An additional question is shown when **Further Investigation** (FI) is selected.
- Select Further Investigation in the care area for a resident and a Missed FI badge is shown throughout the process (Investigations, Finalize Sample, Potential Citations).

Booke, Rita (1) New Admission Initial Pool Room Admit Date BIMS Complaints MDS Indicators	Interview Status		Include in sample due to	
¥ B-52 09/01/24	Interviewable	· ·	None 🗸	Weight Calculator
Interview Observation Record Review				Completed
Q Search Care Areas Hide All Probes Show Only N	4y Notes Sort: AZ	L <sup>⊐</sup> Expand All	- <sup>L</sup> Collapse Completed	≡ Jump to Care Area
∨ () Choices				Add Notes
INTERVIEW     O Further Investigation     No Issues/NA				
Concern present at SA survey exit (11/06/2024)? Yes No				

Figure 31: Resident Page

## 6.5 Update Initial Pool Status

- 6.5.1 Click Initial Pool status to change the initial pool status for a resident. See *Figure 32, 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 32: Initial Pool Status

6.5.2 Select the radio button next to the correct response. See *Figure 33, Initial Pool Status Change.* 

Booke, Rita (1	)	×
Initial Pool Would you like to incl	ude this resident in the Initial Pool?	
VY Yes		
🕗 N No		
Maybe		
🔵 🔲 Unknown		
	Cancel	Save

Figure 33: Initial Pool Status Change

**Note**: Offsite-selected residents show MDS indicators. See *Figure 34, Initial Pool Status Change with MDS Indicators.* 

MUELLER, AIMEE (1)	×
MDS Indicators Dialysis, Hospice, Trach, Wt loss, Vent, Maj Infection	
Initial Pool Would you like to include this resident in the Initial	I Pool?
V Yes	
	<u> </u>
	Cancel Save

Figure 34: Initial Pool Status Change with MDS Indicators

- 6.5.3 Click **Save**. Another pop-up window opens. See *Figure 35, Was the Resident Correctly Included in the Initial Pool?* 
  - Note: Select Yes to Should the SA have included [resident] in the initial pool and an SA Missed badge is shown throughout the process (Investigations, Finalize Sample, Potential Citations).

← Booke, Rita (1)	×
Should the SA have included <b>Booke, Rita (1)</b> in the initial pool?	Yes No
*Rationale	
Enter Rationale Here	
	Cancel Save

Figure 35: Was the Resident Correctly Included in the Initial Pool?

- 6.5.4 Answer the question and fill out the rationale.
- 6.5.5 Click **Save**.
- 6.5.6 Verify the initial pool status was updated.

## 6.6 Finalize Sample

#### Notes:

- The Finalize Sample page has two additional columns: SA IP? and SA Sample.
- **SA IP** residents are residents that were selected by the original survey team. These residents are shown in the **SA** column.
- **The SA Sample** column shows residents that were in the original survey's finalized sample.
  - 6.6.1 Click **Finalize Sample** on the drop-down left menu under **Initial Pool**. The **Finalize Sample** window opens to the Cu**rrent Sample Candidates** tab. See *Figure 36, Finalize Sample Candidates*.

Finalize Sample							
All Residents 5 Current Sample C	andidates 2 Final Sample 0	Start Sample Finalization Finalize Sample					
Q Search Residents	Expand All	SA Facility Census 5 0/5 Target Sample Size	\rea				
Sample Resident 💠	SA IP? ≑ SA Sample Room ≑ #CAs ≑ Offsite ≑	Unnec ÷ Sys † IJ/Harm † Intake † IP Meds (j) * Selected * Surveyor <sup>†</sup>					
> Booke, Rita (1)	B-52 3	NH_CMSGU _Singy Actions	1-				
INCLUDE CARE AREA IN INVESTIGATION Y Choices A Missed FI Y Activities TASK Y Abuse A Missed FI							

Figure 36: Finalize Sample Candidates

6.6.2 Click **SA Missed** to view the **SA Missed Details**. The **SA Missed Details** pop-up window opens. See *Figure 37, SA Missed Details Pop-Up Window*.

Note: SA Missed is selected on the **<u>Resident Manager page</u>**.

SA Missed Details	×
SHould have been included in IP	
Close	9

Figure 37: SA Missed Details Pop-Up Window

6.6.3 Verify that there is a green notification banner that states the SA team sampled residents from all required areas. See *Figure 38, SA Team Sampled Residents Green Notification Banner* 



Figure 38: SA Team Sampled Residents Green Notification Banner

**Note**: A blue notification banner indicates that there was a failure in the SA team. See *Figure 39, SA Team Failure Blue Notification Banner.* 

SA Team failed to sample residents in the following area(s): Dialysis



# 6.7 Facility Tasks

- The Facility Tasks page has one additional column: SA?. See Figure 40, Sample Facility Task Page.
- **SA** residents are residents that were selected by the original survey team. These residents are shown in the **SA** column.

← Dining Observation									
Residents 5	Use/Instructions	Drawing Tool		Use Pathway PDF					
m resident requirement for	this task.			×					
otes Room 🔶	Admit Date 💠	SA? 🔶 Originating	j Initial Pool Area Added By 💠						
B-52	09/01/2024	SA	Initiated by NH_CMSGU_Singy	Ċ.					
C-44	09/01/2024	SA	Initiated by NH_CMSGU_Singy	Û					
	06/01/2024	SA	Added by SA	â					
5	09/04/2024	SA	Initiated by NH_CMSGU_Singy	û					
B-66	08/01/2024	SA	Initiated by NH_CMSGU_Singy	Û					
	Residents Resident requirement for otes Room B-52 C-44 5 B-66	Residents       Use/Instructions         In resident requirement for this task.         Intesident requirement for this task.	Residents       Use/Instructions       Drawing Tool         In resident requirement for this task.       Image: Construction of the second of	Residents       Use/Instructions       Drawing Tool         In resident requirement for this task.       Initiated By 00/01/2024       SA7 0 Originating Initial Pool Area       Added By 0         B-52       09/01/2024       SA       Initiated by NH_CMSGU_Singy         C-44       09/01/2024       SA       Added by SA         06/01/2024       SA       Initiated by NH_CMSGU_Singy         5       09/04/2024       SA       Initiated by NH_CMSGU_Singy         B-66       08/01/2024       SA       Initiated by NH_CMSGU_Singy					

Figure 40: Sample Facility Task Page

### 6.8 Investigations

6.8.1 Click **Investigations** on the left menu on the drop-down left menu under **Investigation**. The **Investigations** window opens. See *Figure 41, Investigations*.

Investigation	s							
							+ Add New Invest	igations
All Investigations 14	My Investigations 4							
Group Investigations By	Resident ~						Hide Completed	Investigation
Resident ‡	Investigative Area	Admit Date	Room 🛊	BIMS ‡	Assigned To	Inv. Reason	Potential Citations	
ARMSTRONG, BILLY (8)	O <u>Death</u>	05/24/2024	60186752	13	~	Selected for Closed Record Review	-	8
COLE, LINDA (16)	<ul> <li>Dental</li> <li>Missed FI</li> </ul>	05/24/2024	60186760	13	Impl2.CMScs V	Dental	<u>F0790</u>	ŧ
A Missed	<ul> <li>Food</li> <li>Missed FI</li> </ul>				Impl2.CMScs V	Food	F0804	8
A SA Missed	Unnecessary Meds, Psychotropic Meds, and Med Regimen Review				v	Selected for Unnecessary Medications Review	-	ê
<u>GRIFFITH, ORLA (1)</u>	Choices	05/24/2024	60186764	13	Impl2.CMScs V	Choices	F0561	8

Figure 41: Investigations

6.8.2 Click **SA Missed** to view the **SA Missed Details**. The **SA Missed Details** pop-up window opens. See *Figure 42, SA Missed Details Pop-Up Window*.



Figure 42: SA Missed Details Pop-Up Window

6.8.3 Review for missed information.

## 6.9 Potential Citations

Click **Potential Citations** on the left menu to view **Potential Citations**. See *Figure 43, Potential Citations*.

Note: Click SA to view SA Missed Details.

Potential Citat	ions						Create Citations
All Citations	Cited 1	Not Cited 1	Undeclared 2				oreate ortations
Self-Determination 🦲	Cited F F0561					Declaration *	🕑 Cite 🔘 Don't Cite
© F0561 Cited Self-Determination Max Severity 2 Missed FI Citation Ready	S/S* <u>Select</u> C	Vitation Categories *	,			Residents/Fac	illity * IRLA (1) ~
© F0600 Undeclared Free from Abuse and Neglect Max Seventy 3	Opening State	ement $ ightarrow$ B I $\Psi$ 2 · of residents sampled: of residents cited:	✓ Rubik ✓ 12pt	× 🖽 H	i <b>e</b> O		
© F0790 © Not Cited Routine/Emergency Dental Srvcs in SNFs Max Seventy 3 Missed FI SA	Potential Cita GRIFFITH, OR IMPL2.CMSCS	tion Documentation LA (1) 5, PAT - CHOICES (SELECTED	,				<i>A</i>

Figure 43: Potential Citations