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 1.6

June 15, 2026

Table of Contents

List of Figures

List of Tables

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*.

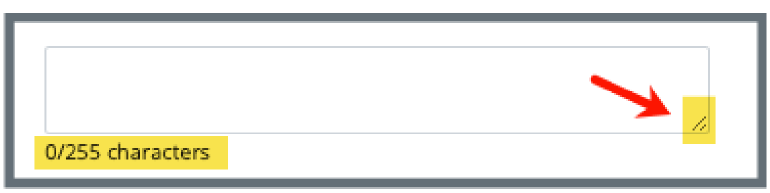


Figure 1: Expandable Field

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

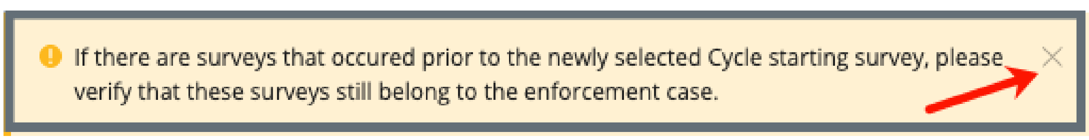


Figure 2: Notification Banner

Table 1: Notification Banner Color Descriptions

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

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

Figure 3: Tool Tip Icon

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

[Chrome]
[Edge]

1.2 iQIES Service Center

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

Assistance Accessing iQIES:	Contact the iQIES SO for your organization
Technical Support:	Contact the iQIES Service Center: **Phone**: 888-477-7876 (select Option 1) **Email**: iQIES@cms.hhs.gov
Idea Portal:	Feedback for future iQIES software development: CCSQ Support Central. Click **Idea Portals** and select **iQIES Idea Portal**.
More information on iQIES:	Refer to the QIES Technical Support Office (QTSO) and the Quality, Safety, & Education Portal (QSEP). Logging in to HARP may be required before accessing some documentation in QTSO and QSEP. iQIES reference materials include: • Links to Training Videos for providers • Assessment Management User Manual • Quick Reference Guides • Onboarding Guide • Managing User Information • Other helpful iQIES material iQIES training materials on QSEP include S&C Foundation Series Videos.

1.3 Roles and Permissions

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

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

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

Figure 4: Help Icon

1.4 My Tasks Landing Page

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

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

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

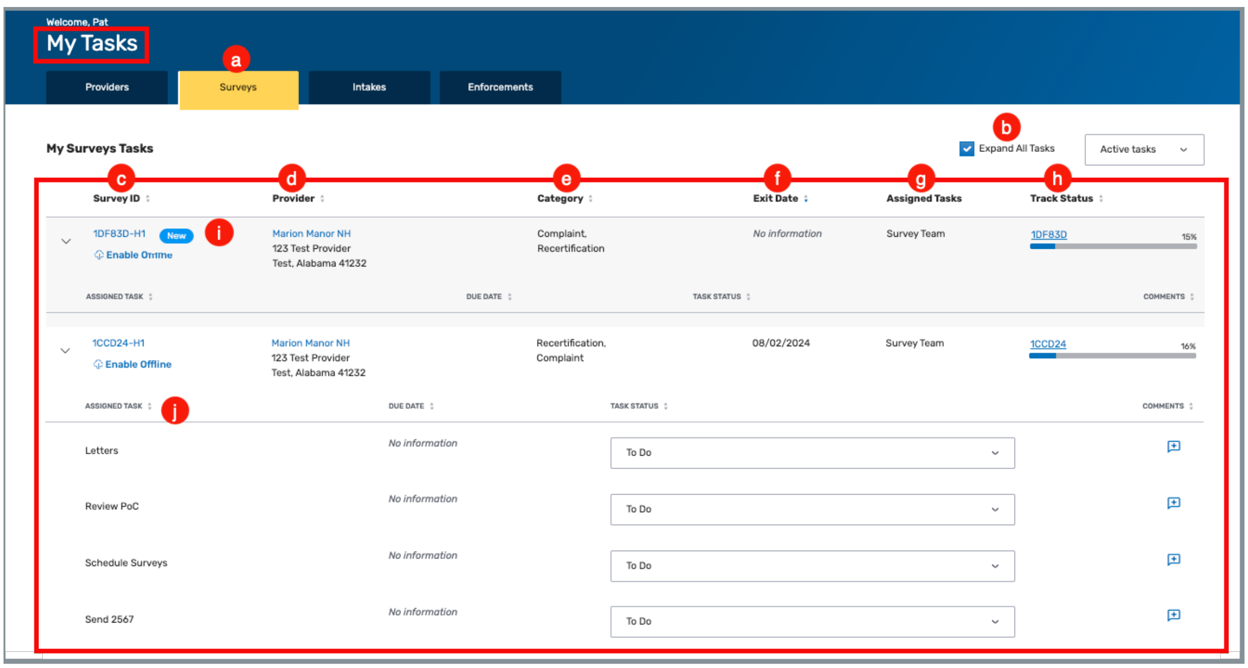


Figure 5: My Tasks Landing Page

Table 2: My Tasks Landing Page Detailed Callout

No.	Name	Description
a	**Survey** tab	Click each tab (**Providers**, **Surveys**, **Intakes**) to review the respective tasks. Not all tabs are available in all user roles. Click **Enable Offline** to enable the survey offline. For more details on how to enable offline, refer to S&C User Manual: Offline.
b	**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 step 1.4.2. below.
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 Certification Event 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. See **Task Detail**.

1.4.2 Click **My Tasks** under **Survey & Certification** on the top menu to access **My Tasks** at any time. See *Figure 6, My Tasks Login*. **My Tasks** landing page opens.

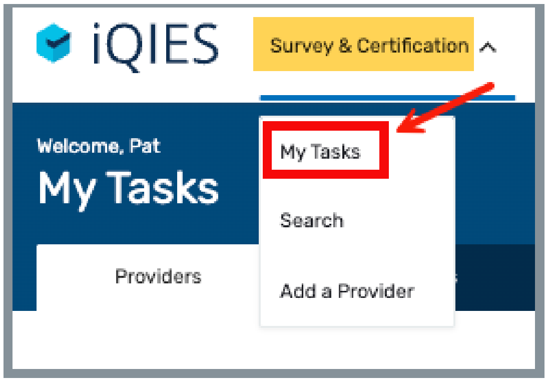


Figure 6: My Tasks Login

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 7, iQIES Logo*.

Figure 7: iQIES Logo

- If there are no tasks, then a message appears below the selected tab. See *Figure 8, No Active Tasks*, for an example from the **Surveys** tab.

Figure 8: No Active Tasks

1.4.3 **Task Detail**: Tasks are shown by default. See *Figure 9, Task Status Details* and *Table 3, Task Status Details Detailed Callout*.

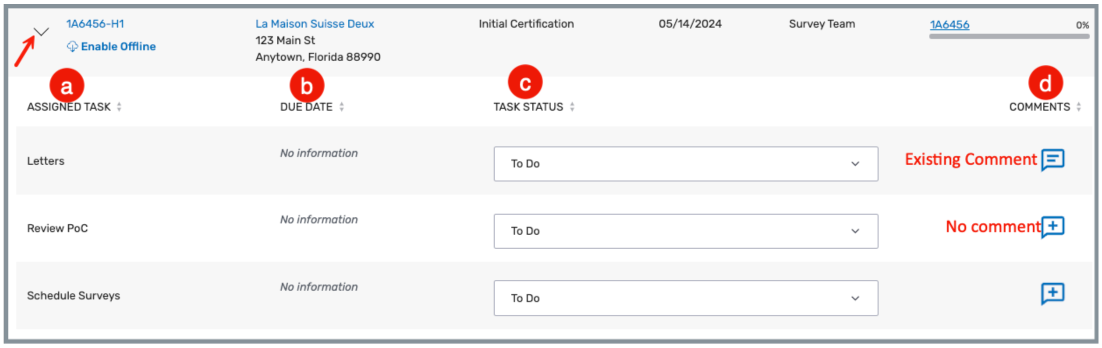


Figure 9: Task Status Details

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.

1.4.4 **Comments:** Click the **+** to leave a comment. The side menu opens. See *Figure 10, My Tasks Comments.*

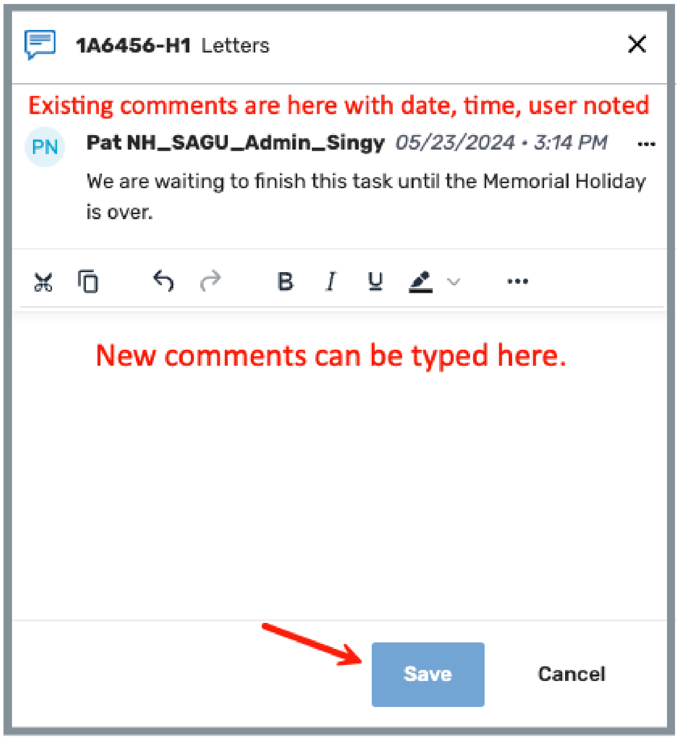


Figure 10: My Tasks Comments

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

2. Manage a Survey Overview

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

Important Note: This manual provides technical instruction on system functionality and does not replace CMS policy. Refer to official CMS guidance for policy requirements.

Note: Both Risk-Based Surveys and non-LTCSP surveys have their own user manuals. Refer to QTSO for these manuals.

Limited information from surveys from all states can be viewed, but findings, intakes, notes, attachments, and letters cannot be viewed. The State Agency Survey Admin user role can view the Intake Triage page and close intakes.

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 11, Survey Data Information Section*.

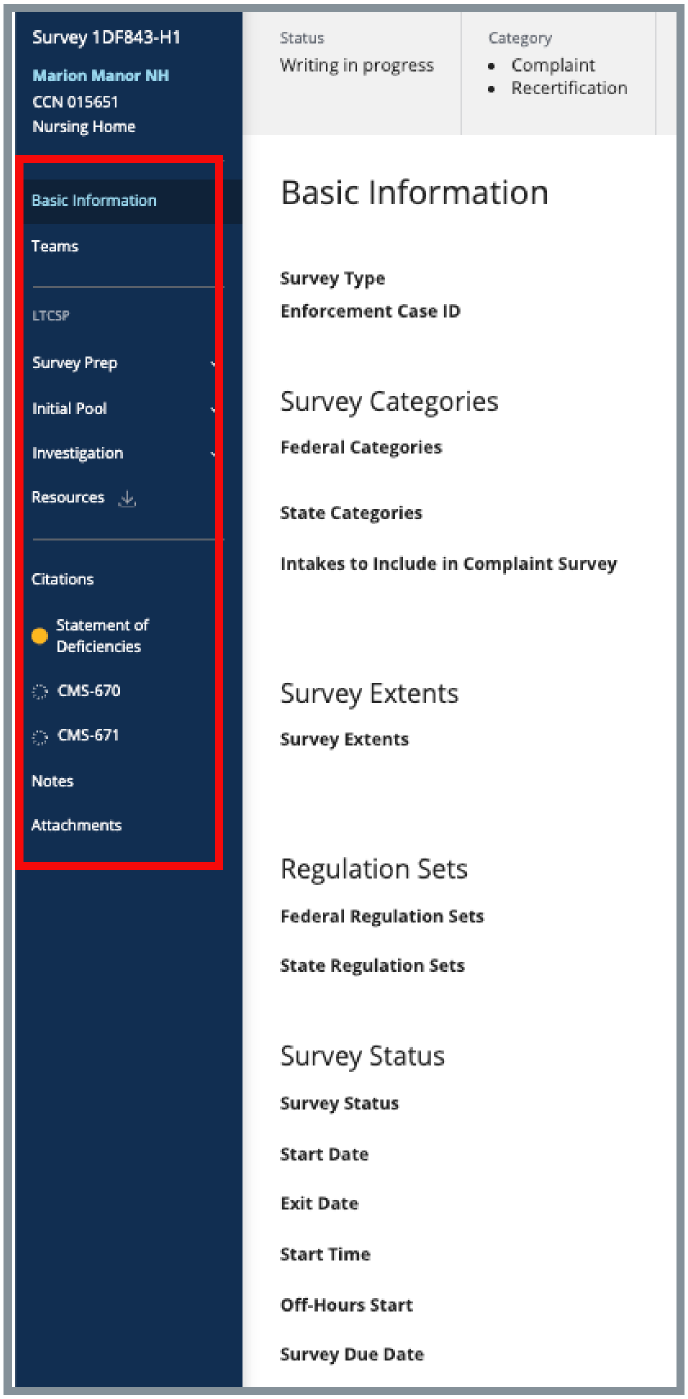


Figure 11: Survey Data Information Section

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.

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.

Notes:

- Federal surveys (Health and LSC) require a corresponding linked survey before the survey can be closed.
- State surveys do not require a linked health or LSC 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 12, Add Survey*. The **Basic Information** page opens.

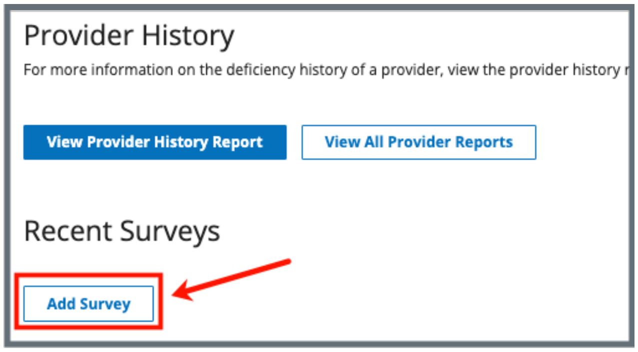


Figure 12: Add Survey

3.1.3 Select **Health**. See *Figure 13, Health Survey Type.*

Note: **Life Safety Code** is disabled when it cannot be selected.

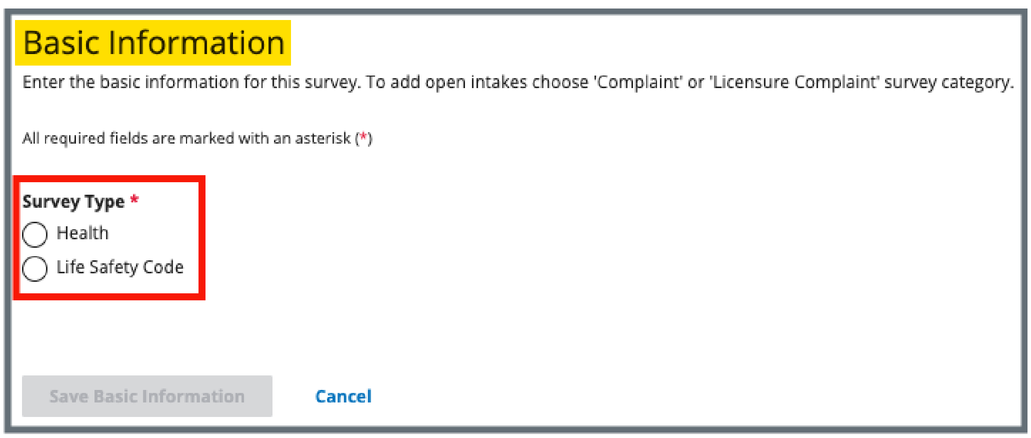


Figure 13: Health Survey Type

3.1.4 Fill out the information. See *Figure 14, New Survey Basic Information.*

Notes:

- **Federal Categories** include **Other-Fed**. Selection of **Other-Fed** enables the **Operational Verification** subcategory. **Other-Fed** can be selected in conjunction with other federal categories.
- **State Categories** include **Other-State**, which is not functional at the time of this writing.
- 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.

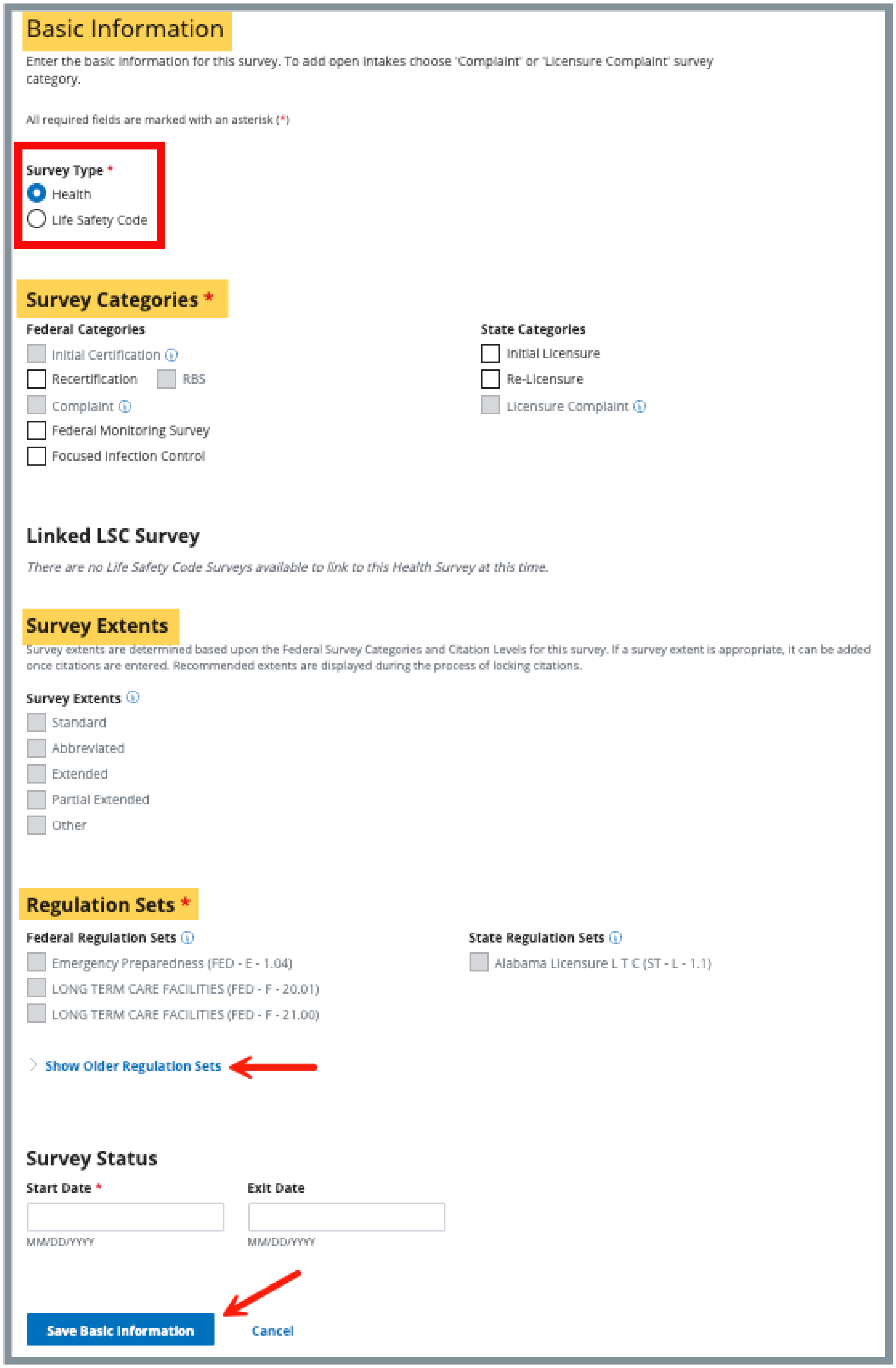


Figure 14: New Survey Basic Information

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 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 15, Health Survey ID Explanation*. Subsequent numbers represent revisit surveys. For example, the first revisit survey has the same prefix, but it is followed by **H2**. Each subsequent revisit health survey will have a number increase. See Create a Revisit Survey for further information about revisit surveys.

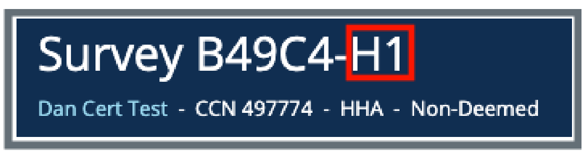


Figure 15: Health Survey ID Explanation

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 6:00AM, after 5:00PM 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 16, Survey Status.*

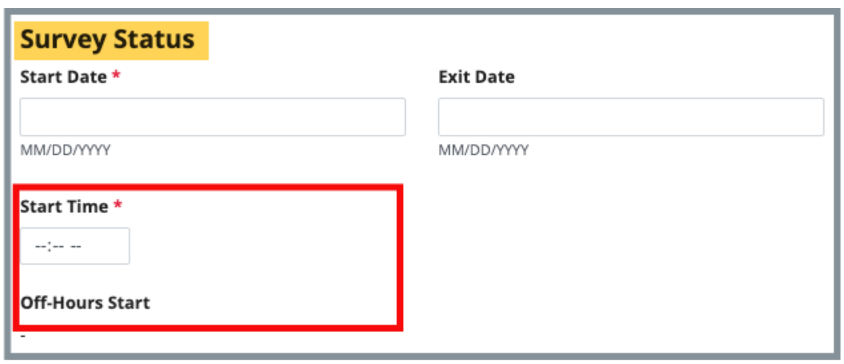


Figure 16: Survey Status

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 (6:00AM to 5:00PM local time), **Off-Hours Start** automatically populates to **No**. See *Figure 17, Off-Hours Start is No.*

Figure 17: Off-Hours Start is No

b. When the start time is after business hours (prior to 6:00AM and after 5:00PM local time, holidays, or weekends), **Off-Hours Start** automatically populates to **Yes**. See *Figure 18, Off-Hours Start is Yes.*

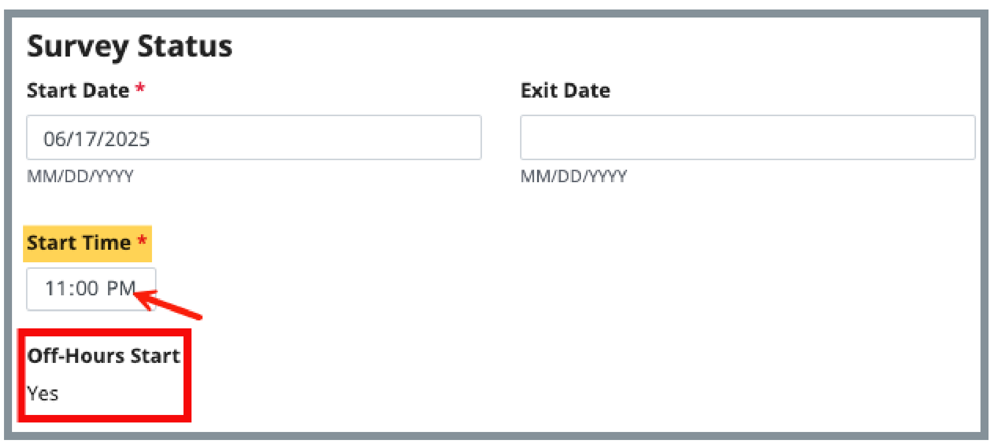


Figure 18: Off-Hours Start is Yes

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).
- An LSC survey can be linked to a health survey either during survey creation or after the survey is created.
    - Select a survey under **Linked Health Survey** to link an LSC survey to a health survey during the LSC survey creation.
    - Follow Link a Health Survey and an LSC Survey steps to link the surveys after an LSC has been created.

3.3.1 Click **Add Survey** on the **Provider History** page. See *Figure 19, Add Survey*. The **Basic Information** page opens.

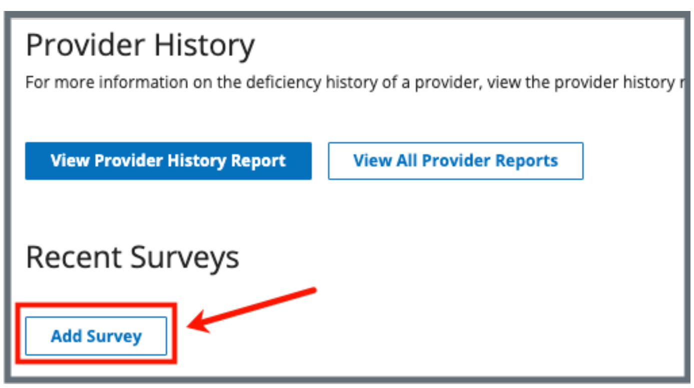


Figure 19: Add Survey

3.3.2 Select **Survey Type**. See *Figure 20, Survey Type.*

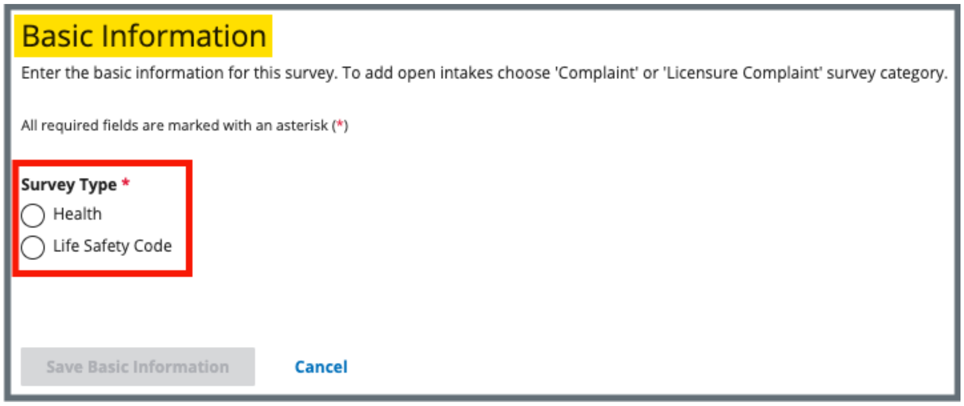


Figure 20: Survey Type

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 21, LSC Survey ID Explanation*.

Figure 21: 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.
- 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.
- A linked survey cannot be unlinked.

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

3.4.2 Click **Link Survey** under the **Survey action** menu on the survey line. See *Figure 22, Link Survey.* The **Link Survey** page opens.

Notes:

- The linked survey shows in the **Linked Survey** column if there is an existing linked survey.
- Only open, linkable surveys are displayed.

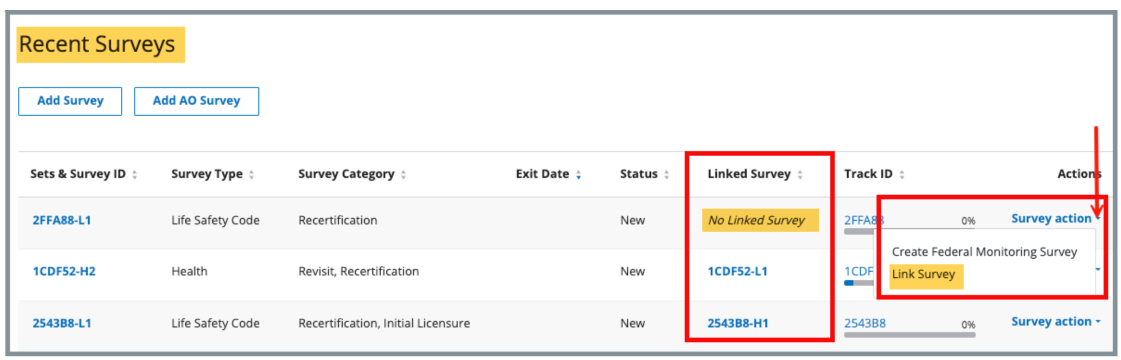


Figure 22: Link Survey

3.4.3 Select the radio button next to the correct survey to link. See *Figure 23, Link a Health Survey.*

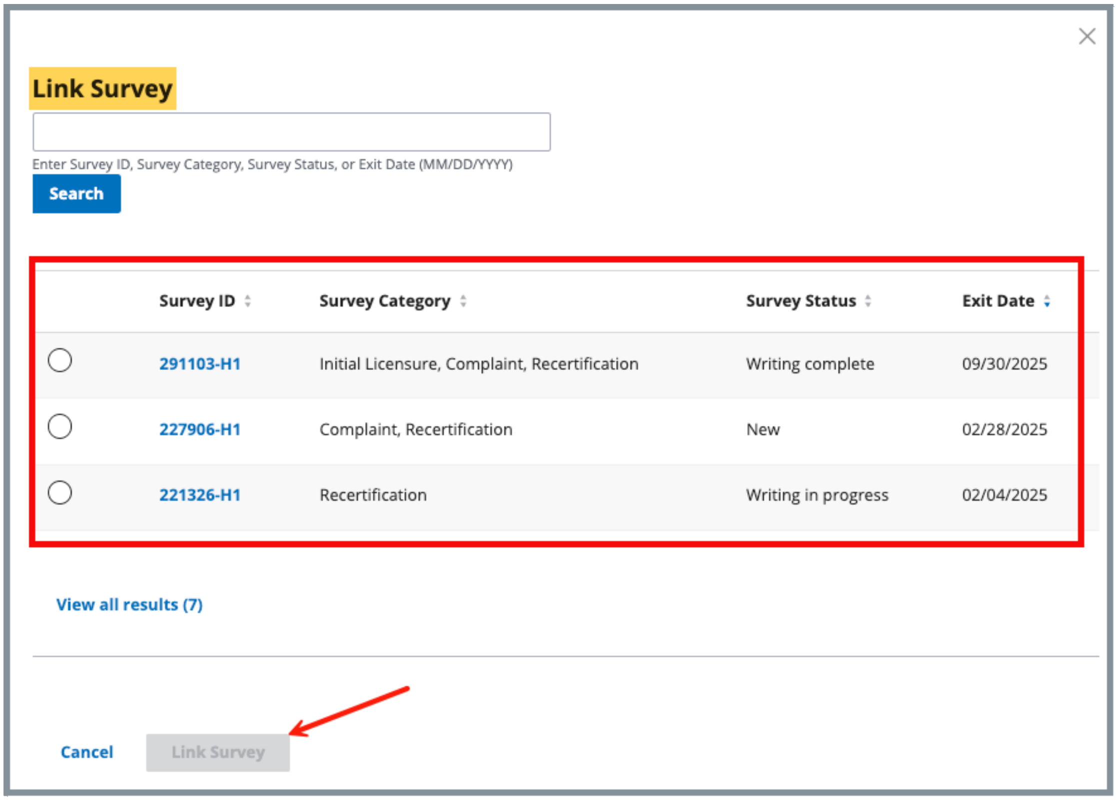


Figure 23: Link a Health Survey

3.4.4 Click **Link Survey**. A second, separate **Link Survey** pop-up window opens. See *Figure 24, Verify Linked Survey.*

Note: The **Link Survey** button is disabled until a selection is made.

3.4.5 Verify the correct survey is linked.

Notes:

- Surveys cannot be unlinked once linked.
- Click **Edit Linked Survey** to select a different survey to link.

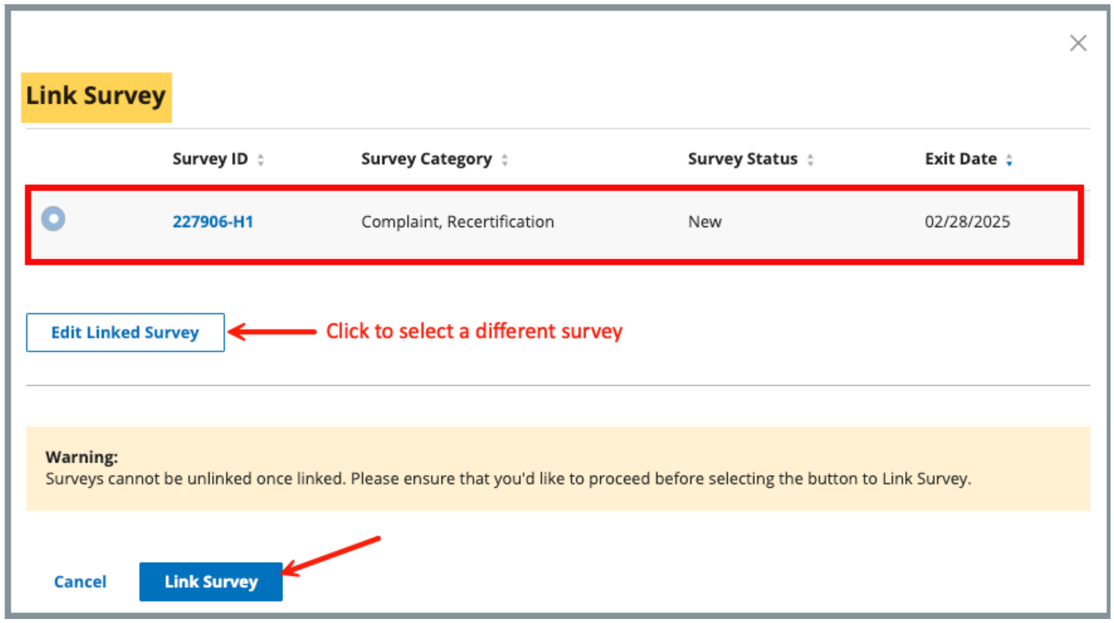


Figure 24: Verify Linked Survey

3.4.6 Click **Link Survey**. The **Provider History** page re-opens and the survey is now linked. See *Figure 25, Verify Linked Survey.*

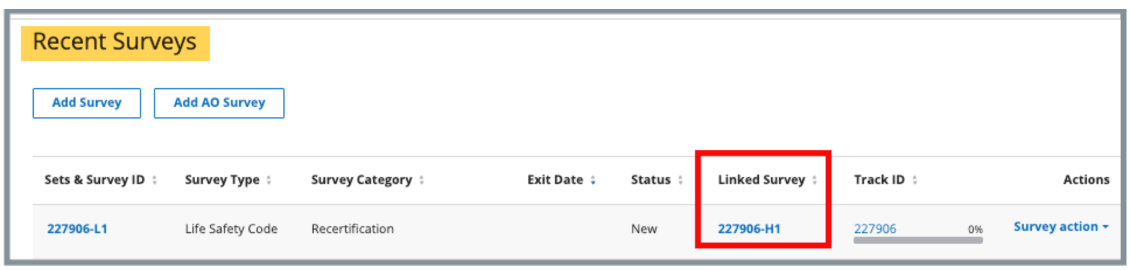


Figure 25: Verify Linked Survey

Note: Both the Health (**H**) and LSC (**L**) surveys have the same survey prefix ID. The same ID helps locate the surveys. See *Figure 26, Linked Survey IDs.*

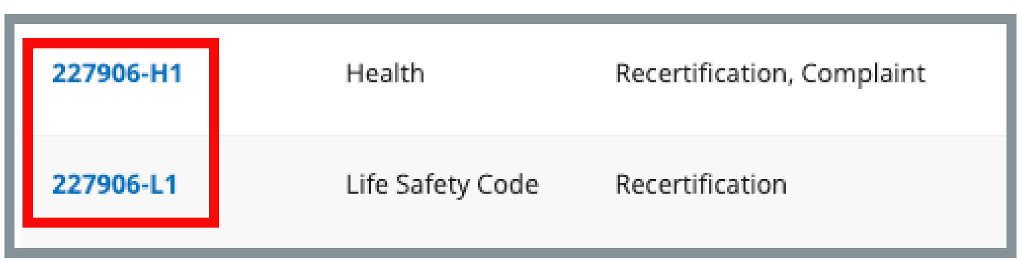


Figure 26: Linked Survey IDs

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 SAGU is restricted from viewing the FMS as a default. The CMSGU can make the FMS available for the state to view. See Make FMS Available for State Viewing.
- Review **FMS Details** for an overview of FMS details.

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 27, Federal Monitoring Survey.*

3.5.3 Fill out the rest of the information.

3.5.4 Click **Save Basic Information.**

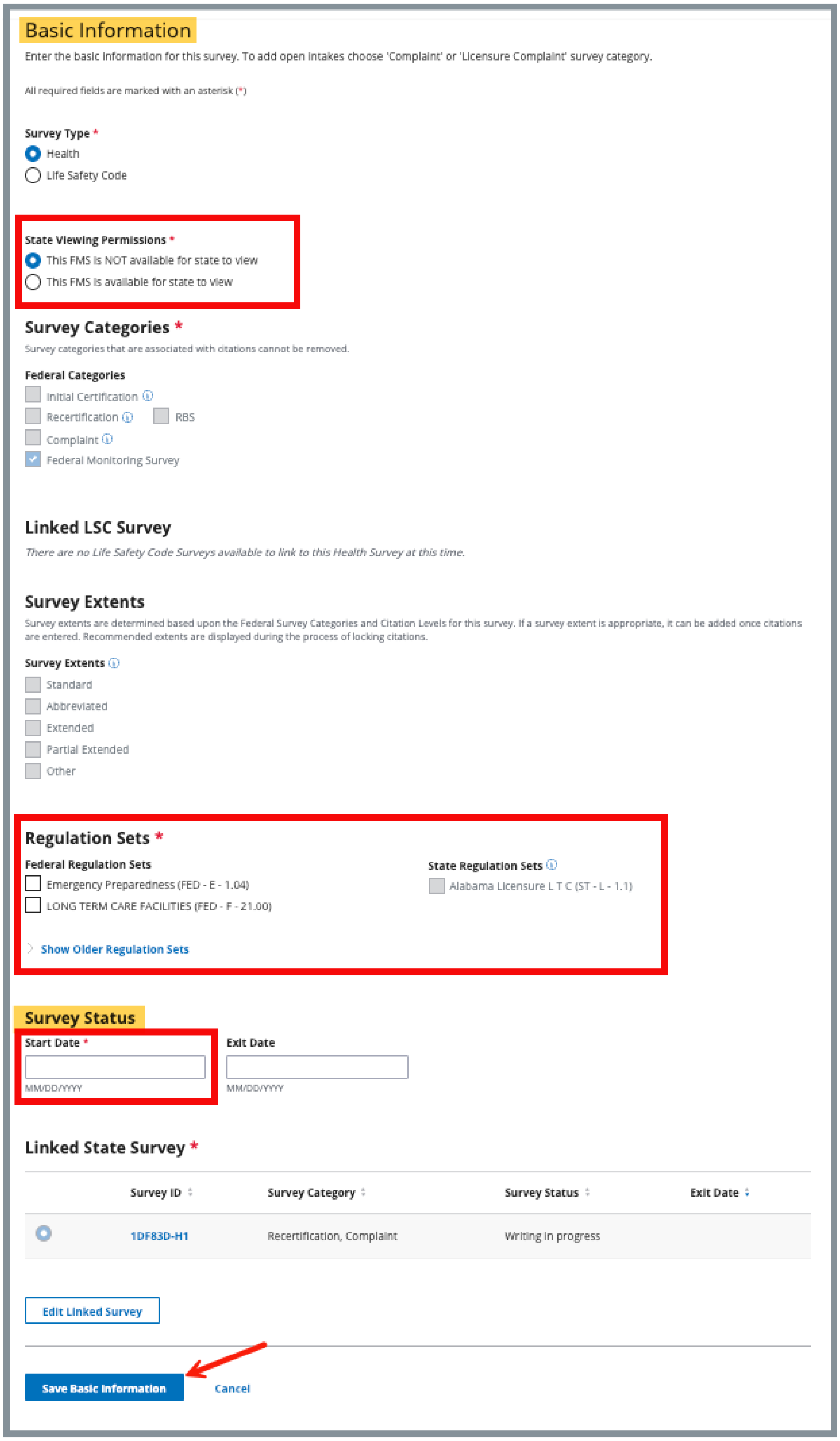


Figure 27: Federal Monitoring Survey Basic Information Page

3.6 Make FMS Available for State Viewing

3.6.1 Go to the **Basic Information** page for the survey.

3.6.2 Click **Edit**. The editable sections of the **Basic Information** page open. See *Figure 28, State Viewing Permissions.* For more information on editing the **Basic Information** page, go to Basic Information.

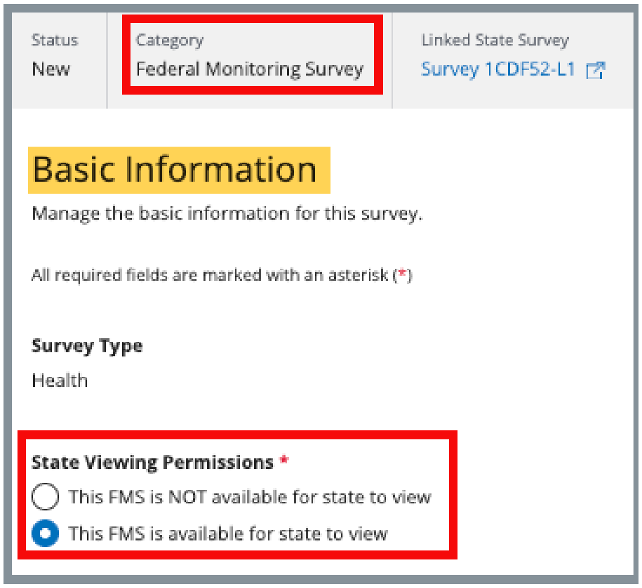


Figure 28: State Viewing Permissions

3.6.3 Update **State Viewing Permissions**.

3.6.4 Click **Save Basic Information**.

4. Delete a Survey

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

Notes:

- Only the State Agency Admin and Survey Admin user roles can delete a survey.
- Once a survey is deleted, it cannot be reinstated.
- Surveys cannot be deleted under the following conditions:
    - When a survey has citations
    - When a survey has an IDR
    - When a survey has a POC
    - When a survey has CMS-670 time entered

      Note: To remove time from the CMS-670, follow instructions in the Manage a Form User Manual on QTSO.
    - If the survey is associated with:
        - A revisit
        - An FMS
        - An enforcement
    - There may be other circumstances when a survey cannot be deleted without additional actions. Pay attention to the red notification banners. The banners explain what the issue is and show a link as to where to go to resolve the specific condition, if possible.
- Contact the iQIES Service Center if there is an enforcement attached to the survey.
- Surveys 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.**
- Contact the [iQIES Service Desk]() to request the deletion of a survey created by CMS staff. 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 29, Delete a Survey*. The **Delete survey?** pop-up window opens.

Figure 29: Delete a Survey

Note: When a survey cannot be deleted, a red notification explains the reason why. See *Figure 30, Survey Cannot Be Deleted.* Click the link in the notification to review the specific citation or enforcement.

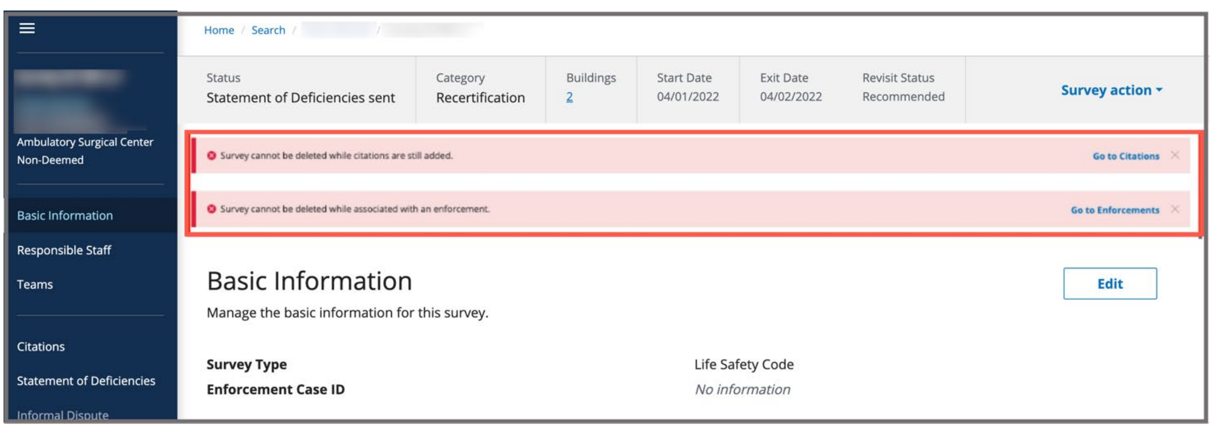


Figure 30: Survey Cannot Be Deleted

4.2 Click **Yes, delete**. See *Figure 31, Delete Survey? Pop-up Window*. The survey is deleted.

Figure 31: 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 32, Edit Button*. See *Figure 33, Basic Information Edit Screen*.

Note: The system assigns the **Survey Due Date** based on the oldest linked intake due date.

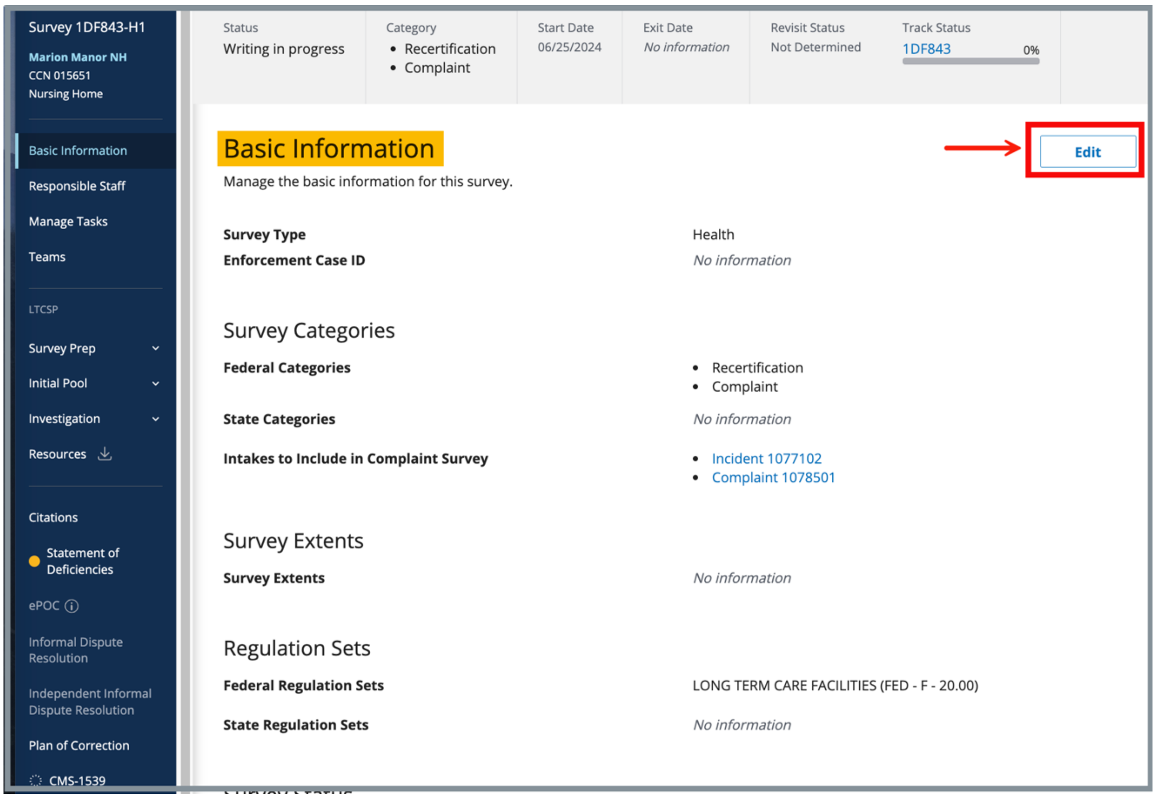


Figure 32: Edit Button

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

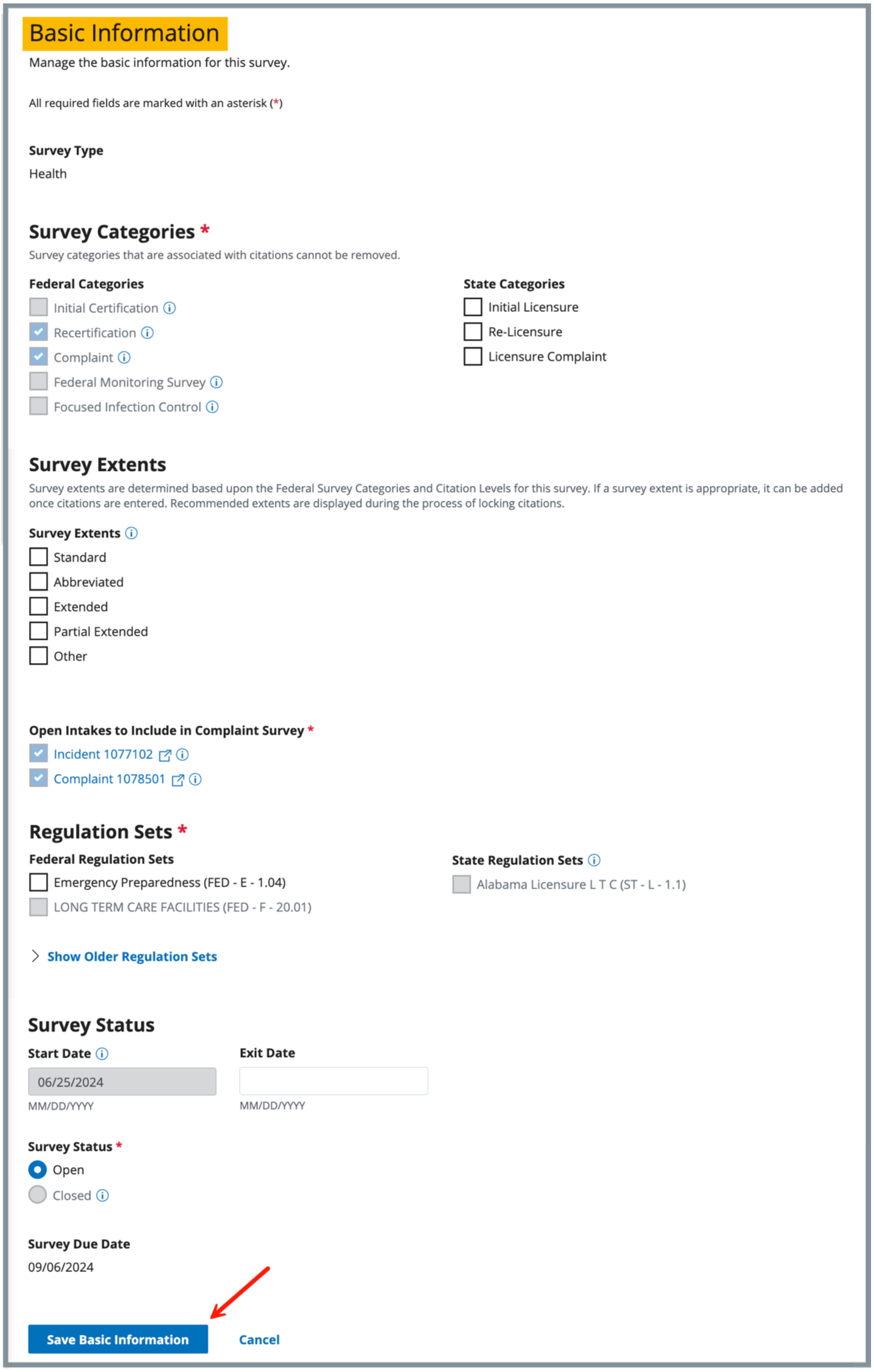


Figure 33: Basic Information Edit Screen

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 do not see this item on the left menu.

6.1 Click **Responsible Staff** on the left menu. The **Responsible Staff** screen opens. See *Figure 34, Add Responsible Staff*.

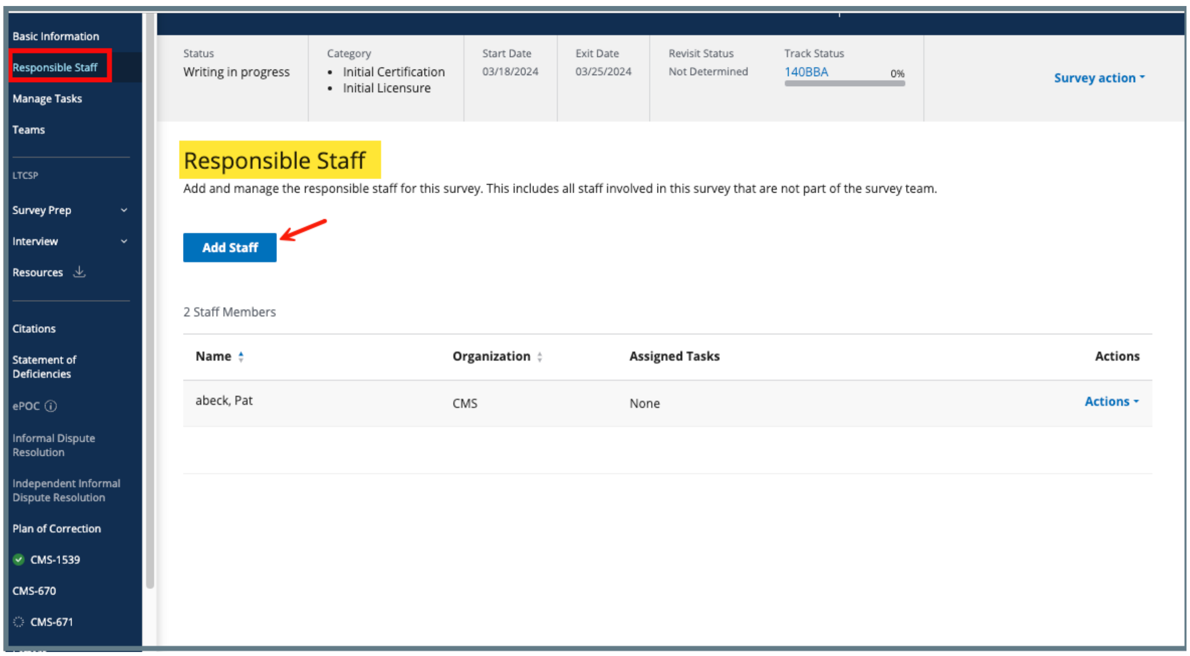


Figure 34: Add Responsible Staff

6.2 Click **Add Staff**. The **Add Responsible Staff** screen opens. See *Figure 35, Add Responsible Staff Screen.*

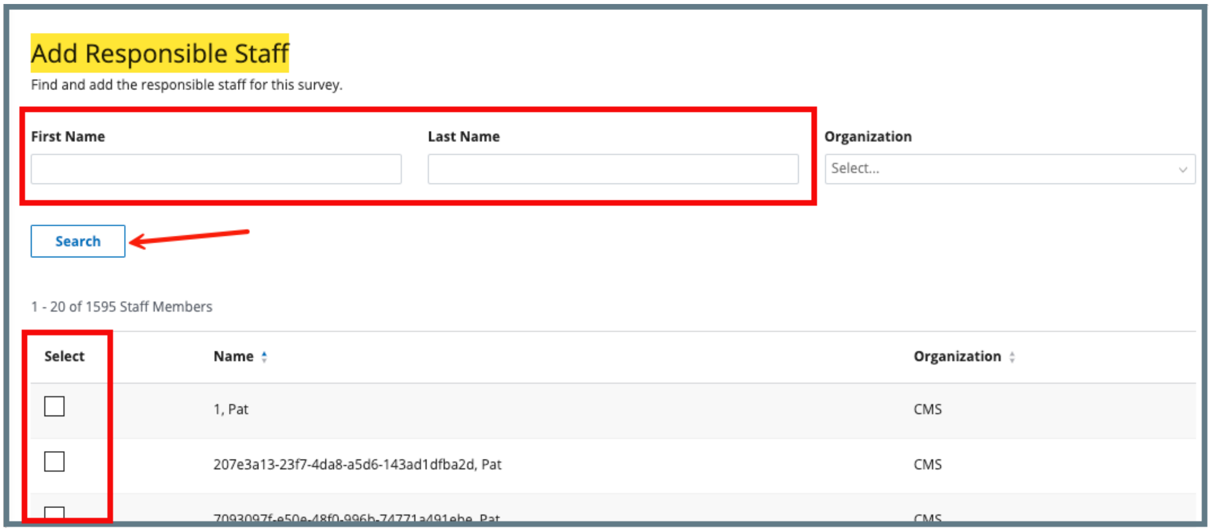


Figure 35: Add Responsible Staff Screen

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 36, Verify Responsible Staff*.

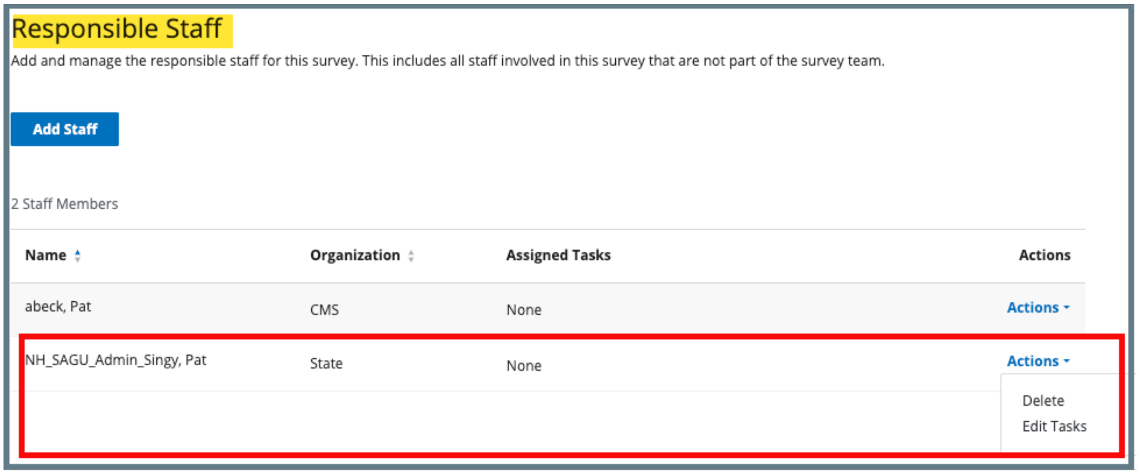


Figure 36: Verify Responsible Staff

6.7 Click **Edit Tasks** under the **Actions** menu to add or remove tasks for Responsible Staff. The Edit Tasks window opens. See *Figure 37, Edit a Responsible Staff*.

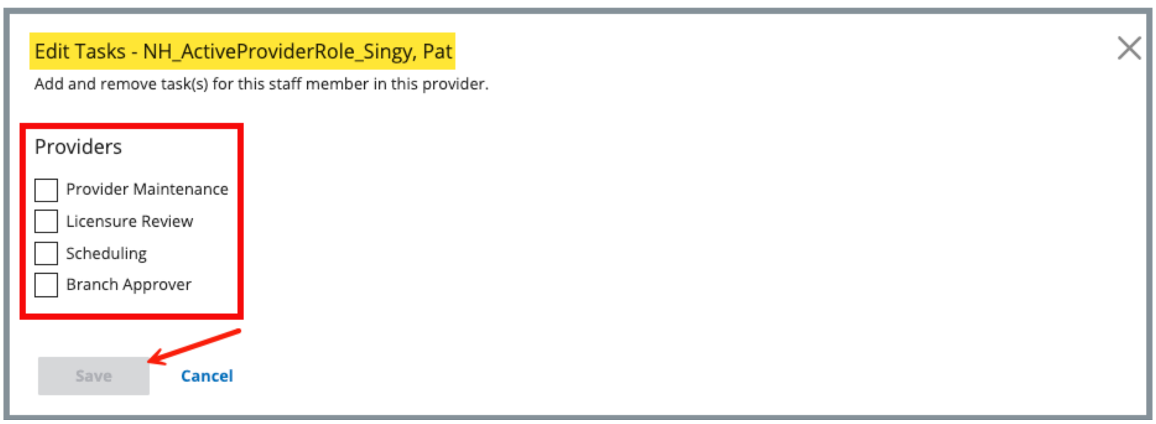


Figure 37: Edit a Responsible Staff

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 38, Delete a Responsible Staff*.

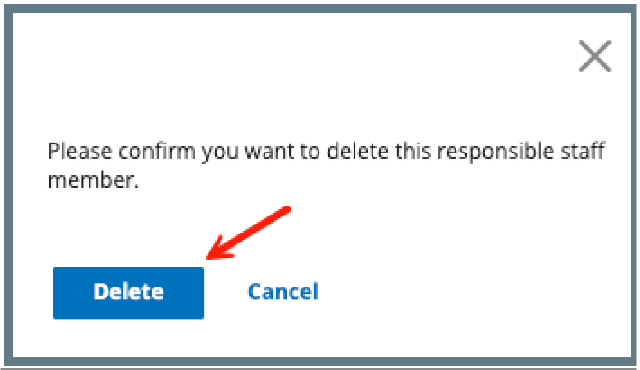


Figure 38: Delete a Responsible Staff

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 39, Manage Tasks.* See *Table 4, Manage Tasks Detailed Callout.*

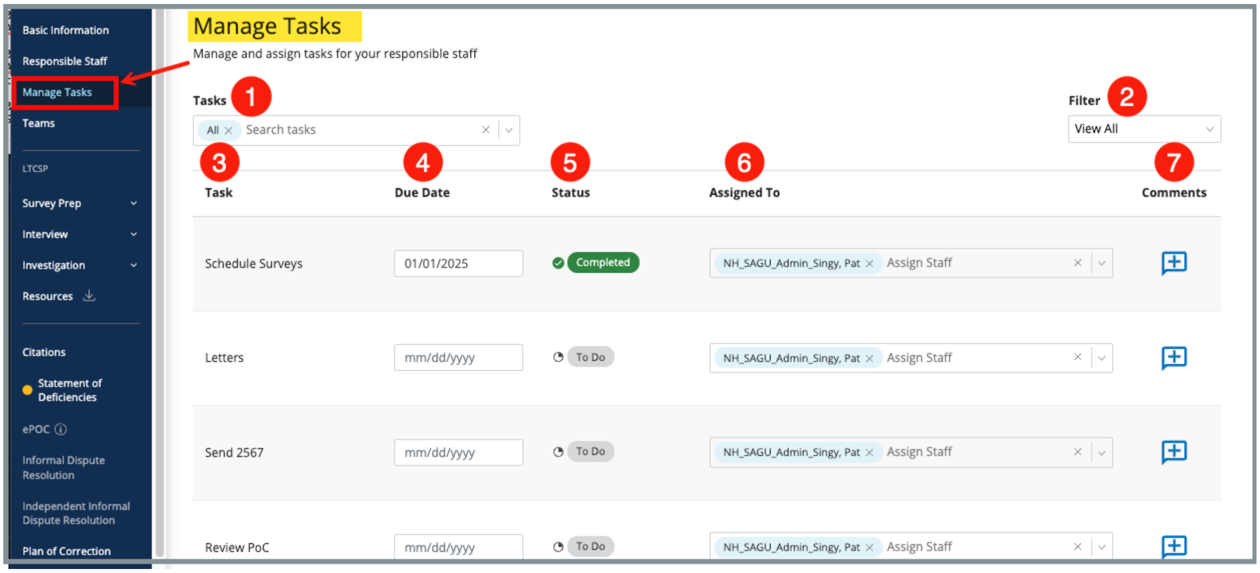


Figure 39: Manage Tasks

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 40, Teams*. The **Teams** window opens.

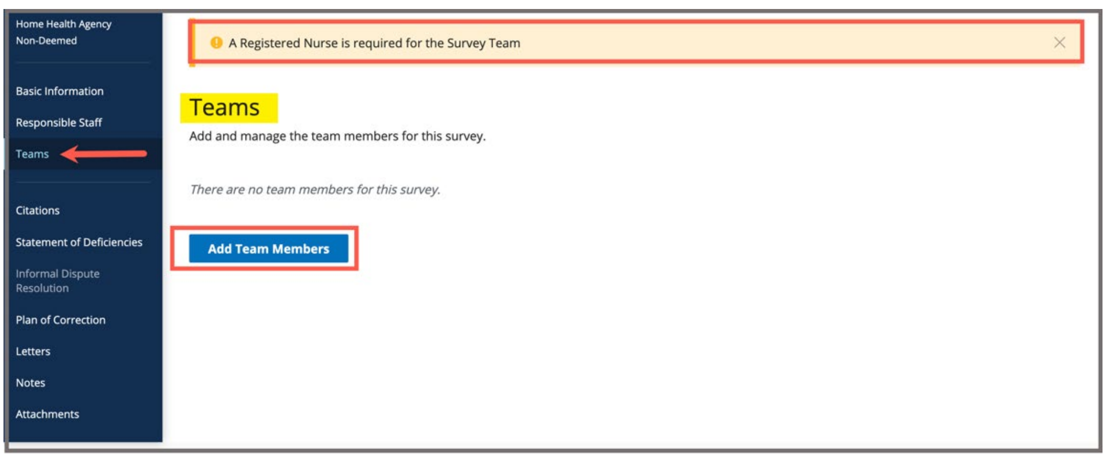


Figure 40: Teams

8.2 Click **Add Team Members** to add a new person to the team. The **Add Teams** window opens. See *Figure 41, 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.

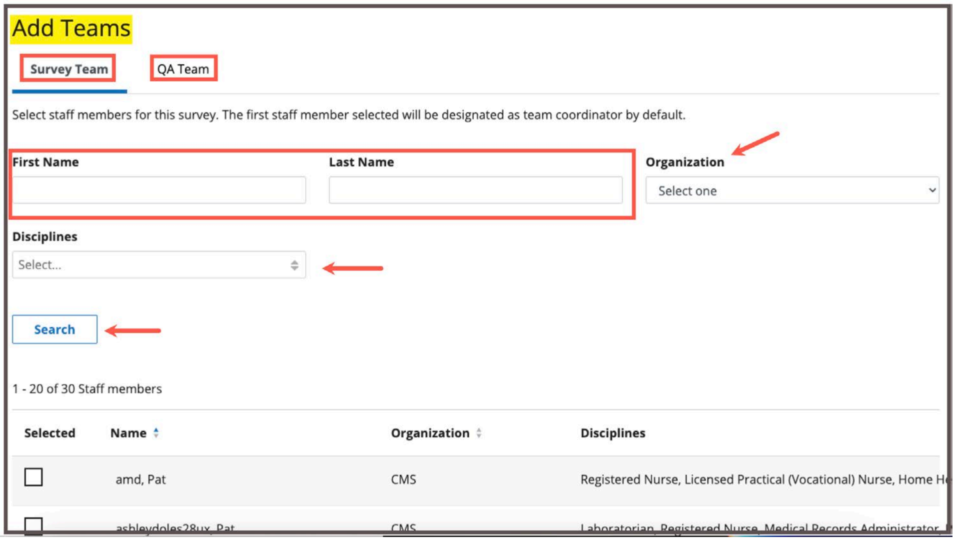


Figure 41: Add Teams

- QA Team members must have a team function. Click the team member, then choose from the drop-down menu under **Team Function**. See *Figure 42, Add a QA Member*.

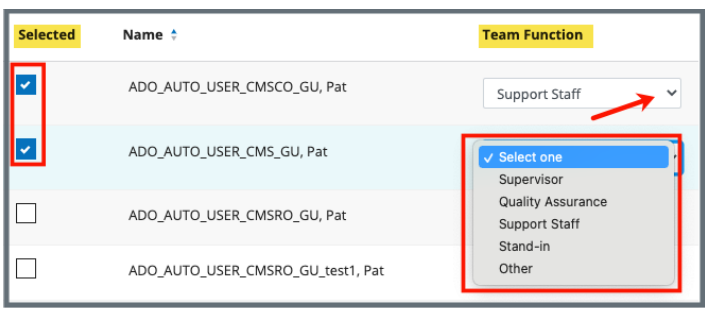


Figure 42: Add a QA Member

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 43, Survey Team Member Successfully Added Popup.*

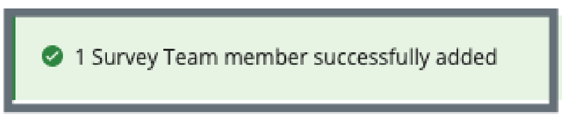
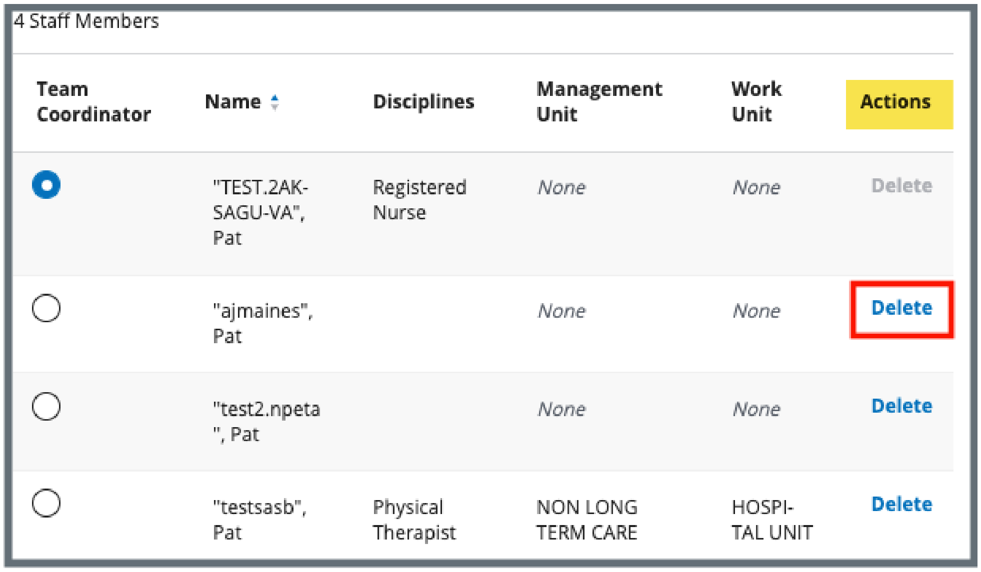


Figure 43: Survey Team Member Successfully Added Popup

8.7 Click **Delete** under **Actions** to delete a team member. See *Figure 44, Delete a Team Member*. A confirmation pop-up window opens. See *Figure 45, 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
	"TEST.2AK-SAGU-VA", Pat	Registered Nurse	None	None	Delete
	"ajmaines", Pat		None	None	Delete
	"test2.npeta ", Pat		None	None	Delete
	"testsasb", Pat	Physical Therapist	NON LONG TERM CARE	HOSPI-TAL UNIT	Delete

Figure 44: Delete a Team Member

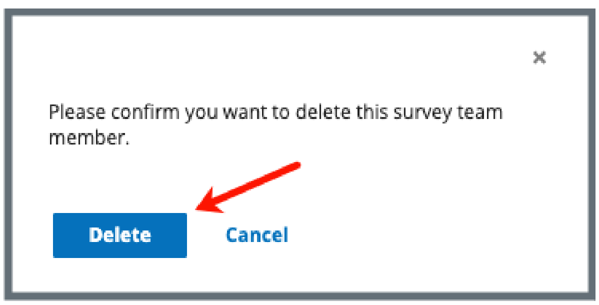


Figure 45: Deletion Confirmation Popup

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 46, My Tasks Track Status.*

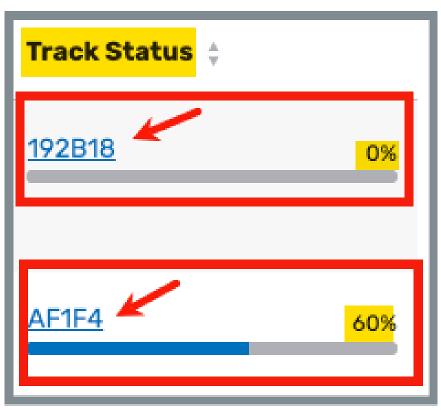


Figure 46: My Tasks Track Status

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 47, Detailed Certification Status.*

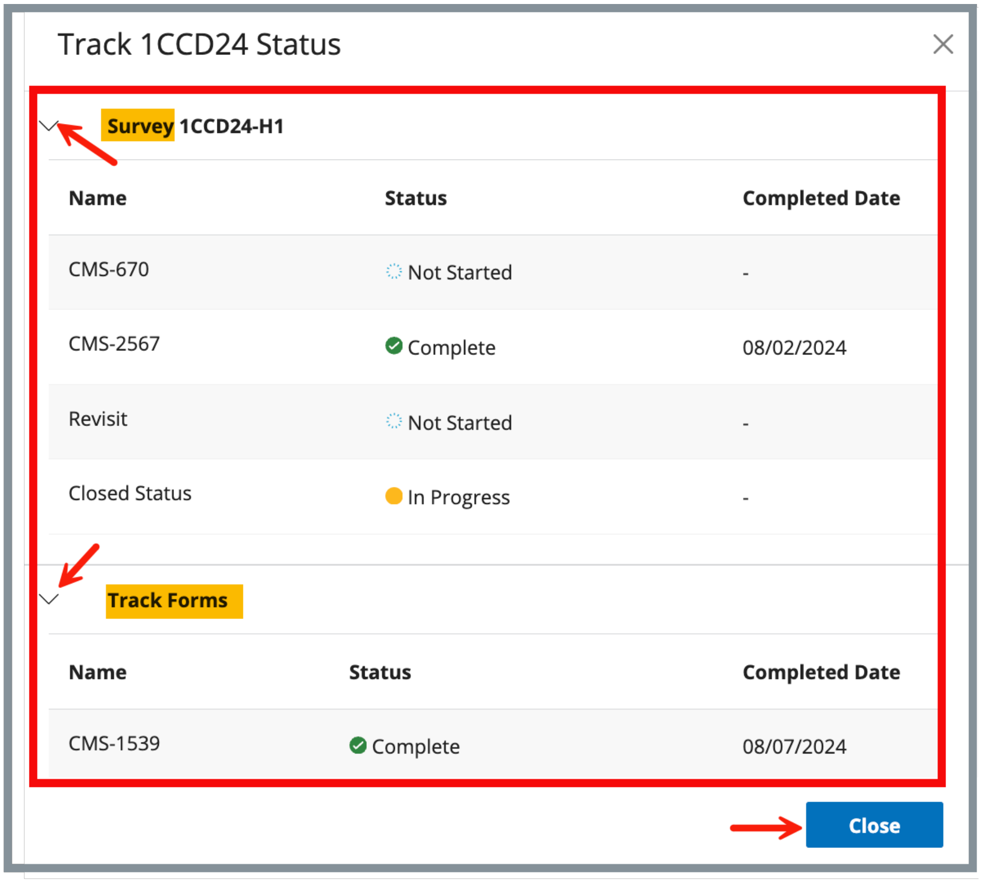


Figure 47: Detailed Certification Status

9.2 View Certification Progress in Survey

Go to the **Survey Basic Information** page. See *Figure 48, Survey Basic Information Page Certification Progress* and *Table 5, Survey Basic Information Page Certification Progress Detailed Callout.*

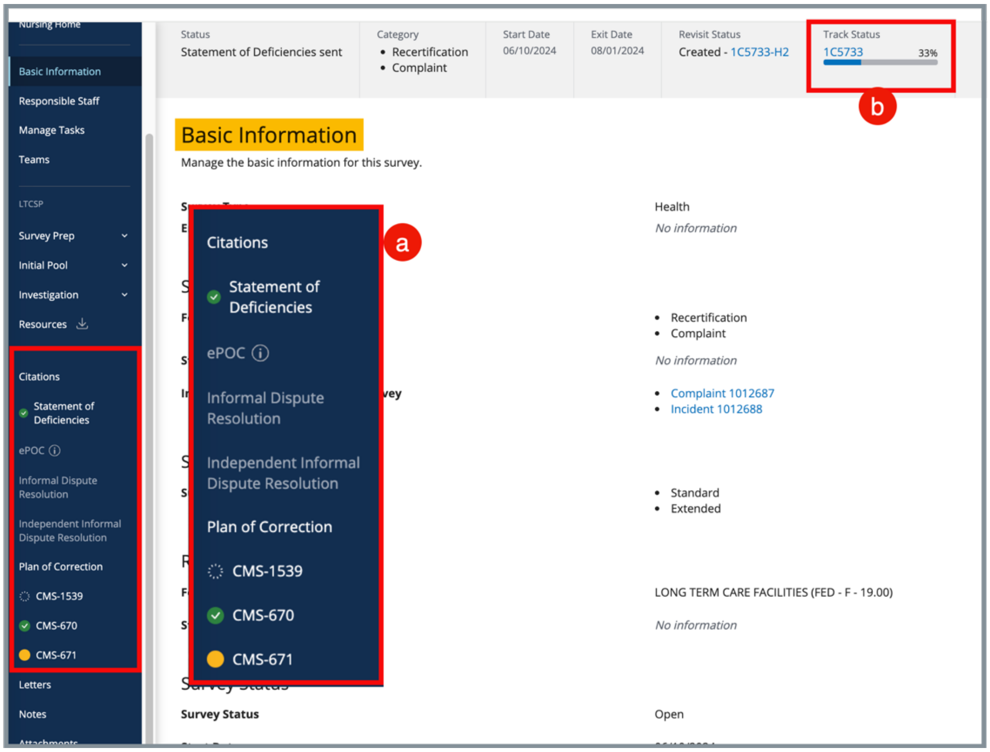


Figure 48: Survey Basic Information Page Certification Progress

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 49, Provider History Page Certification Progress*.

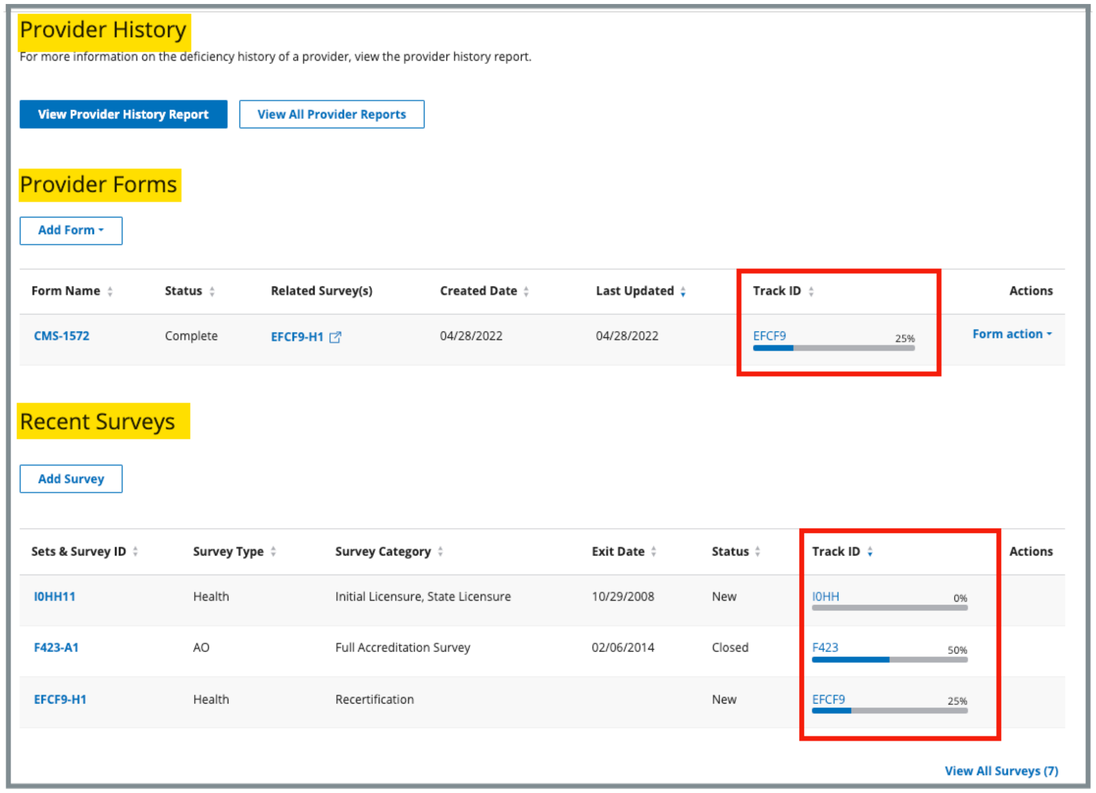


Figure 49: Provider History Page Certification Progress

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 50, Surveyor Notes Icon.*

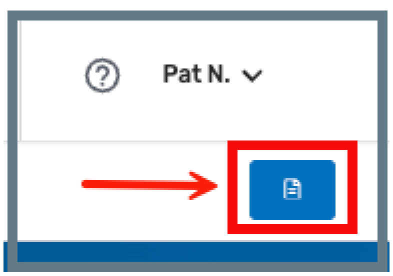


Figure 50: Surveyor Notes Icon

- 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 51, Surveyor Notes Bottom Screen Icon.*

Figure 51: 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 52, Sample Surveyor Note.*

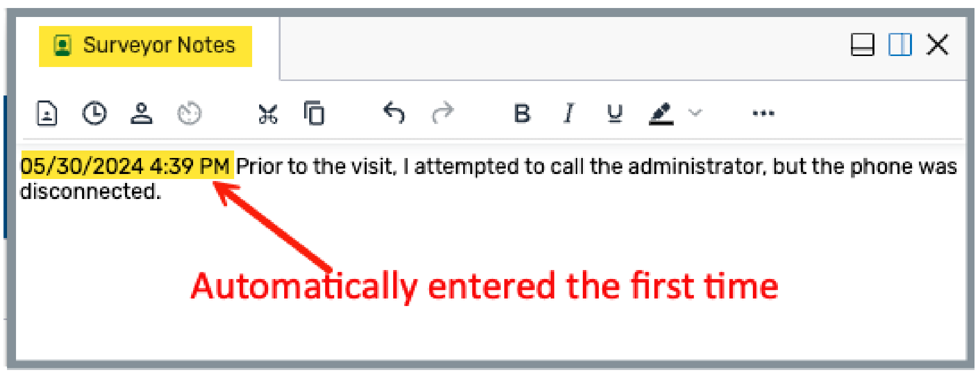


Figure 52: Sample Surveyor Note

- Surveyor Notes are autosaved.
- The **Last saved** date and time shows at the bottom of the Surveyor Notes. See *Figure 53, Surveyor Notes Last Saved Date and Time.*

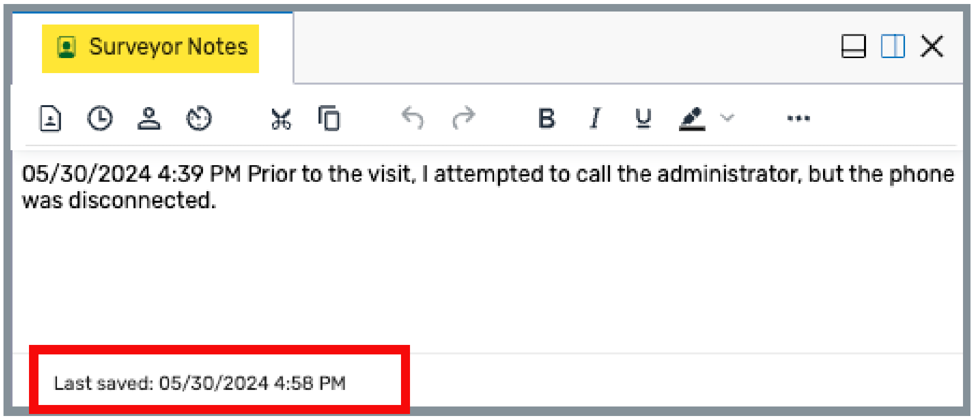


Figure 53: Surveyor Notes Last Saved Date and Time

Custom Toolbar Functions

There are 4 custom toolbar options among the normal standard formatting options. See *Figure 54, Surveyor Notes Custom Toolbar Functions.*

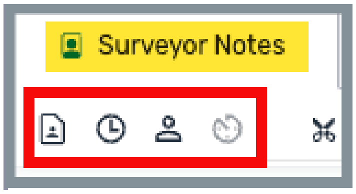


Figure 54: Surveyor Notes Custom Toolbar Functions

From left to right they are:

- View All Surveyor Notes
- Insert Date/Time Stamp
- Insert Resident ID
- Notes History

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

View All Facility Notes

View all team member's Surveyor Notes. See *Figure 55, View All Surveyor Notes.* Click any name to view the Surveyor Note. Surveyor Notes are not editable.

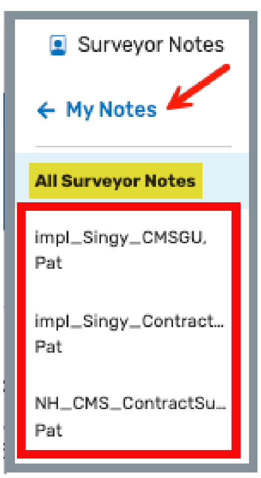


Figure 55: View All Surveyor Notes

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 56, Surveyor Notes Formatting Menu.*

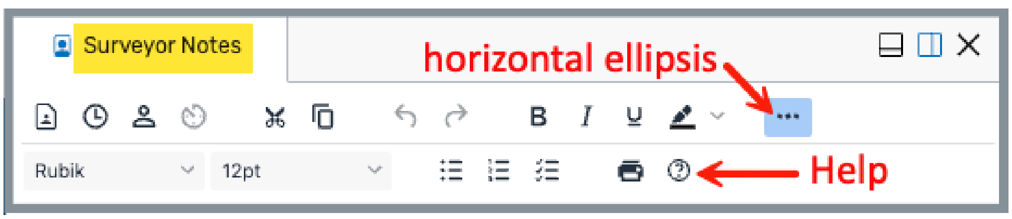


Figure 56: Surveyor Notes Formatting Menu

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 57, IJ Icon*. The **IJ Template** pop-up window opens. See *Figure 58, IJ Template Pop-Up Window* and *Table 6, IJ Template Pop-Up Window Detailed Callout*.

Figure 57: IJ Icon

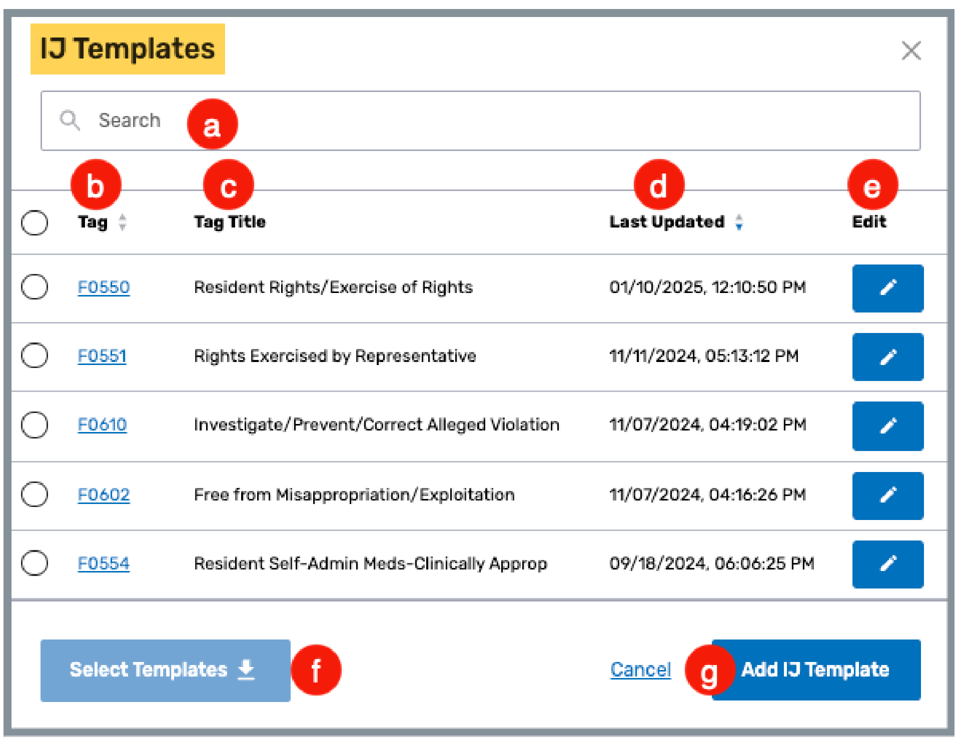


Figure 58: IJ Template Pop-Up Window

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 59, 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.

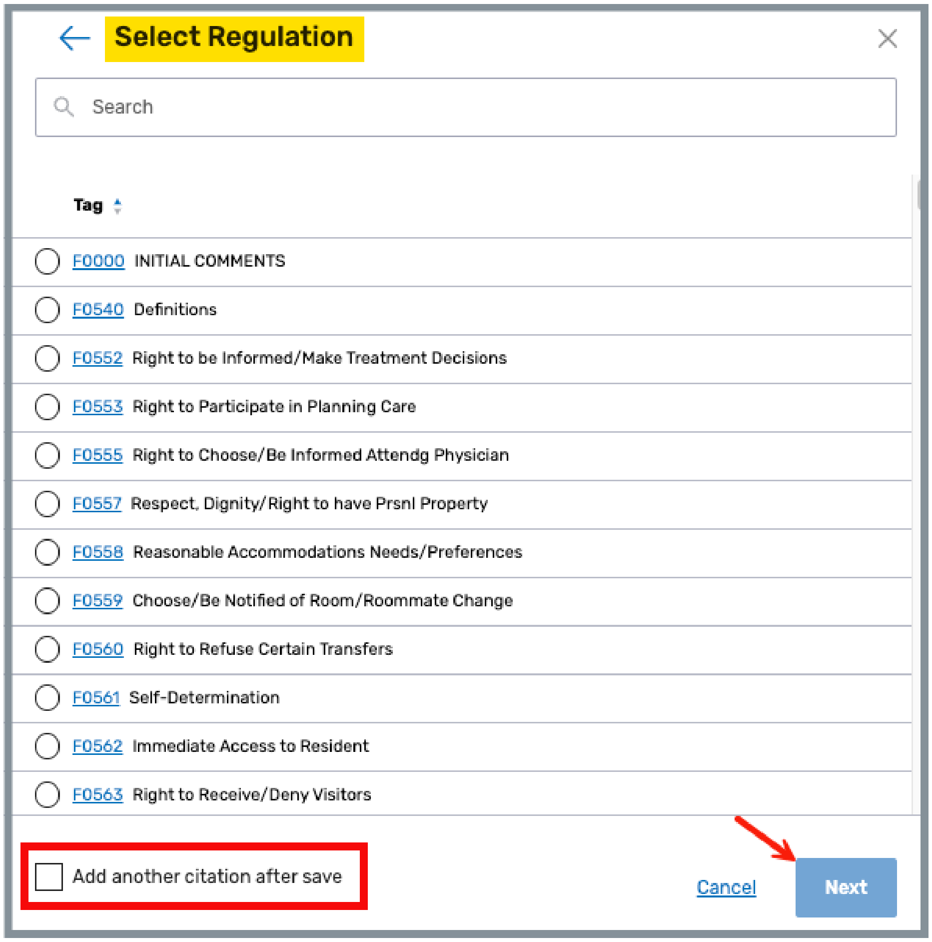


Figure 59: Select Regulation Pop-Up Window

11.5 Click Next. The Template Edit pop-up window opens and can be edited. See Figure 60, 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.

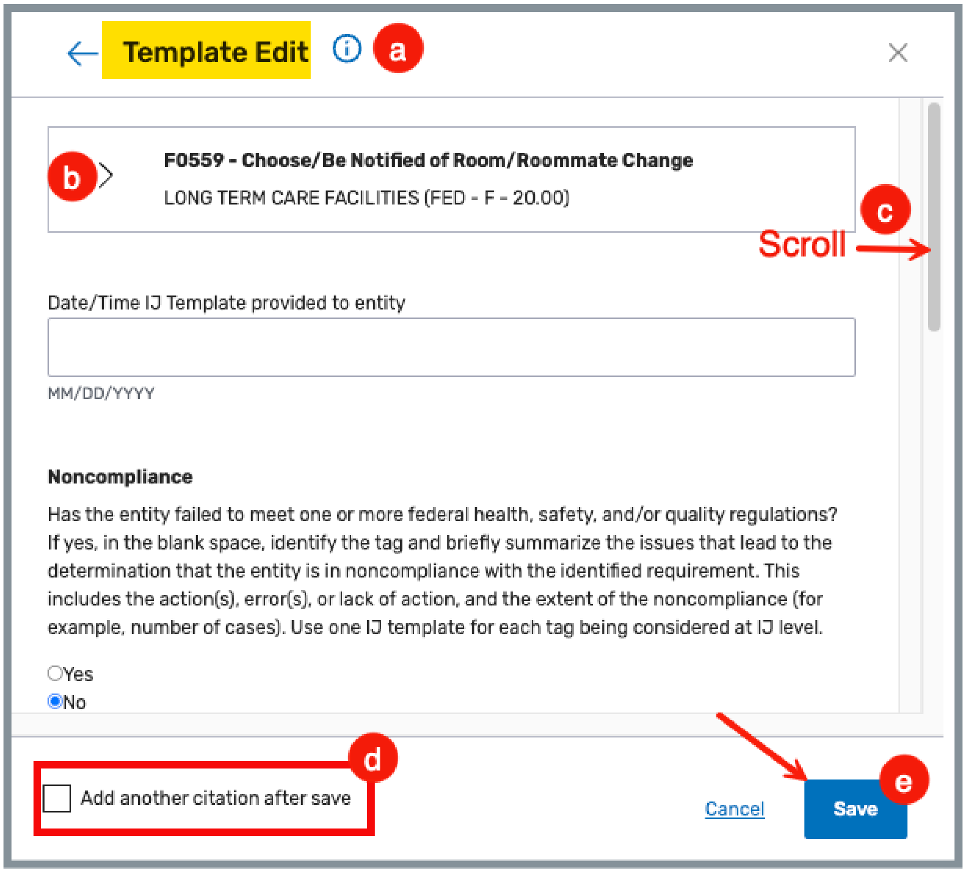


Figure 60: IJ Template Edit Pop-Up Window

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 61, Updated IJ Templates Pop-Up Window*.

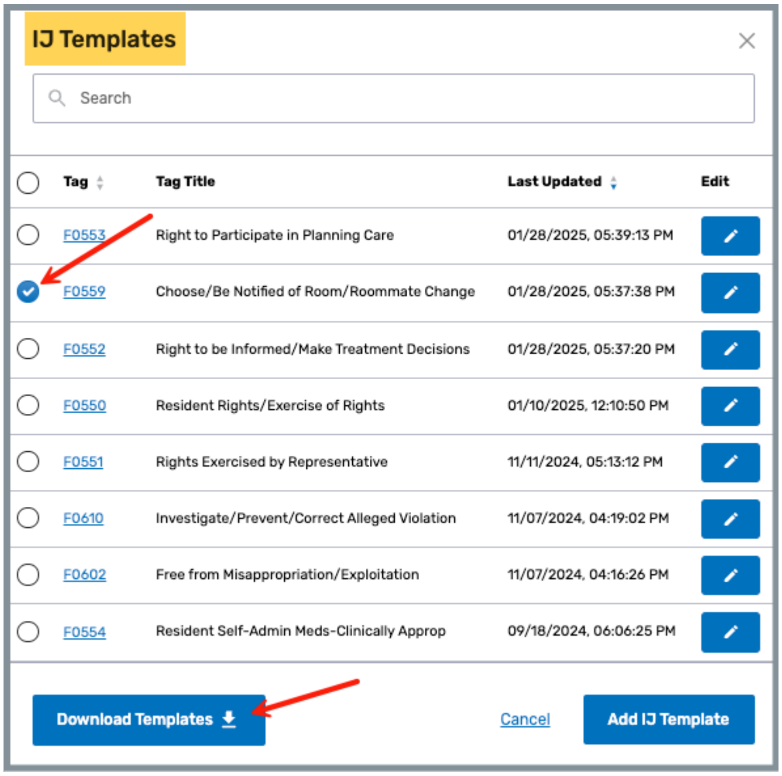


Figure 61: Updated IJ Templates Pop-Up Window

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

12. Add Residents to Sample List

Purpose: Contains all the residents in a survey.

Notes:

- Surveyors can manually select residents to include in the sample list
- Only the TC can deselect a resident
- There are system-selected residents automatically included on the list
- The completed list can be downloaded as a PDF
- The system automatically selects any resident:
    - On the **Current Sample Candidates** list, regardless of whether that resident is checked or not checked on that page
    - Assigned to a facility task, both manually or from an intake
    - Assigned to an investigation, both manually or from an intake
    - Tagged in any note
- The system automatically deselects any resident:
    - Removed from the Current Sample Candidates list
    - Unassigned from a facility task, both manually or from an intake
    - Unassigned from an investigation, both manually or from an intake
- All system selected residents (with the exception of those added from Notes) will deselect automatically if the action that added them is undone.
- Residents selected from being tagged in a Note 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 62, Add Residents to Sample List Icon*. The **Add Residents to Sample List** pop-up window opens. See *Figure 63, Add Residents to Sample List Pop-Up Window*.

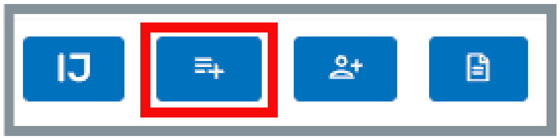


Figure 62: Add Residents to Sample List Icon

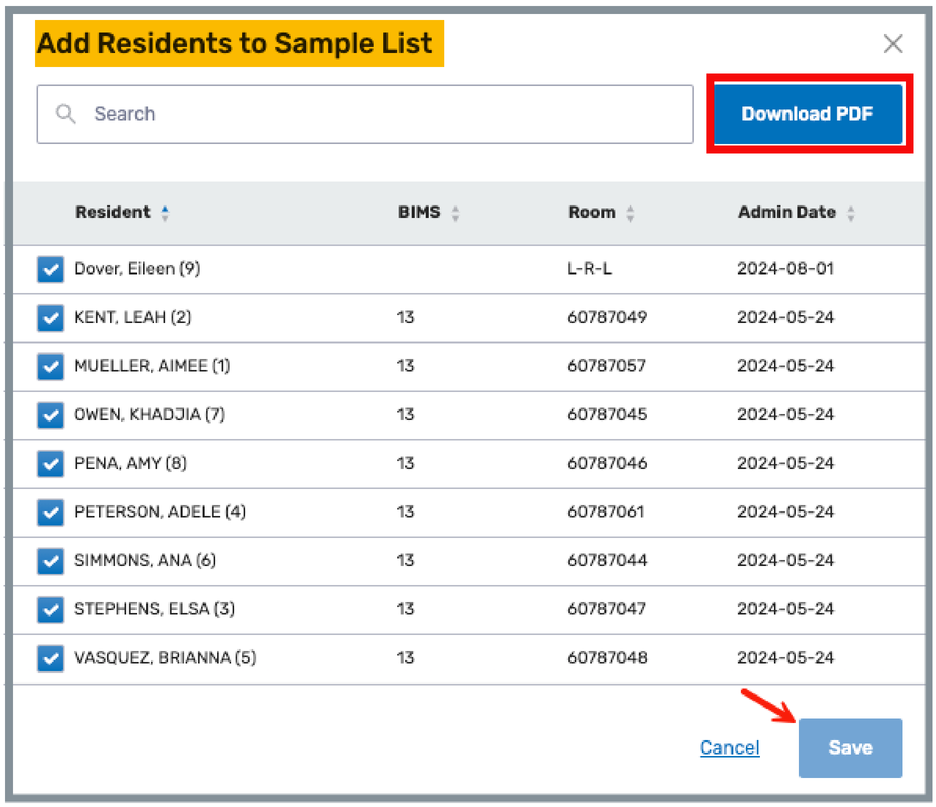


Figure 63: Add Residents to Sample List Pop-Up Window

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 64, Offsite Prep Badge.* Information may be edited when a badge says **In Progress**.

Figure 64: 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 65, Offsite Prep* and *Table 8, Offsite Prep Detailed Callout.*

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

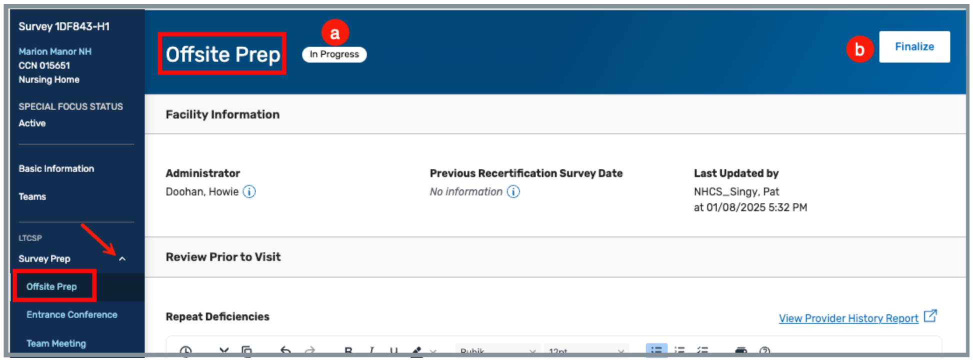


Figure 65: Offsite Prep

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 66, Offsite Prep: Facility Information* and *Table 9, Facility Information Detailed Callout.*

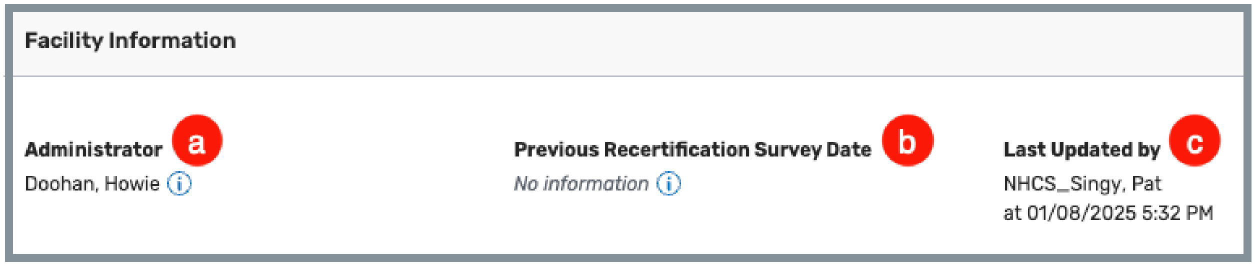


Figure 66: Offsite Prep: Facility Information

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 67, Offsite Prep: Review Prior to Visit* and *Table 10, Review Prior to Visit Detailed Callout.*

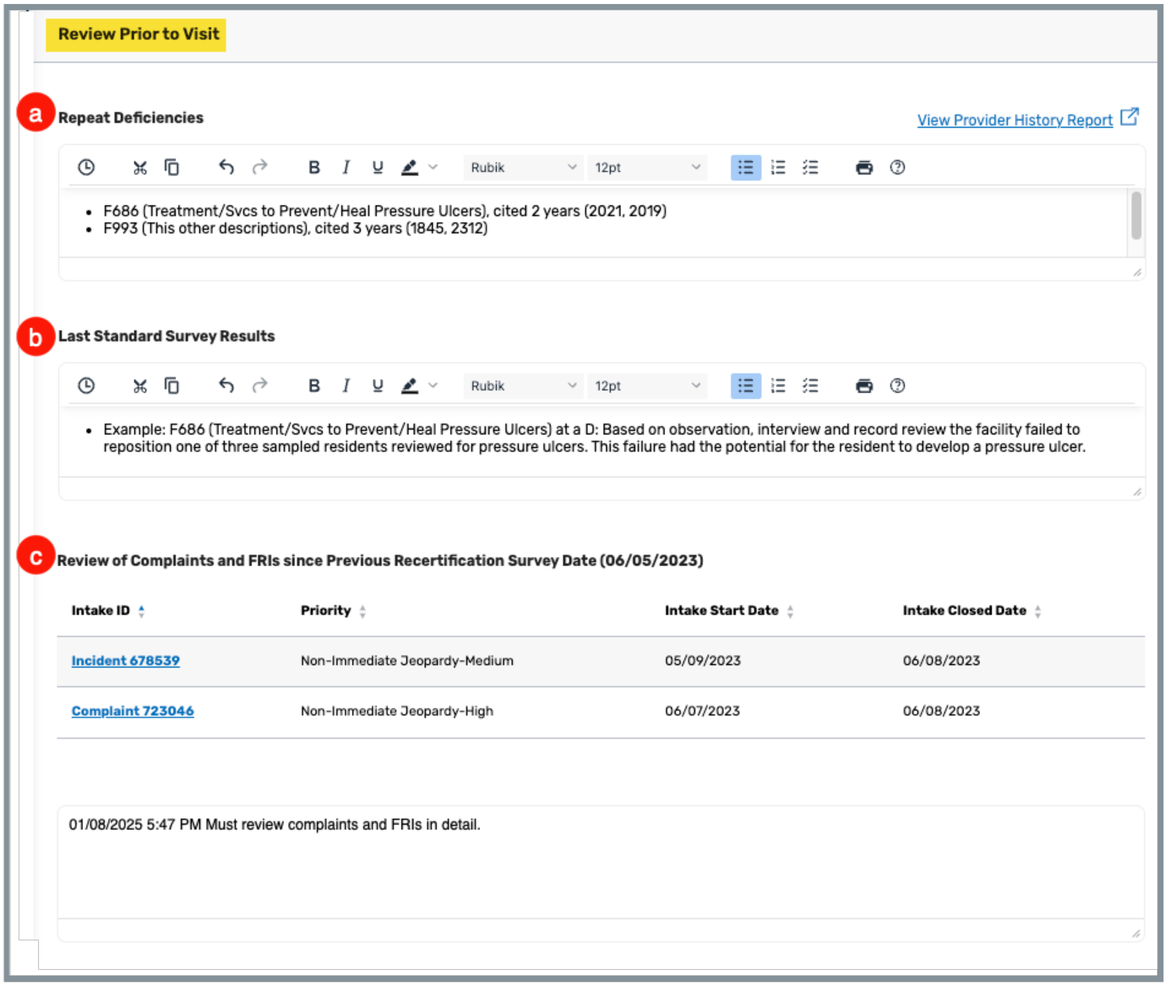


Figure 67: Offsite Prep: Review Prior to Visit

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

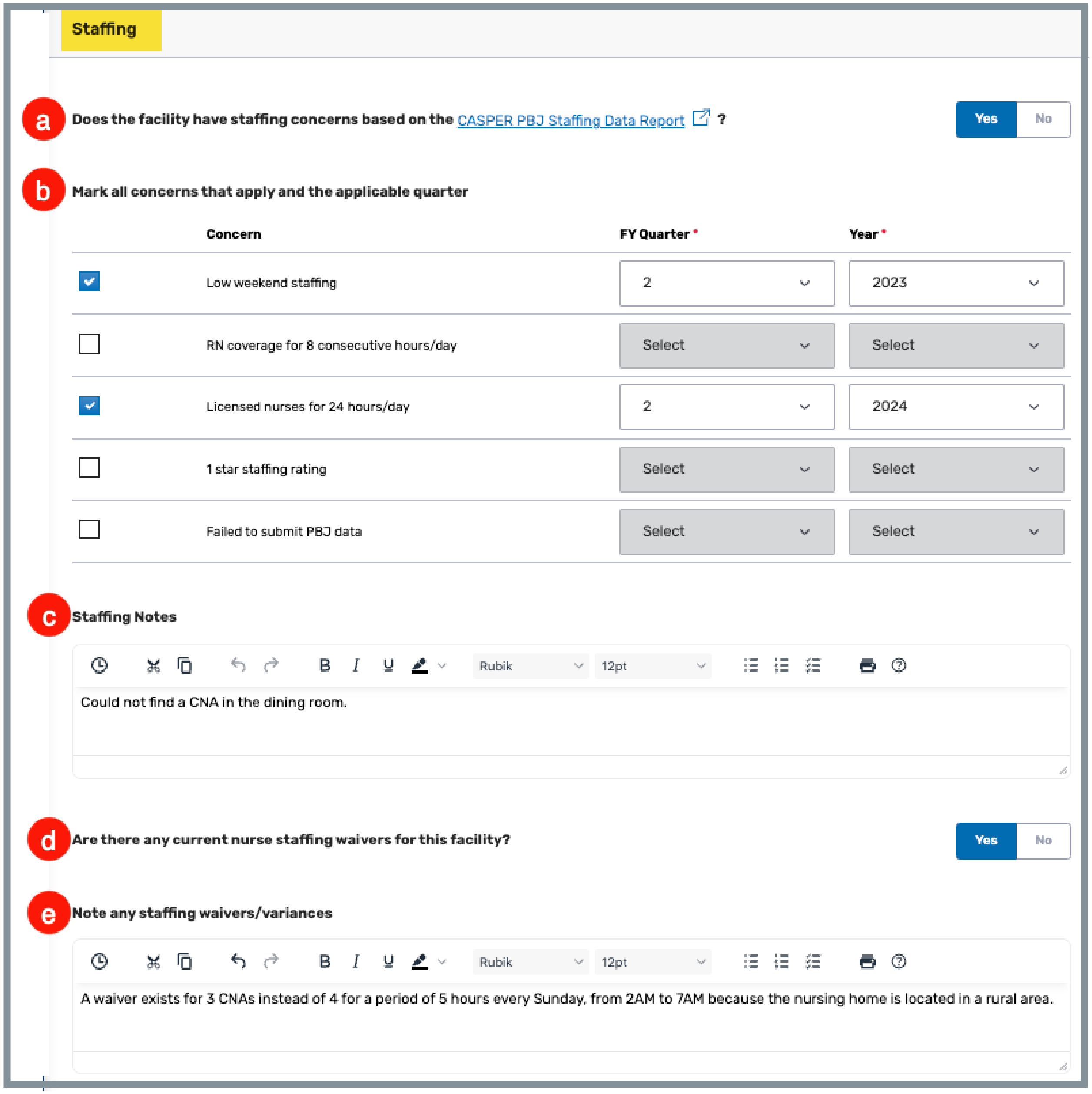


Figure 68: Offsite Prep: Staffing

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 69, 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.

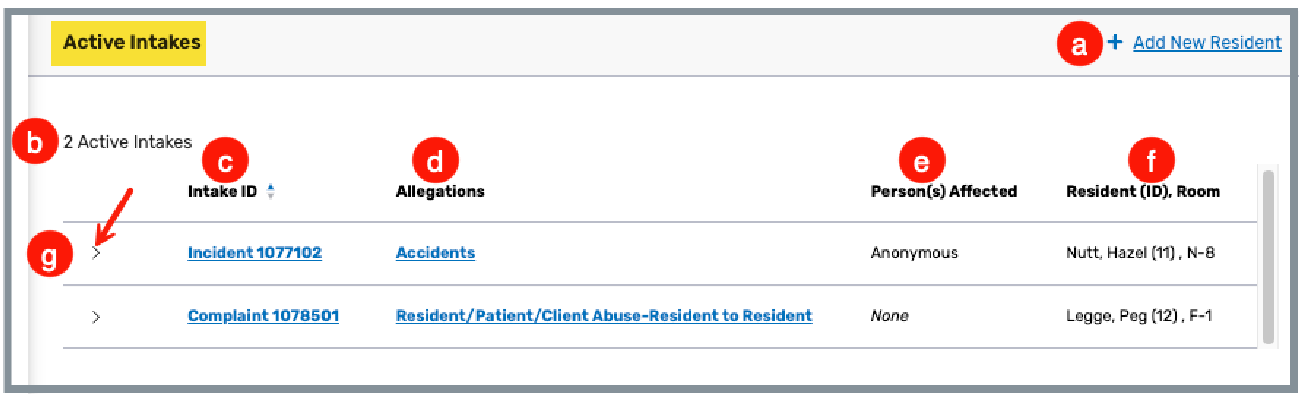


Figure 69: Active Intakes Table

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 and the Intake Notes pop-up window opens. Click **View [complaint/incident]** 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 70, Intake Notes Pop-Up Window.*

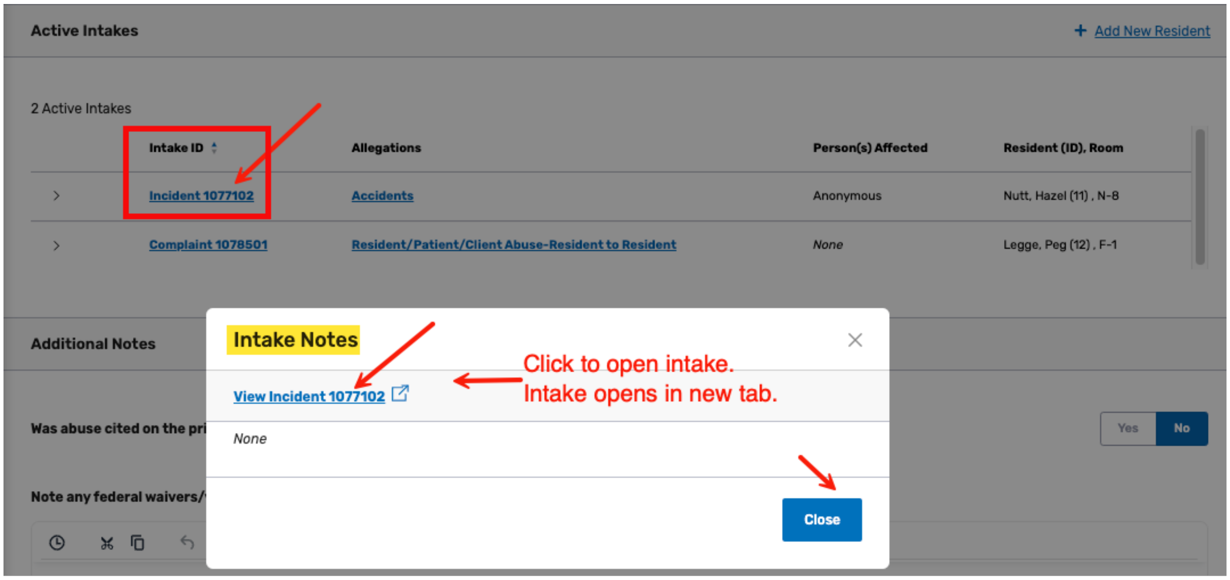


Figure 70: Intake Notes Pop-Up Window

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 71, Allegation Details.*

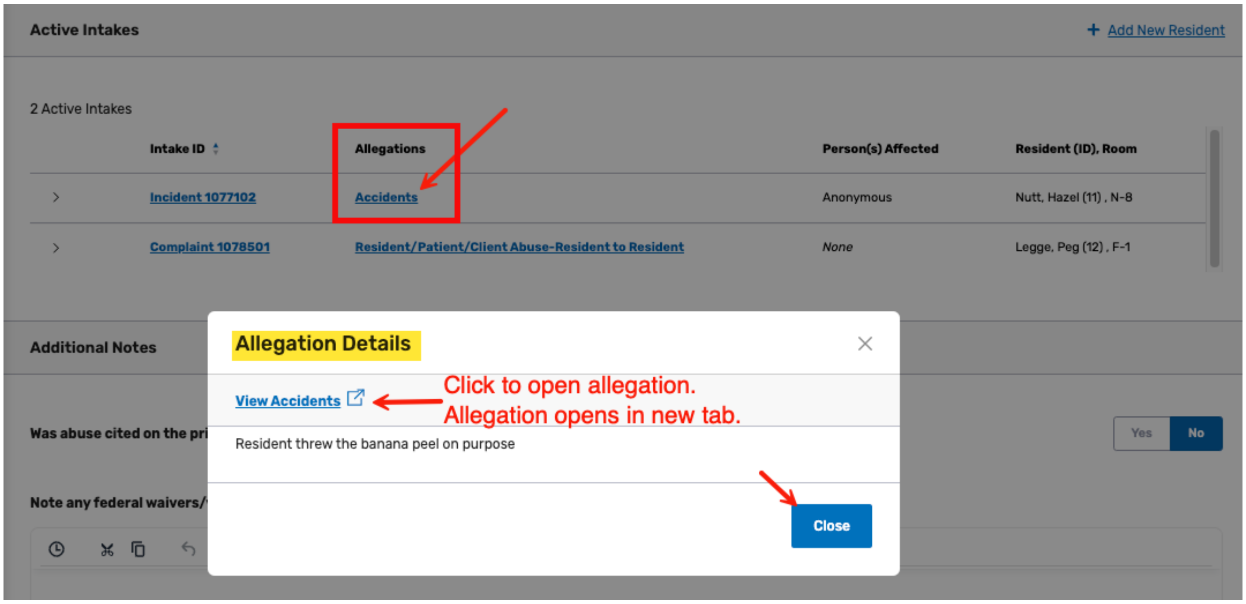


Figure 71: Allegation Details

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 72, Intake Details*.

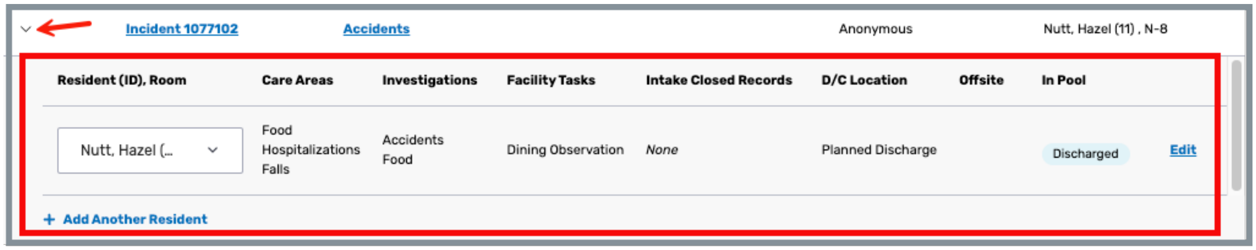


Figure 72: Intake Details

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 73, Add Another Resident.*

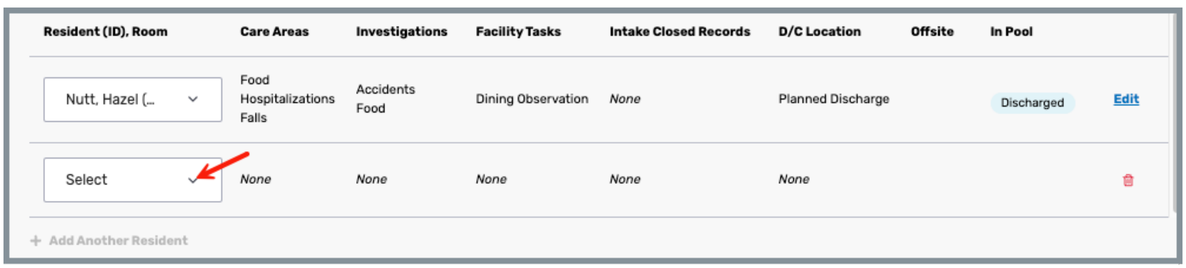


Figure 73: Add Another Resident

b. Select resident from drop-down menu of existing residents. See *Figure 74, Select Resident.*

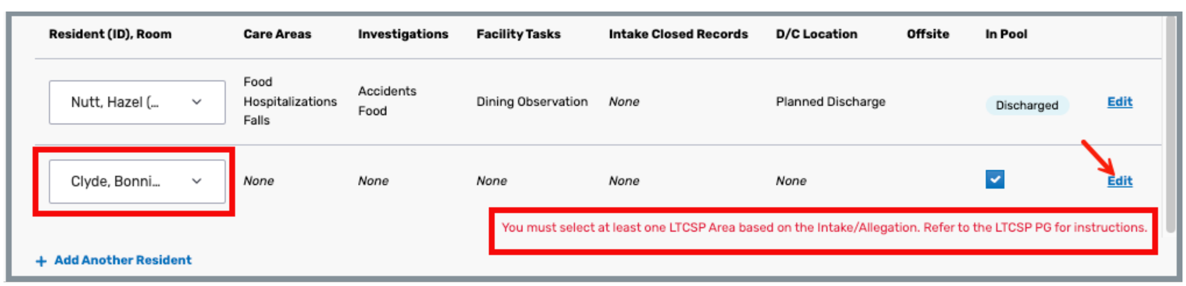


Figure 74: Select Resident

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 75, 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.

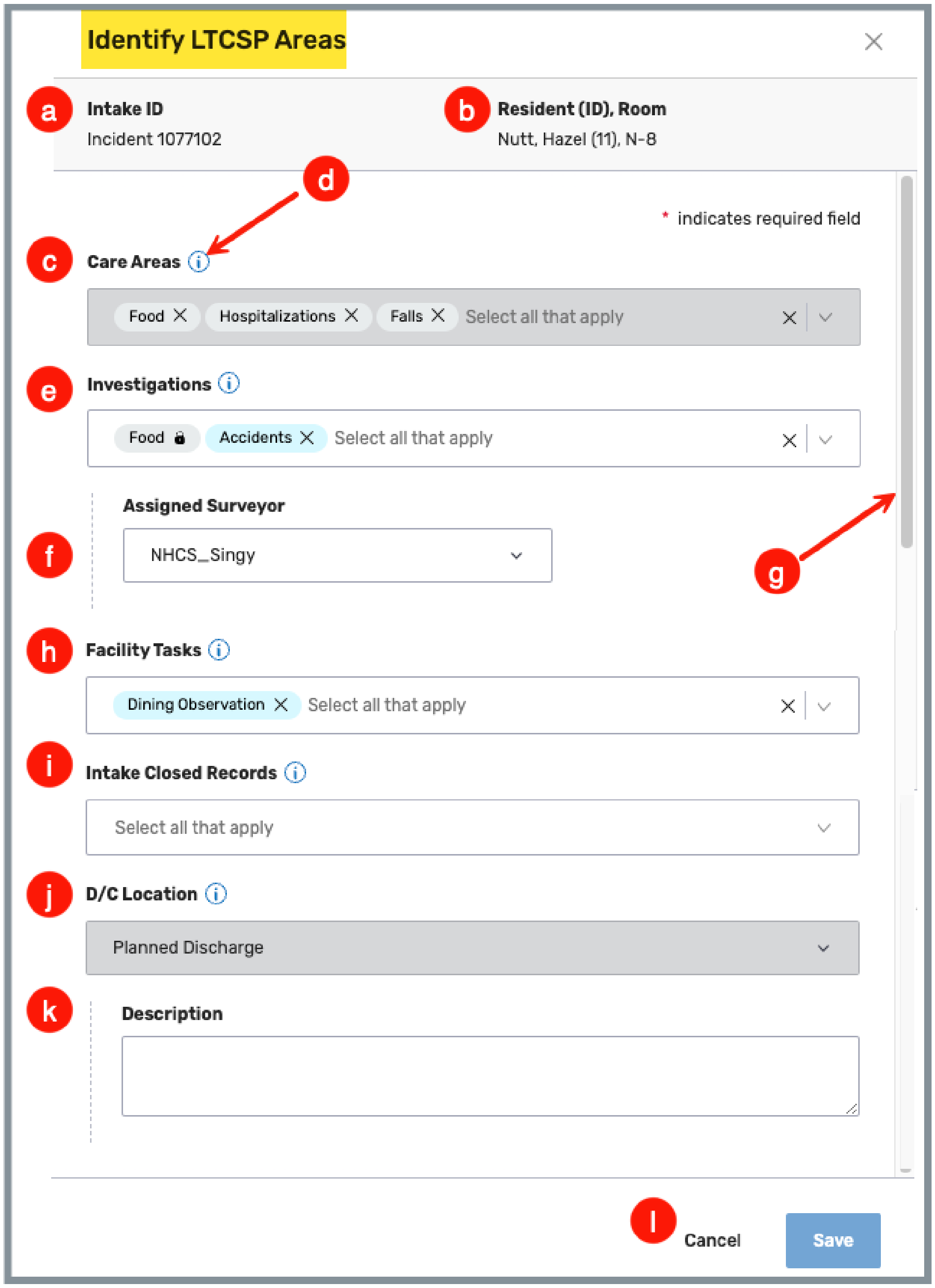


Figure 75: Identify LTCSP Areas Pop-Up Window

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 76, Offsite Prep: Additional Notes*

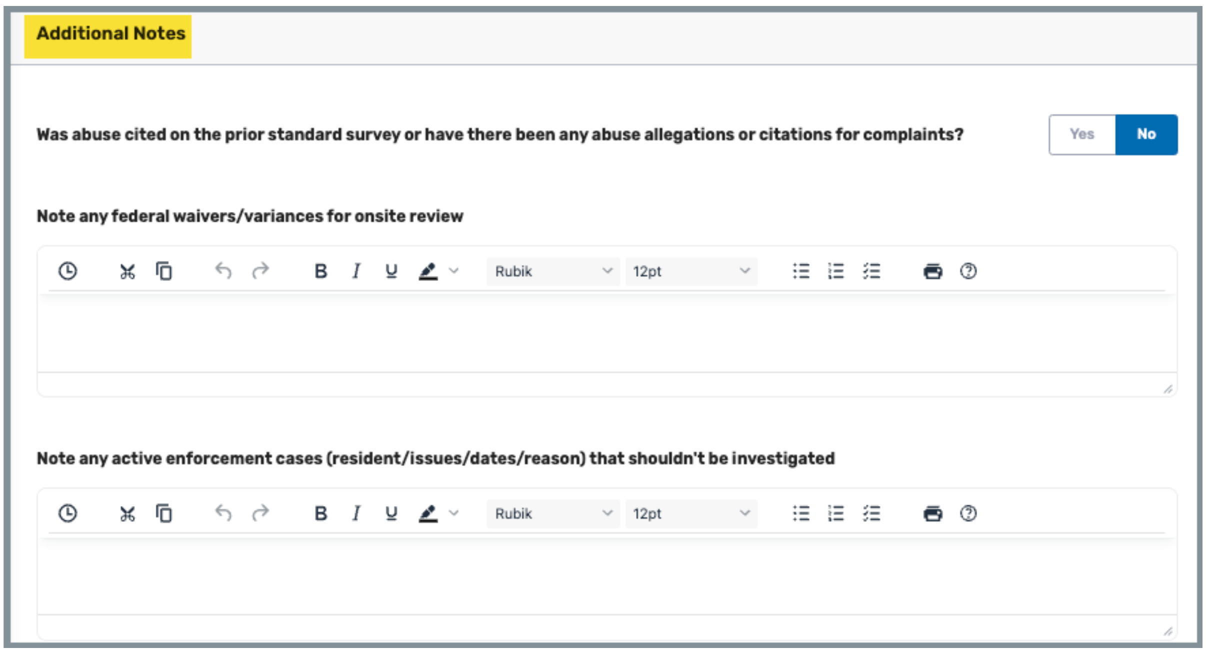


Figure 76: Offsite Prep: Additional Notes

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 77, Offsite Prep: Ombudsman.*

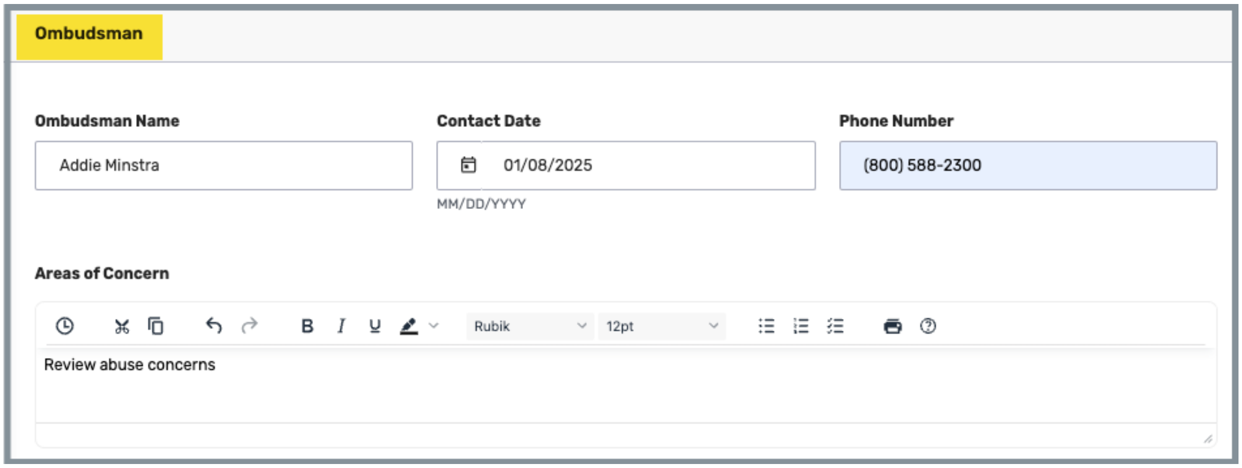


Figure 77: Offsite Prep: Ombudsman

13.8 Team Unit Assignments

Fill out team unit assignments. See *Figure 78, Offsite Prep: Team Unit Assignments* and *Table 14, Team Unit Assignments Detailed Callout.*

Figure 78: 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 79, Finalize Offsite Prep Badge.*

Figure 79: 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: An email is sent each time Offsite Prep is finalized.

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 80, Entrance Conference*. The **Entrance Conference** window opens.

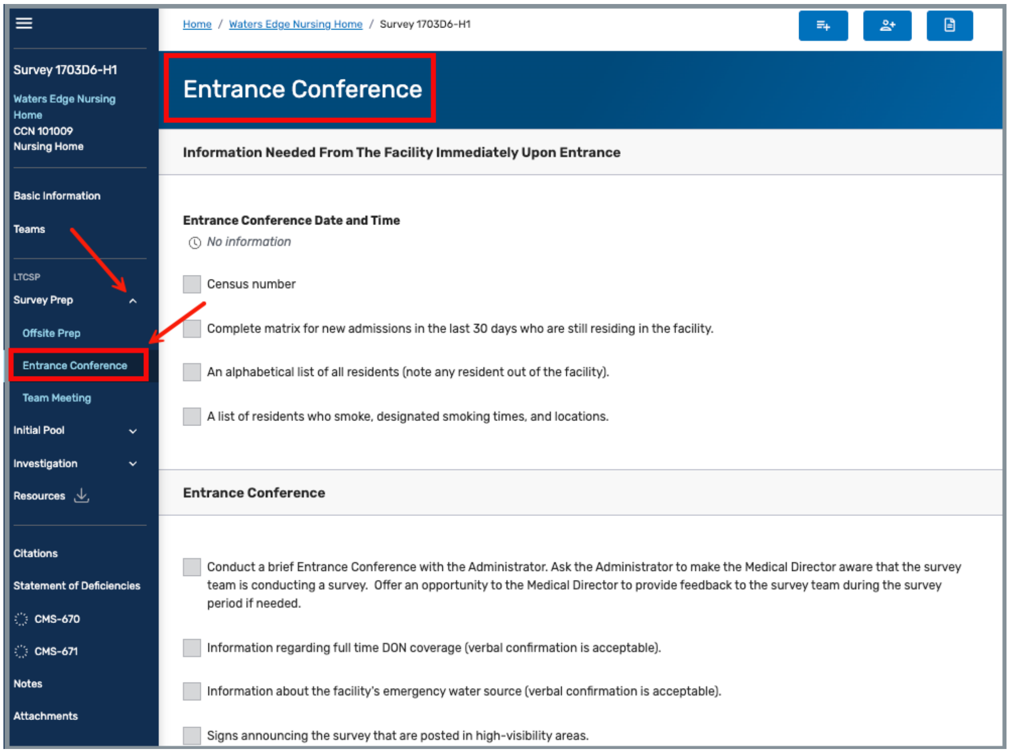


Figure 80: Entrance Conference

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 Letters, Notes, and Attachments User Manual, to review how to upload an attachment.

14.2 Complete the following information immediately upon entrance. See *Figure 81, Entrance Conference: Information Needed Immediately Upon Entrance*.

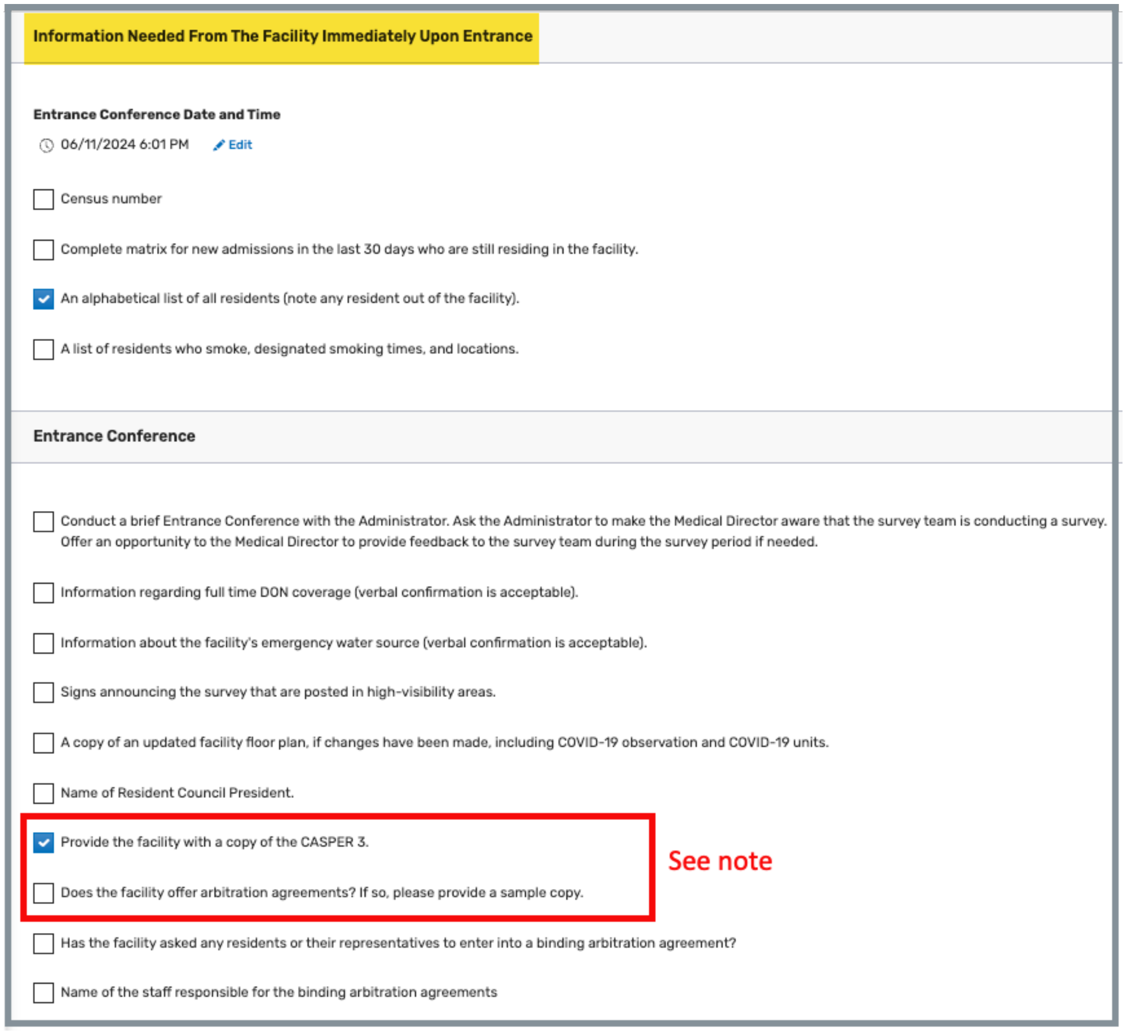
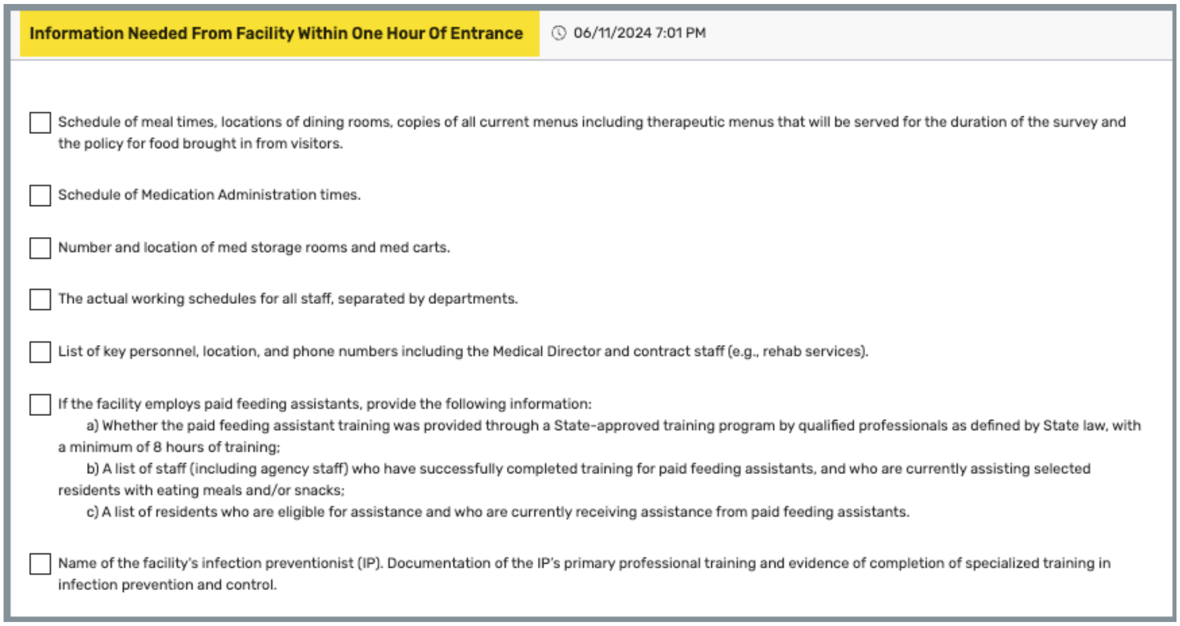


Figure 81: Entrance Conference: Information Needed Immediately Upon Entrance

14.3 Complete the following information within one hour of entrance. See *Figure 82, Entrance Conference: Information Needed Within One Hour of Entrance*.

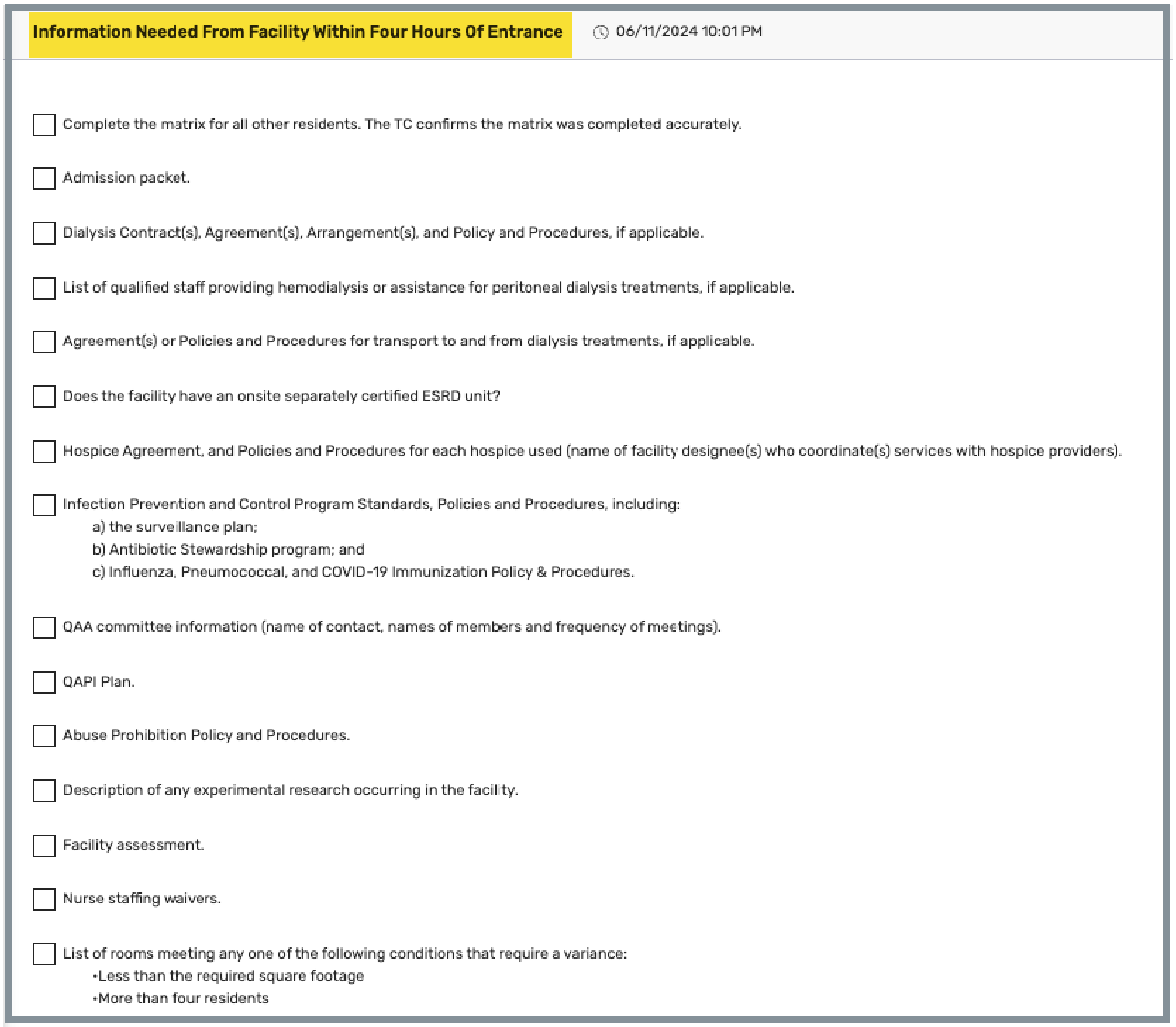


Information Needed From Facility Within One Hour Of Entrance 06/11/2024 7:01 PM

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

Figure 82: Entrance Conference: Information Needed Within one hour of entrance

14.4 Complete the following information within four hours of entrance. See *Figure 83, Entrance Conference: Information Needed Within Four Hours of Entrance*.



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

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

Figure 83: 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 84, Entrance Conference: Remaining Information Needed*.

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

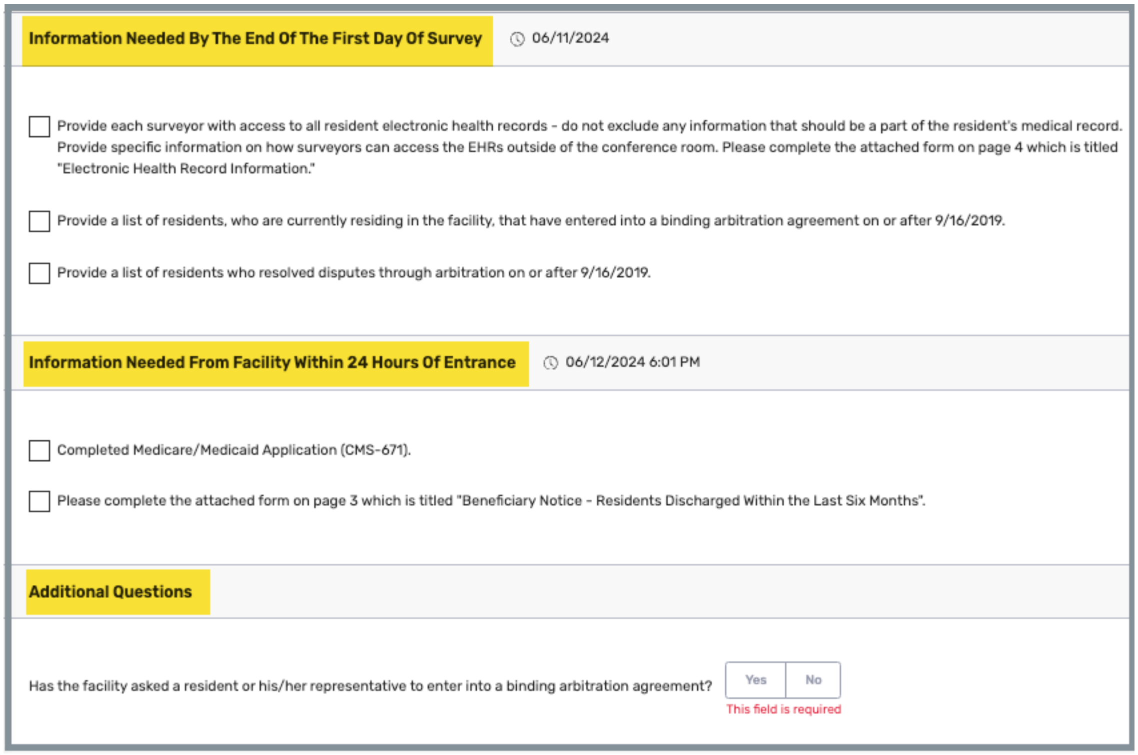


Figure 84: Entrance Conference: Remaining Information Needed

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 updates may not seen in real time. The screen must be refreshed to view updates.
- 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 85, Top Icon.*

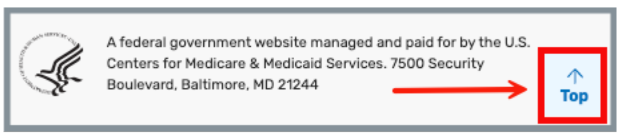


Figure 85: Top Icon

- 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 86, Team Meeting*.

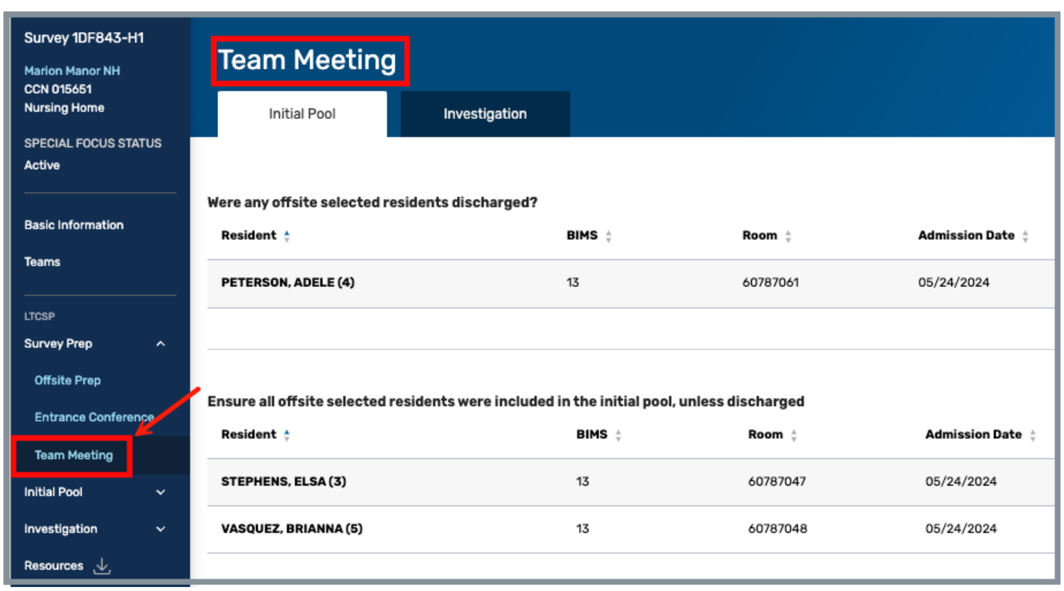


Figure 86: Team Meeting

15.1 Initial Pool

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

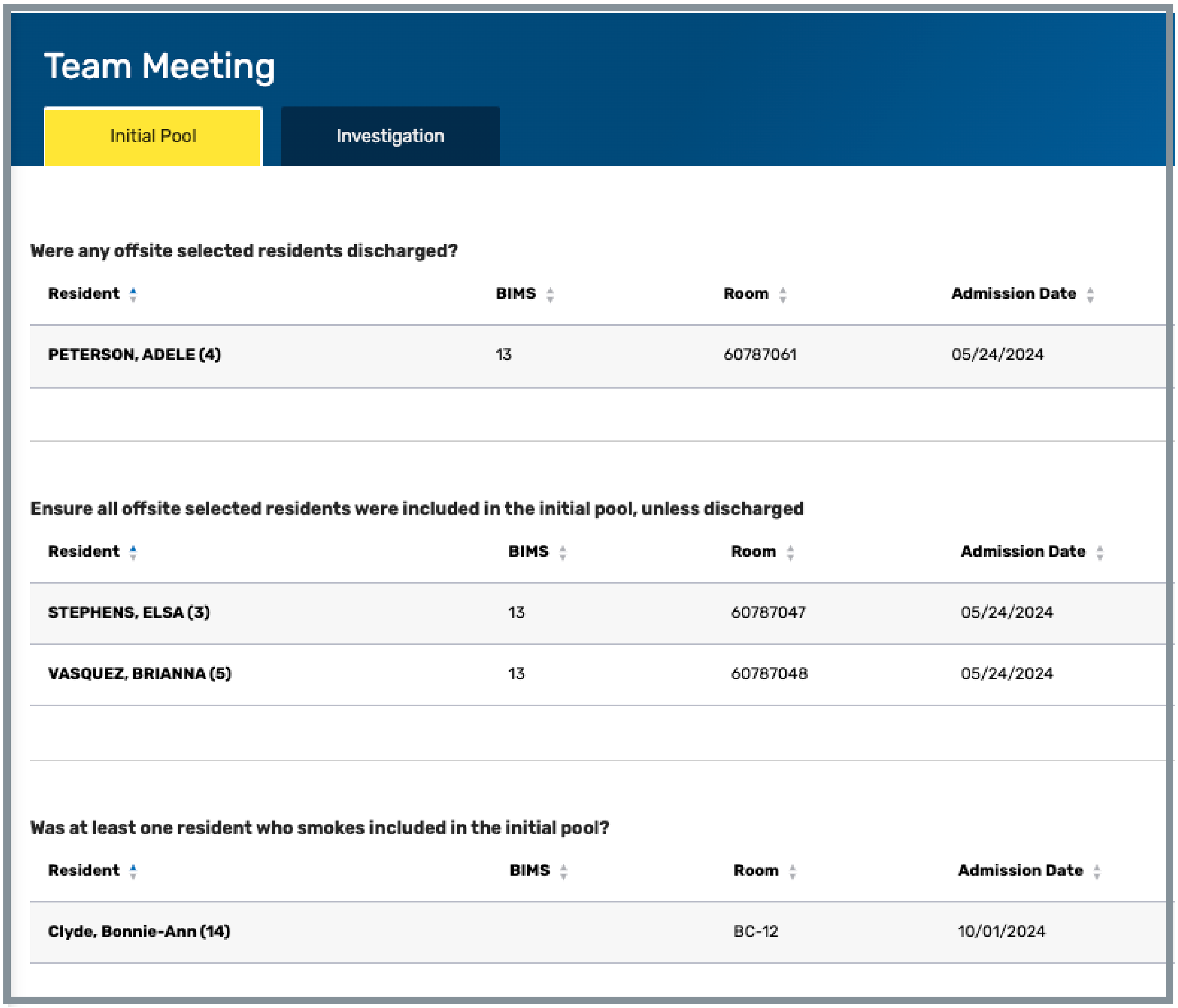
Notes:

- 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 87, Initial Pool Information, part 1 of 5, Figure 88, Initial Pool Information, part 2 of 5, Figure 89, Initial Pool Information, part 3 of 5, Figure 90, Initial Pool Information, part 4 of 5,* and *Figure 91, Initial Pool Information, Part 5 of 5.*

Notes:

- See *Figure 92, PBJ Staffing Details Concerns* and *Figure 93, PBJ Staffing Details Notes* for more information on PBJ details from Offsite Prep.
- The PBJ link only shows when the question **Does the facility have staffing concerns based on the CASPER PBJ Staffing Data Report** under **Staffing** on the Offsite Prep page answered **Yes**.



Team Meeting

Initial Pool | Investigation

Were any offsite selected residents discharged?

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

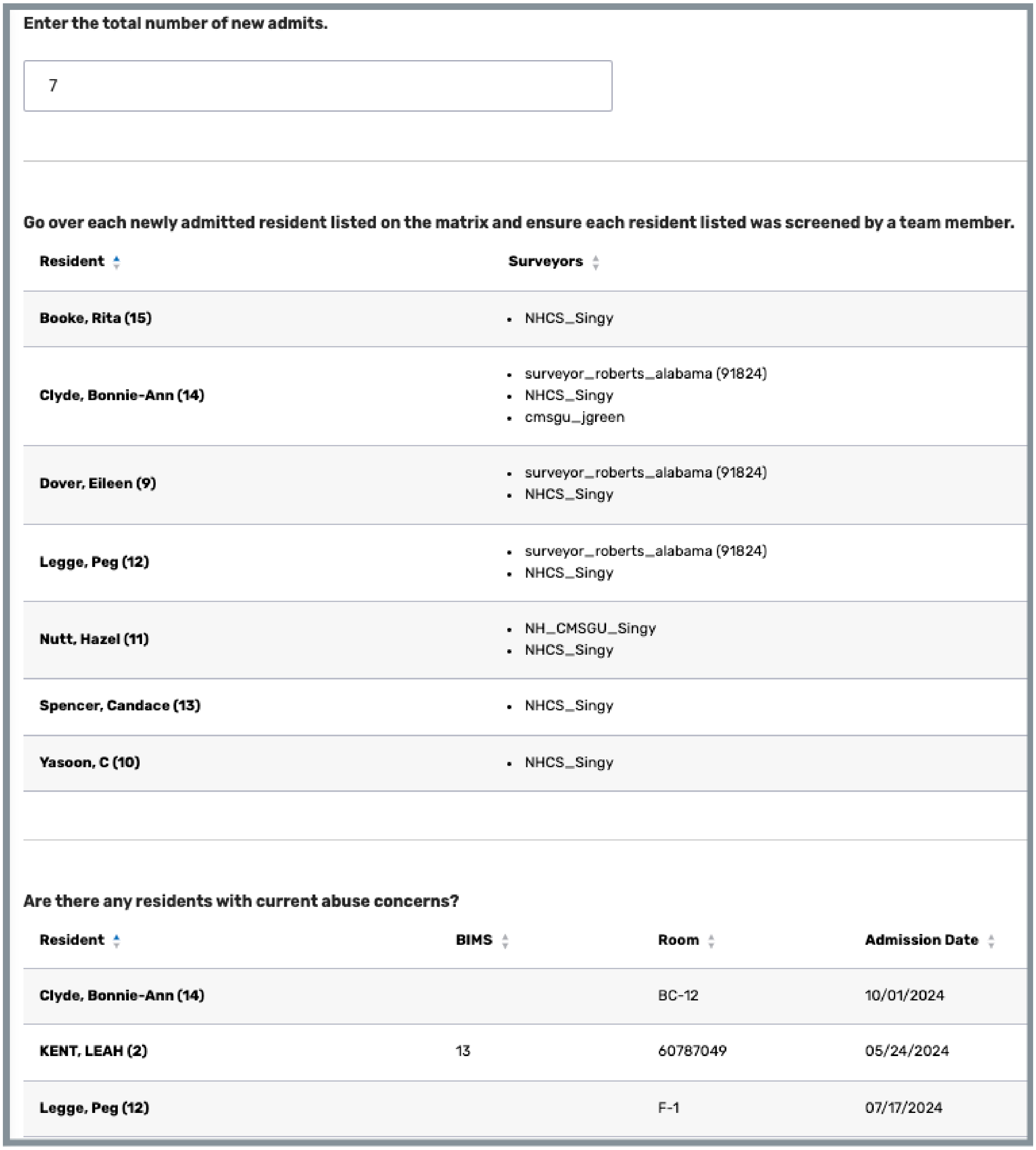
Ensure all offsite selected residents were included in the initial pool, unless discharged

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

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

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

Figure 87: 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 88: Initial Pool Information, part 2 of 5

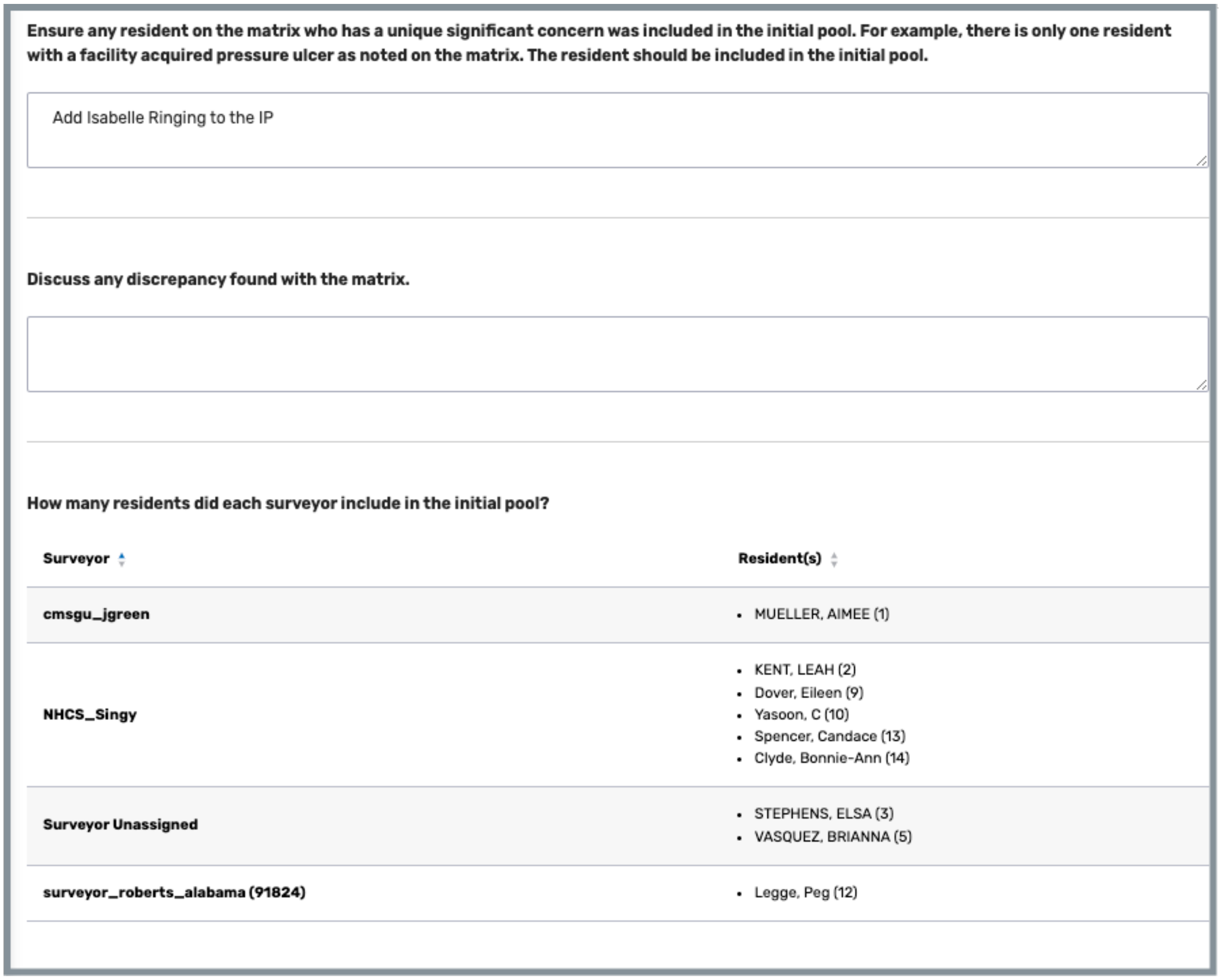


Figure 89: Initial Pool Information, part 3 of 5

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 90: Initial Pool Information, part 4 of 5

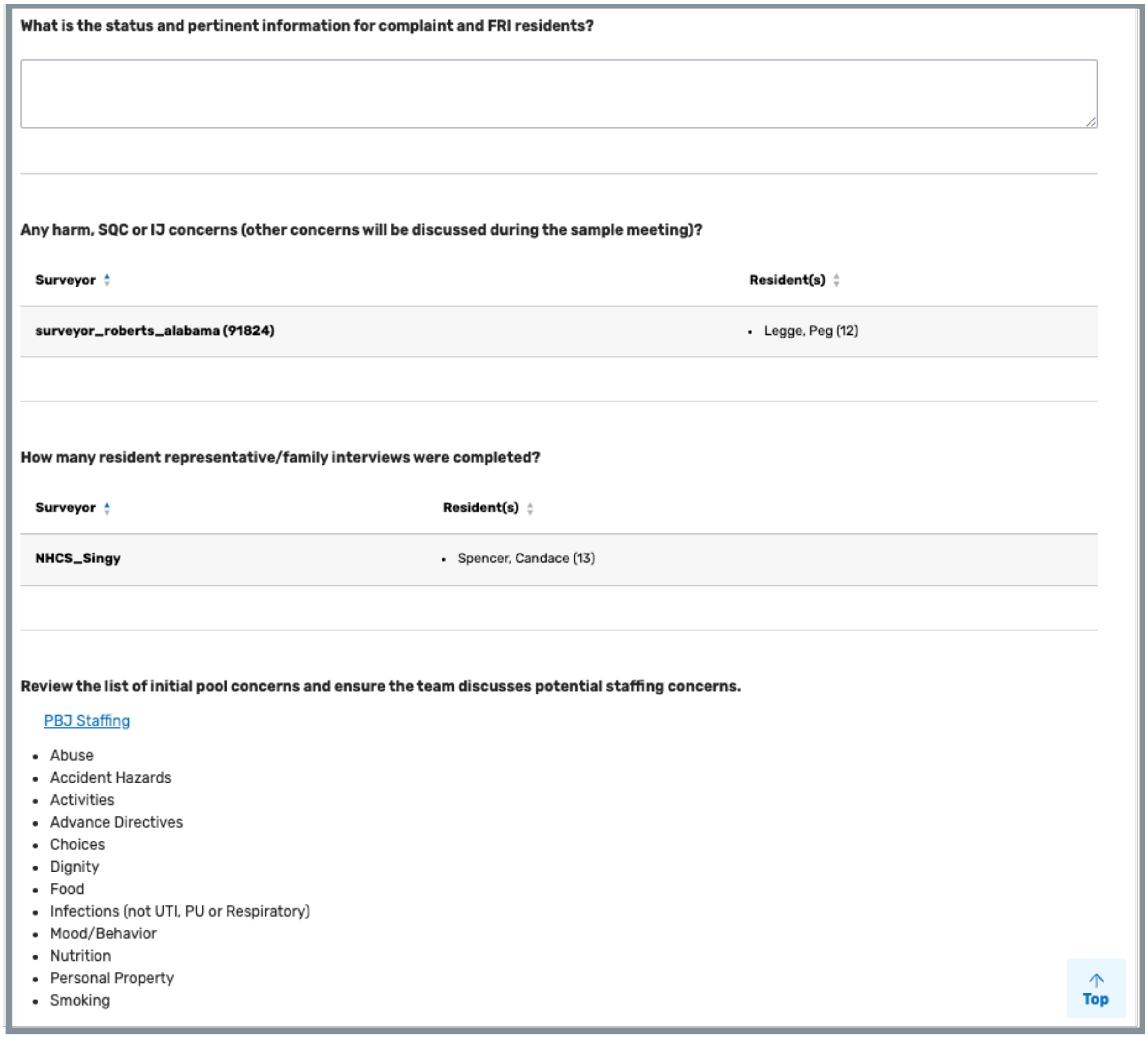


Figure 91: Initial Pool Information, Part 5 of 5

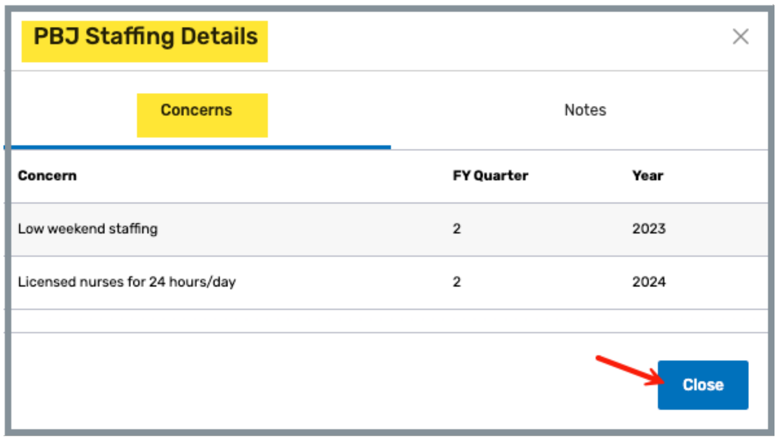


Figure 92: PBJ Staffing Details Concerns

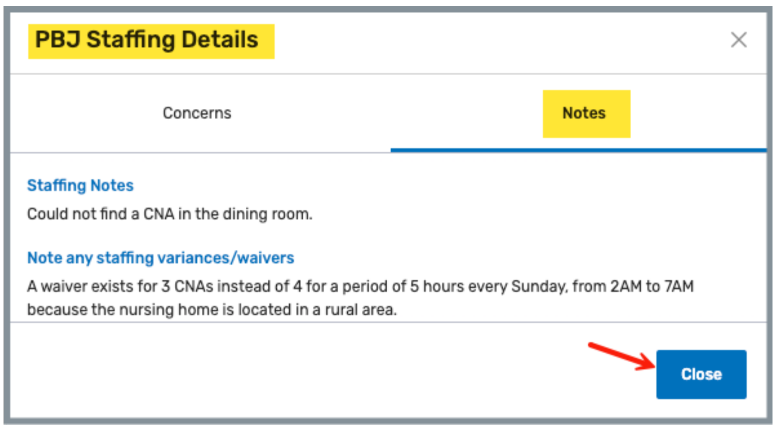


Figure 93: PBJ Staffing Details Notes

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 94, Investigation Information, page 1 of 3, Figure 95, Investigation Information, page 2 of 3,* and *Figure 96, 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 97, Initiate F895.*

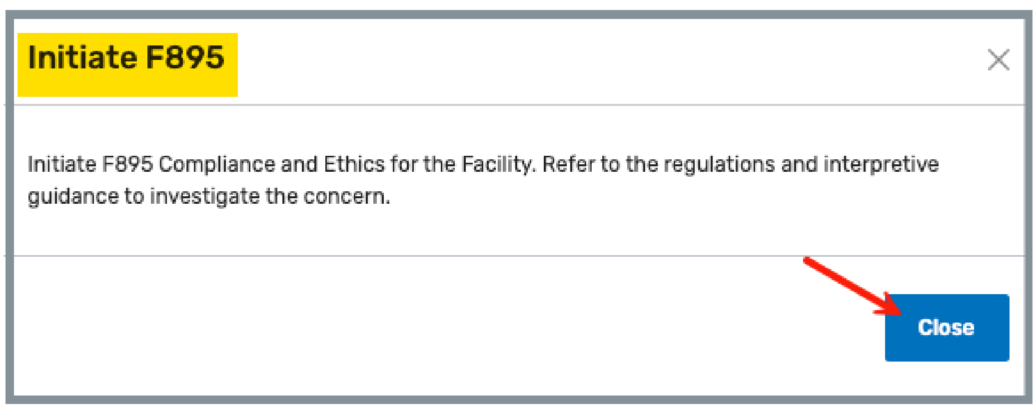


Figure 94: Initiate F895

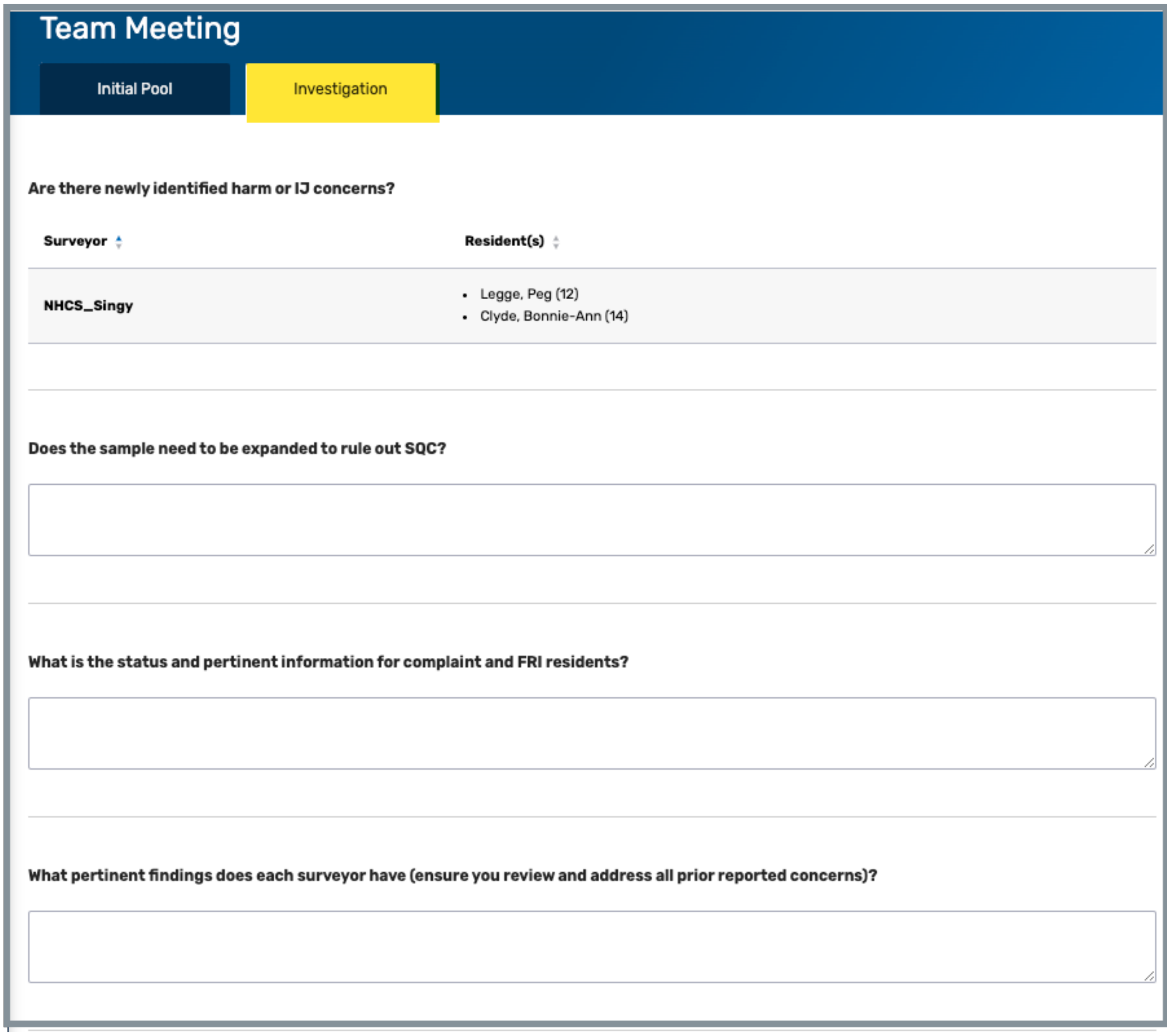
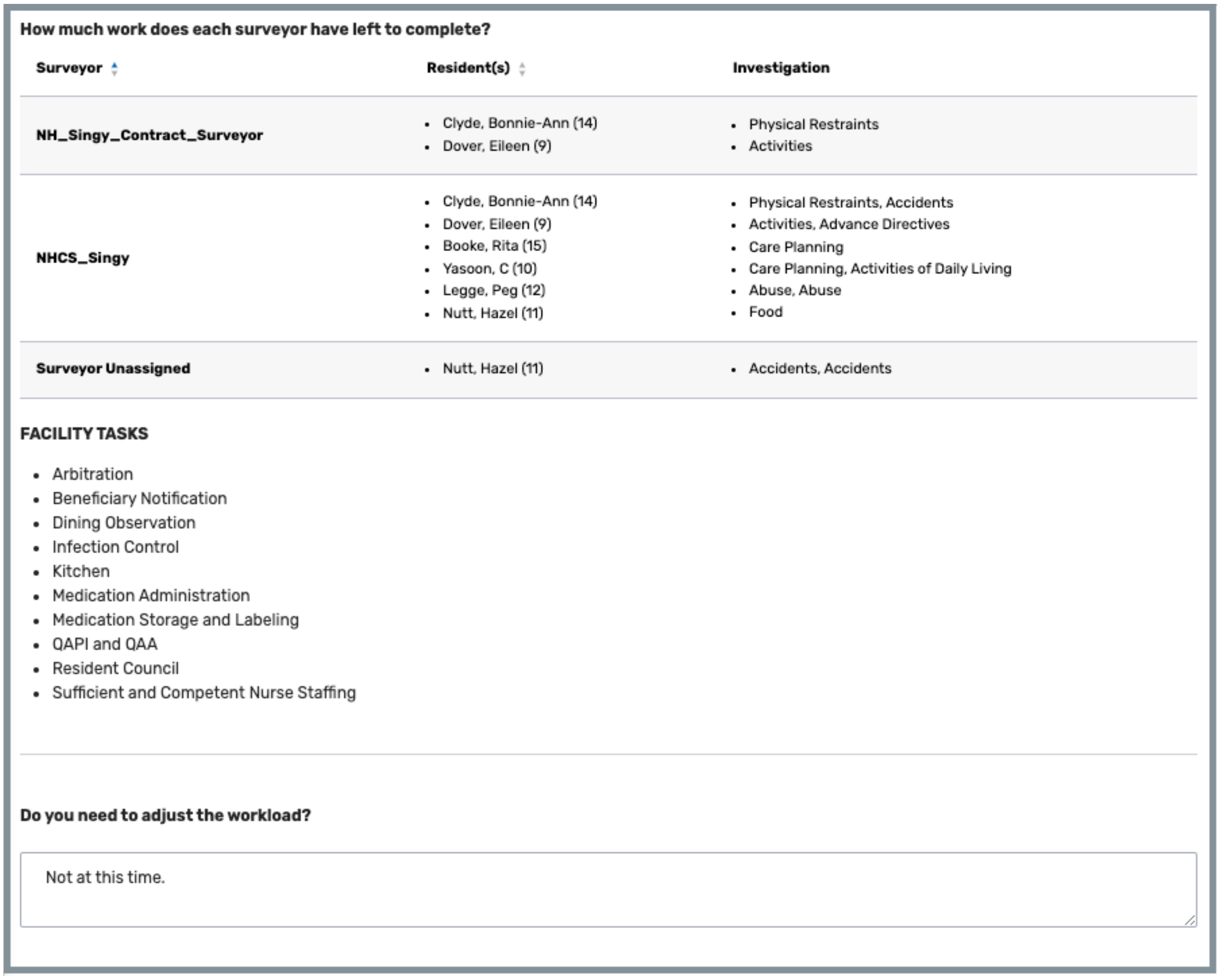


Figure 95: Investigation Information, page 1 of 3



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 96: Investigation Information, page 2 of 3

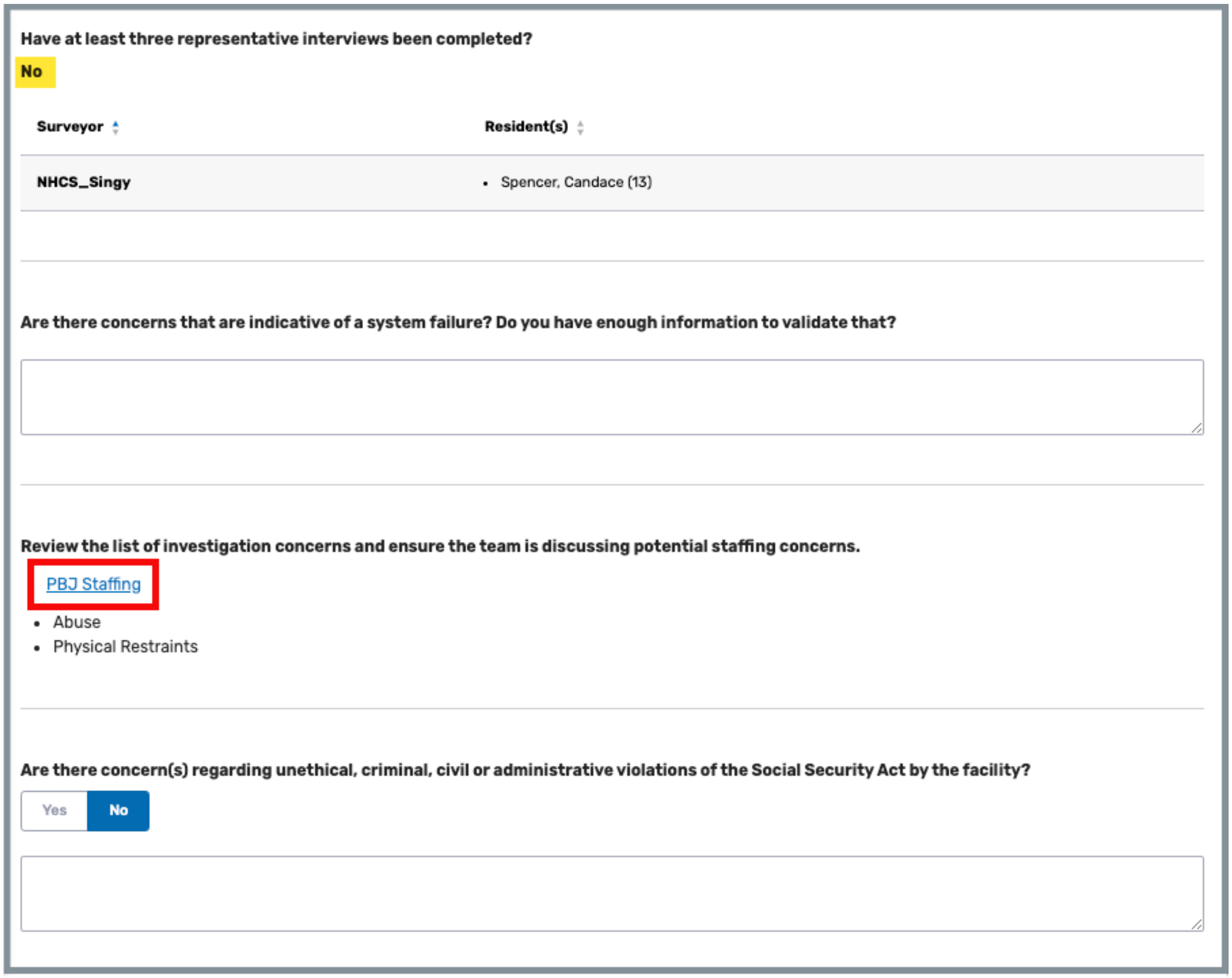


Figure 97: Investigation Information, page 3 of 3

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 98, No Residents Found* and *Figure 99, Residents Will Be Available 5 Business Days Prior to Survey Start Date.*

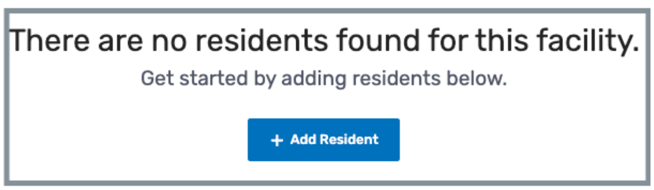


Figure 98: No Residents Available

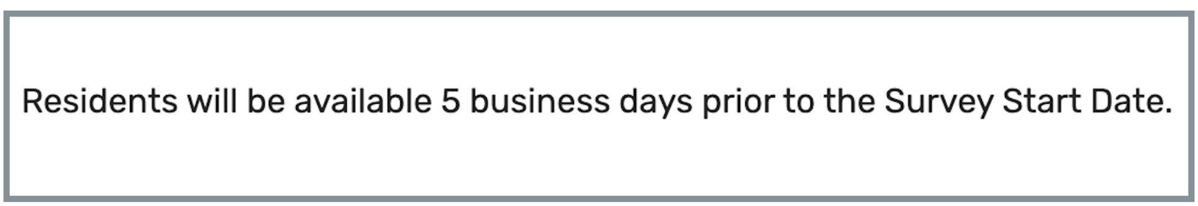


Figure 99: Residents Will Be Available 5 Business Days Prior to Survey Start Date

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

16.1 Resident Manager Overview

Click **Resident Manager** on the drop-down left menu under **Initial Pool**. The **Resident Manager** window opens with **All Residents** and **My Residents** tabs. See *Figure 100, Resident Manager* and *Table 15, Resident Manager Detailed Callouts.*

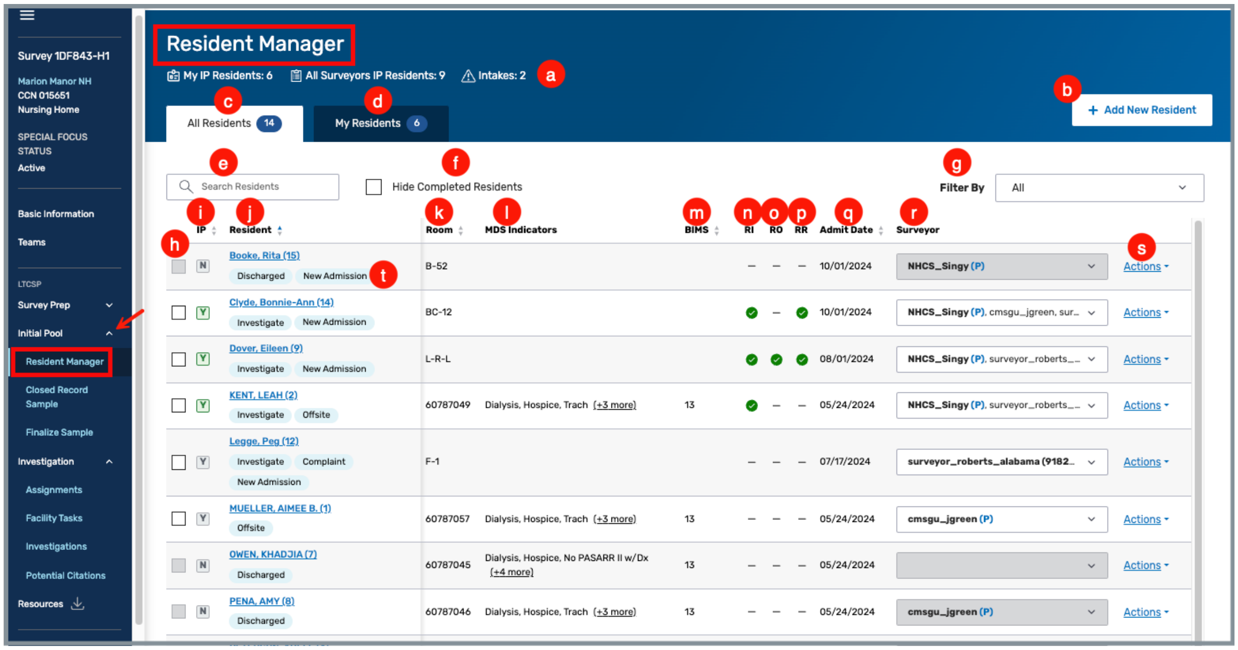


Figure 100: Resident Manager

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 bulk assign surveyors.
i	**IP** (Initial Pool)	**<u>Offsite Badge</u>** **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**. **<u>No Offsite Badge</u>** **U** Unknown. Default setting. Resident are not included in the Initial Pool. **N** No. Resident are not included in Initial Pool. **M** Maybe. Resident are not included in Initial Pool. **Y** Yes. Resident are 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.
m	**BIMS**	The Brief Interview for Mental Status score

No.	Section Detail	Description
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 101, Add New Resident*. The **Add New Resident** pop-up window opens. See *Figure 102, Add New Resident Pop-Up Window*.

Figure 101: Add New Resident

Figure 102: 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 103, Update Resident*. The **Update Resident** pop-up window opens. See *Figure 104, Update Resident Pop-Up Window*.

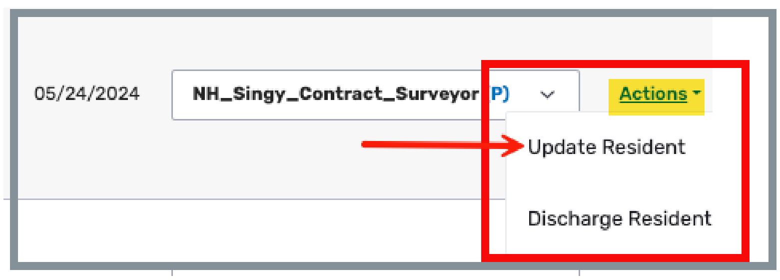


Figure 103: Update Resident

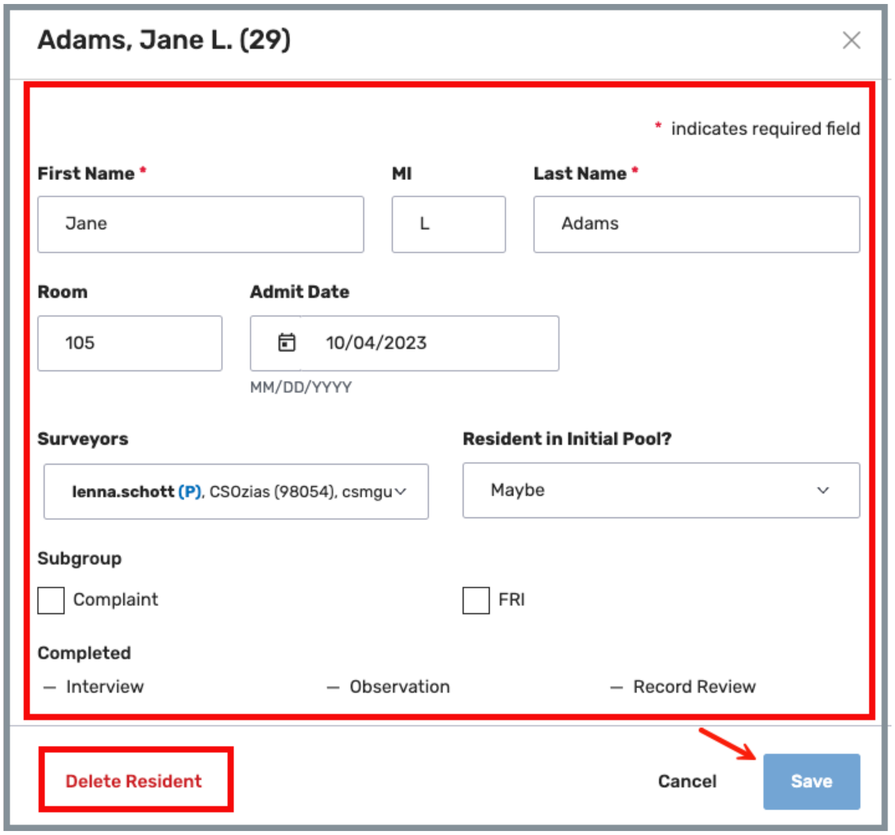


Figure 104: Update Resident Pop-Up Window

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 105, Update Resident*. The **Update Resident** pop-up window opens. See *Figure 106, Update Resident Pop-Up Window*.

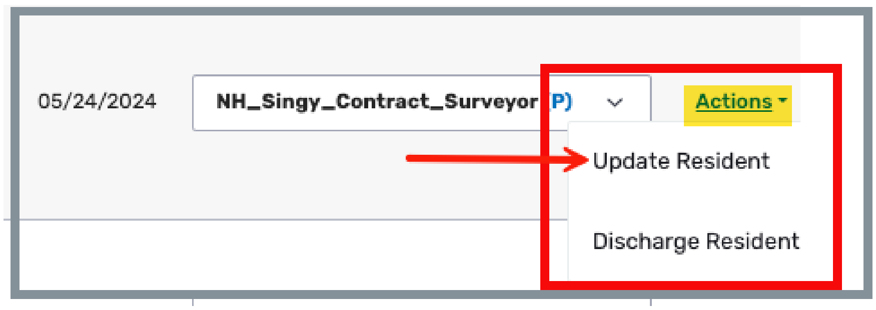


Figure 105: Update Resident

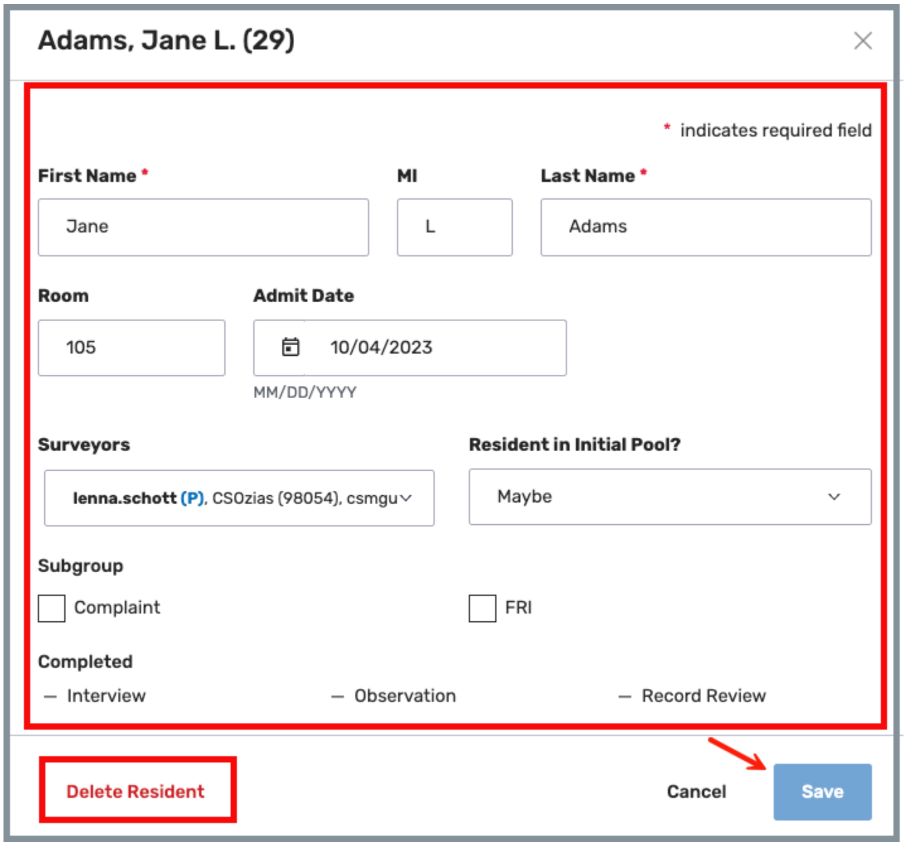


Figure 106: Update Resident Pop-Up Window

16.4.2 Fill out the required information.

16.4.3 Click **Delete Resident**. The **Delete Resident** pop-up window opens. See *Figure 107, Delete Resident Pop-Up Window.*

Figure 107: 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 108, Discharge Resident.*

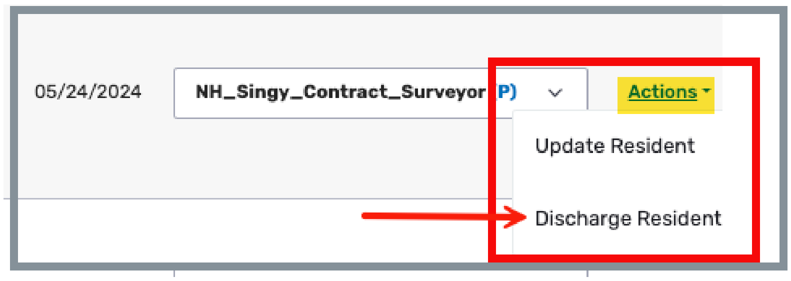


Figure 108: Discharge Resident

Notes:

- When the resident has no **Offsite** badge, the **Discharge Resident** pop-up window opens. See *Figure 109, Discharge Resident.* Click **Yes, Discharge.**

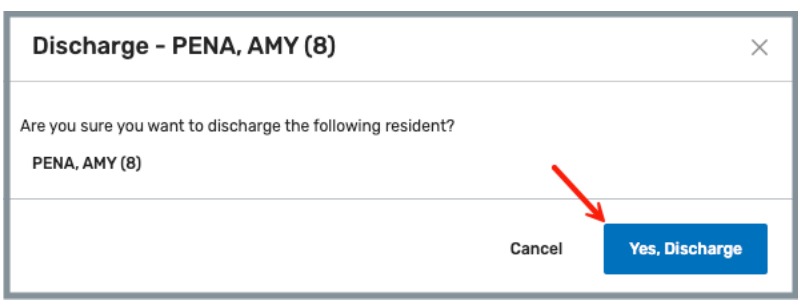


Figure 109: Discharge Resident

- When the resident has the **Offsite** badge, the **Select Closed Record Reason** pop-up window opens. See *Figure 110, Select Closed Record Reason.* Click **Save**.

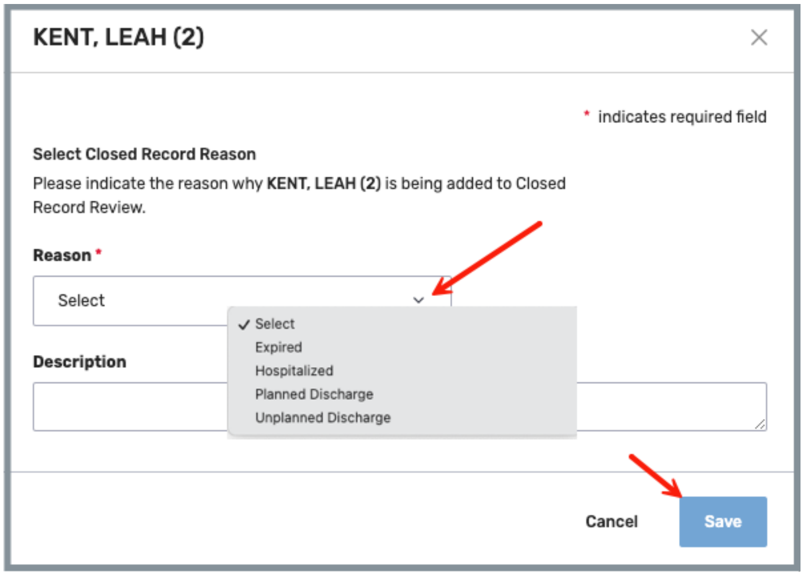
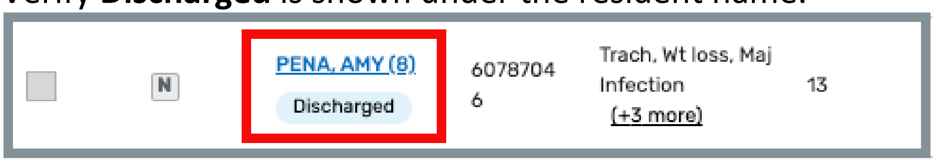


Figure 110: Select Closed Record Reason

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

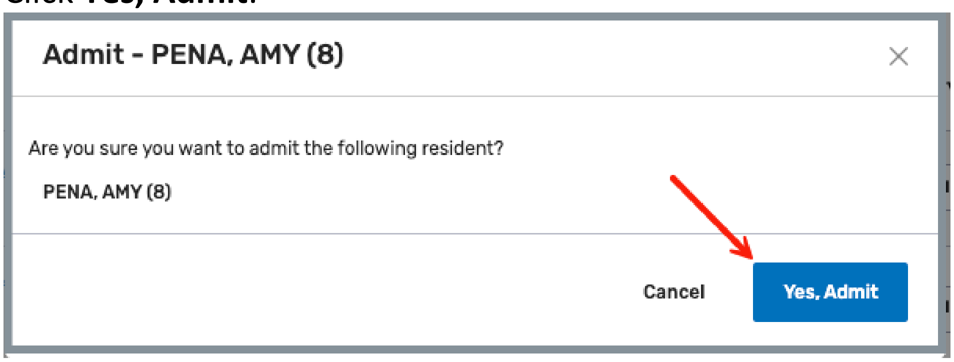
Notes:

- 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 111, Admit Resident.*

Figure 111: Admit Resident

16.6.2 Click **Yes, Admit**.



16.6.3 Verify **Discharged** is no longer shown under the resident's name. See *Figure 112, Admitted Resident.*

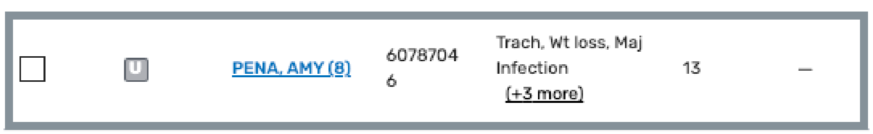


Figure 112: Admitted Resident

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 113, Bulk Assign Surveyors.*

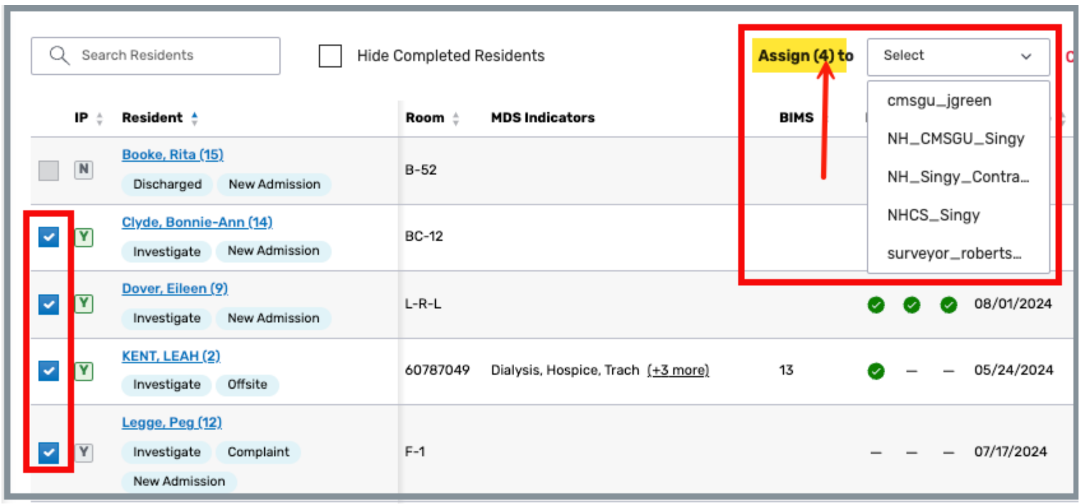


Figure 113: Bulk Assign Surveyors

16.8.2 Select the surveyor to be assigned to the resident. A **Confirm Assignment** pop-up window opens. See *Figure 114, Confirm Assignment.*

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

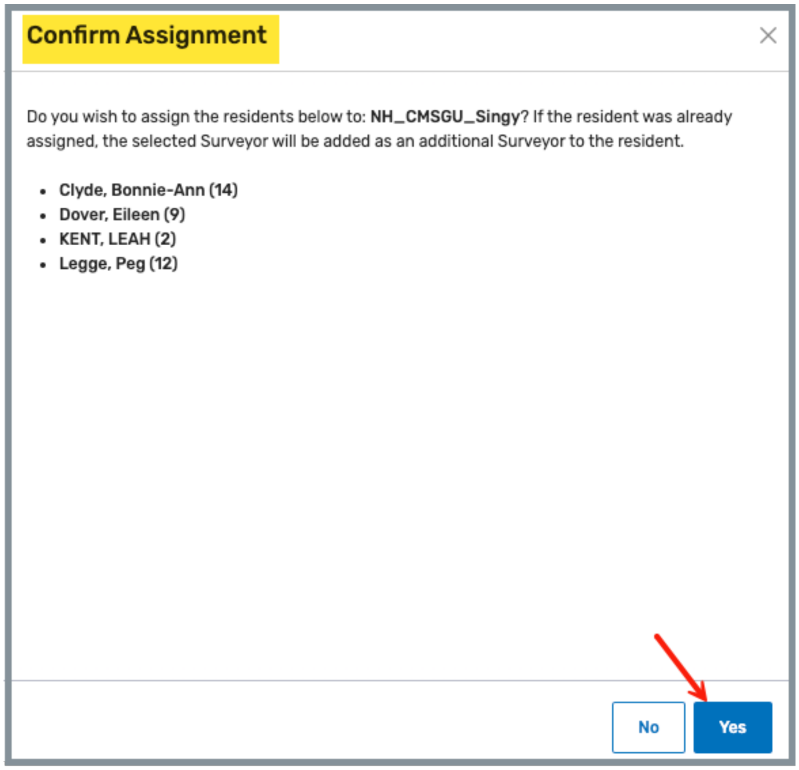


Figure 114: Confirm Assignment

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

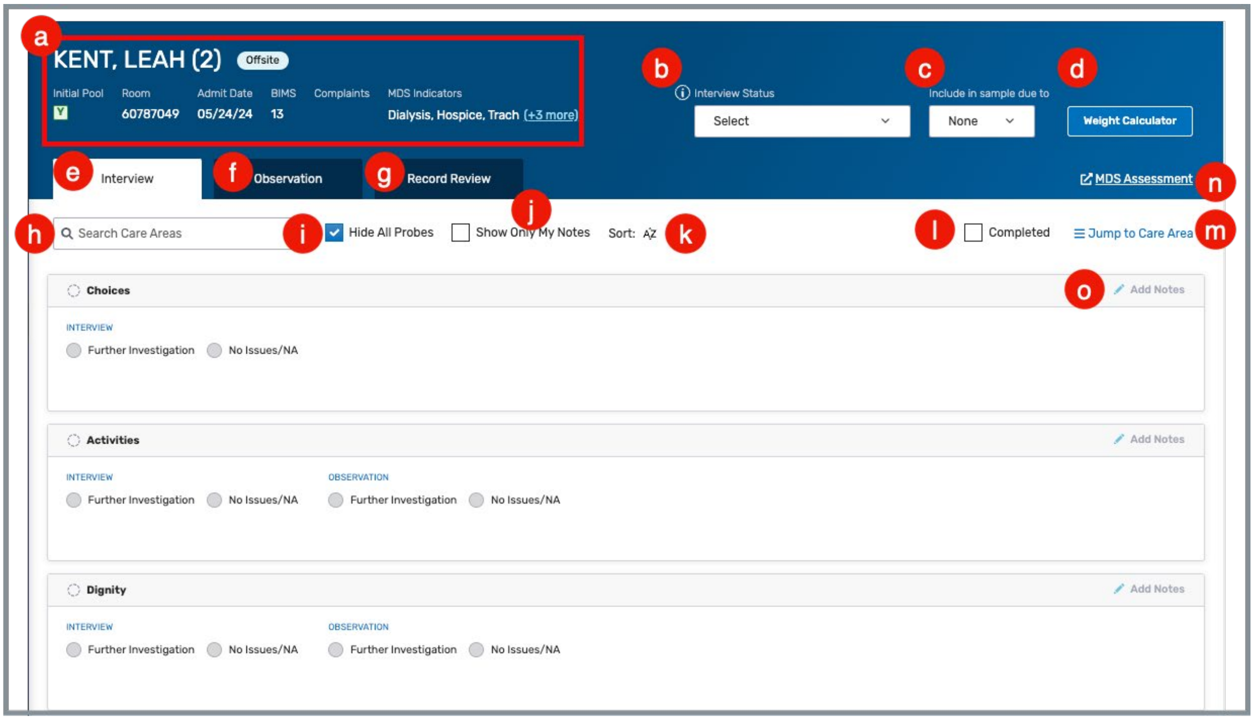


Figure 115: Resident Overview Initial Pool

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 116, Jump to Care Area.* The **Care Area** side menu opens. See *Figure 117, Care Areas Side Menu* and *Table 18, Care Areas Side Menu Detailed Callout.*

Figure 116: Jump to Care Area

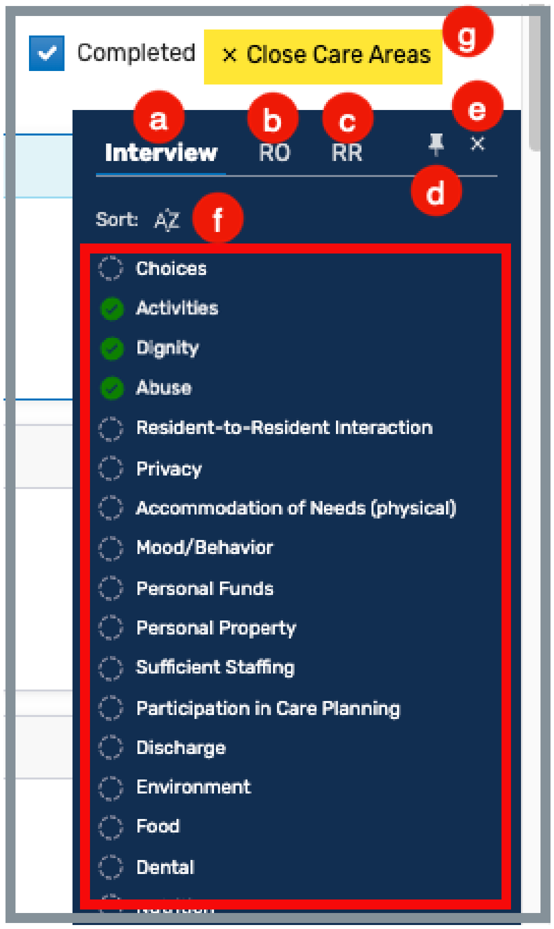


Figure 117: Care Areas Side Menu

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 118, Care Area Notes Icon*. The care area splits into two columns. See *Figure 119, 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.

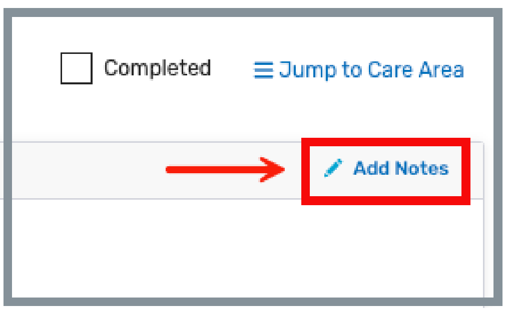


Figure 118: Care Area Notes Icon

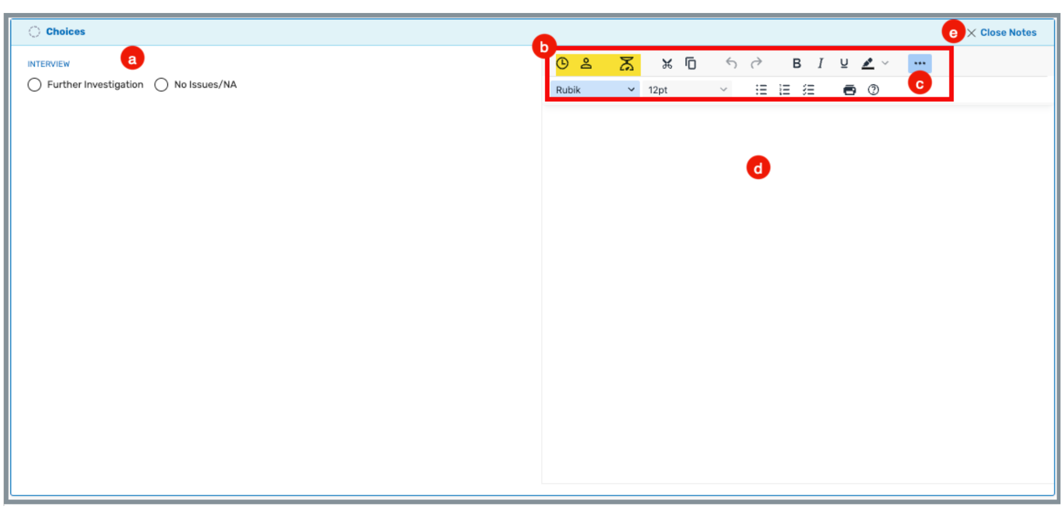


Figure 119: Care Area Notes

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 120, 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.

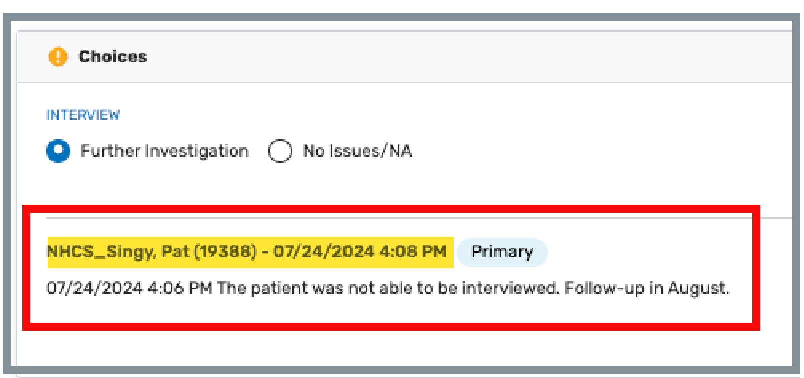


Figure 120: Care Area Entered Notes

17.4 Minimum Data Set (MDS) Discrepancy

Notes:

- The Resident Assessment is triggered at start sample finalization and the resident is added at that time, if Resident Assessment has not been triggered and there are residents who are marked with MDS Discrepancy and is not Further Investigation (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, when a care area is marked as an MDS Discrepancy and is not FI.
- 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 121, MDS Discrepancy Checkbox.*

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

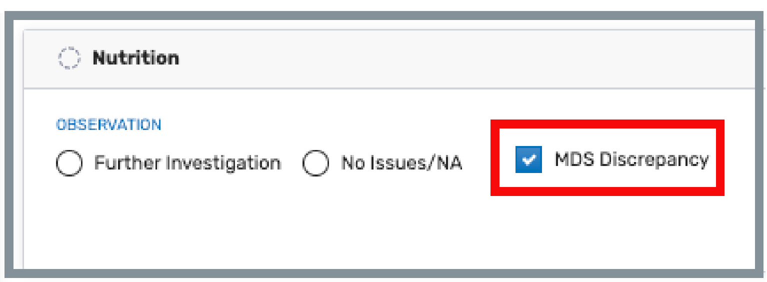


Figure 121: MDS Discrepancy Checkbox

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 122, 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.

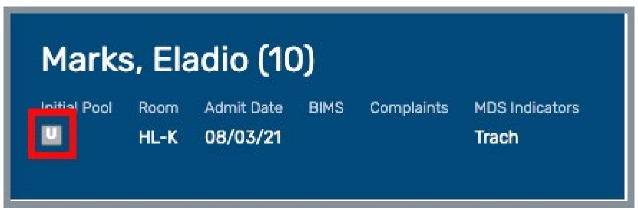


Figure 122: Initial Pool Status

17.6.2 Select the radio button next to **Yes**. See *Figure 123, Initial Pool Status Change.*

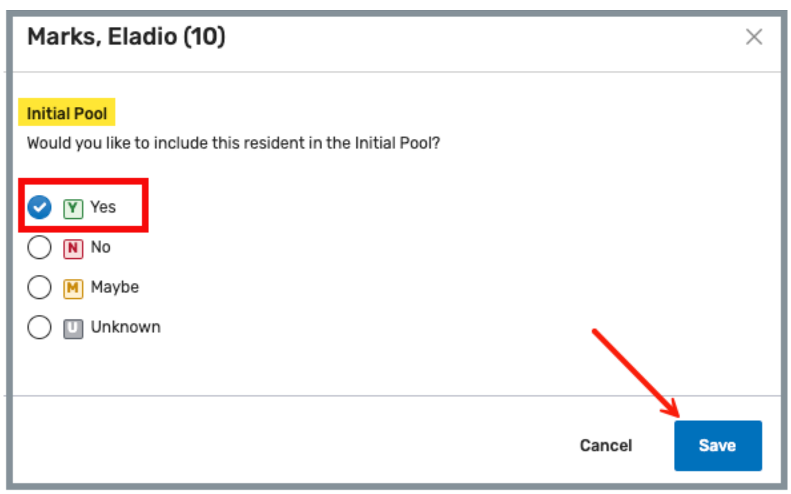


Figure 123: Initial Pool Status Change

Note: Offsite-selected residents show MDS indicators. See *Figure 124, Initial Pool Status Change with MDS Indicators.*

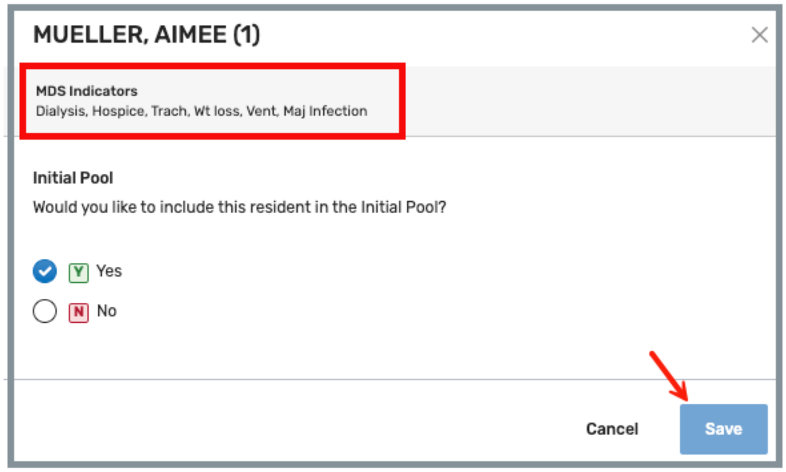


Figure 124: Initial Pool Status Change with MDS Indicators

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 125, Interview Tab Completed.*

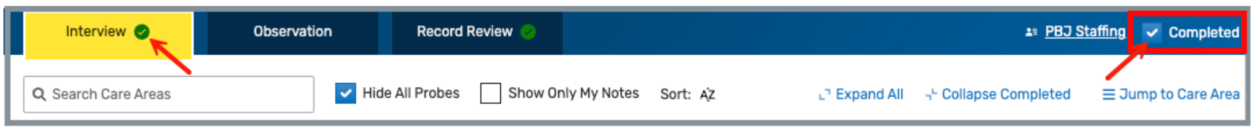


Figure 125: Interview Tab Completed

17.7.1 Edit the Care Areas.

Select an interview status to edit the **Interview** tab. See *Figure 126, 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 127, Further Investigation Indicator*.

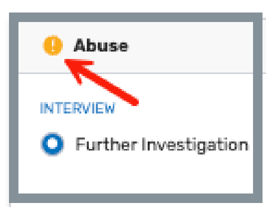


Figure 126: Further Investigation Indicator

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.

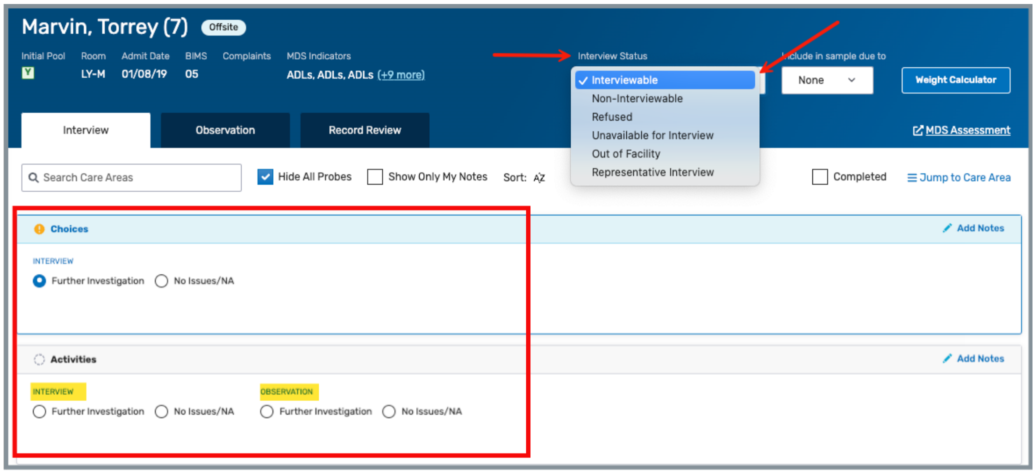


Figure 127: Select Interview Status

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 128, RRI Contact.* The **RRI Contact Info** opens.

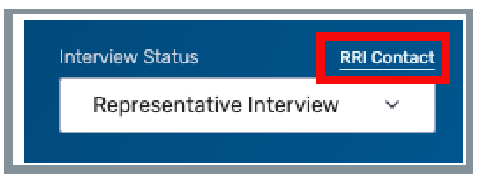


Figure 128: RRI Contact

17.7.2.3 Type the contact information for the resident representative in the pop-up window. See *Figure 129, RRI Contact Info Pop-Up Window*.

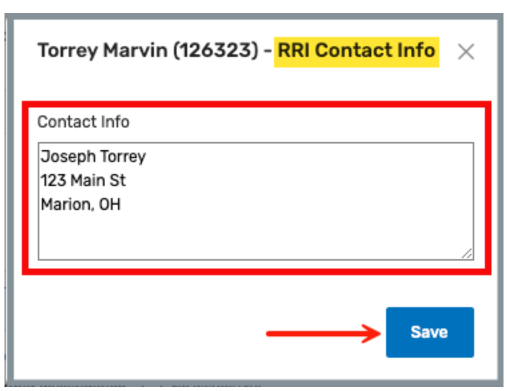


Figure 129: RRI Contact Info Pop-Up Window

17.7.2.4 Click **Save**.

17.7.2.5 The RRI contact icon appears next to the **RRI Contact** link. See *Figure 130, RRI Contact Icon.*

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

Figure 130: 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 131, Observation Tab Completed.*

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

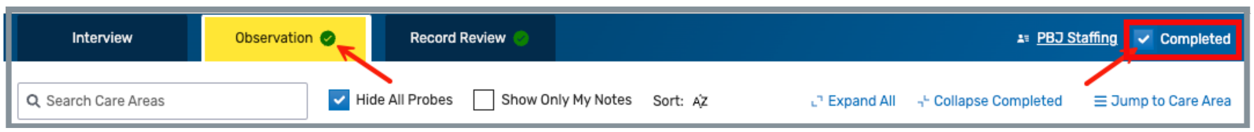


Figure 131: Observation Tab Completed

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 132, Record Review Tab Completed.*
- All care areas do not have to be marked with response options to mark the Record Review complete.

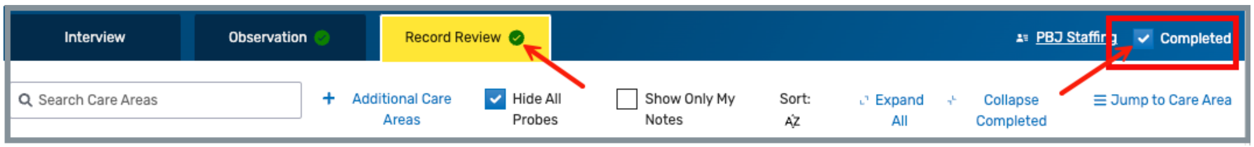


Figure 132: Record Review Tab Completed

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 133, Additional Care Areas.*

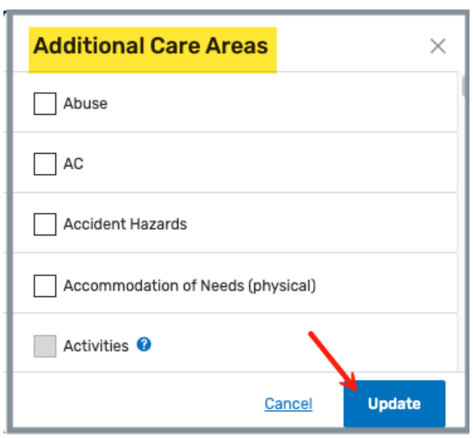


Figure 133: Additional Care Areas

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 134, Closed Record Sample Candidates* and *Table 21, Closed Record Sample Candidates Detailed Callout.*

Notes:

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

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

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

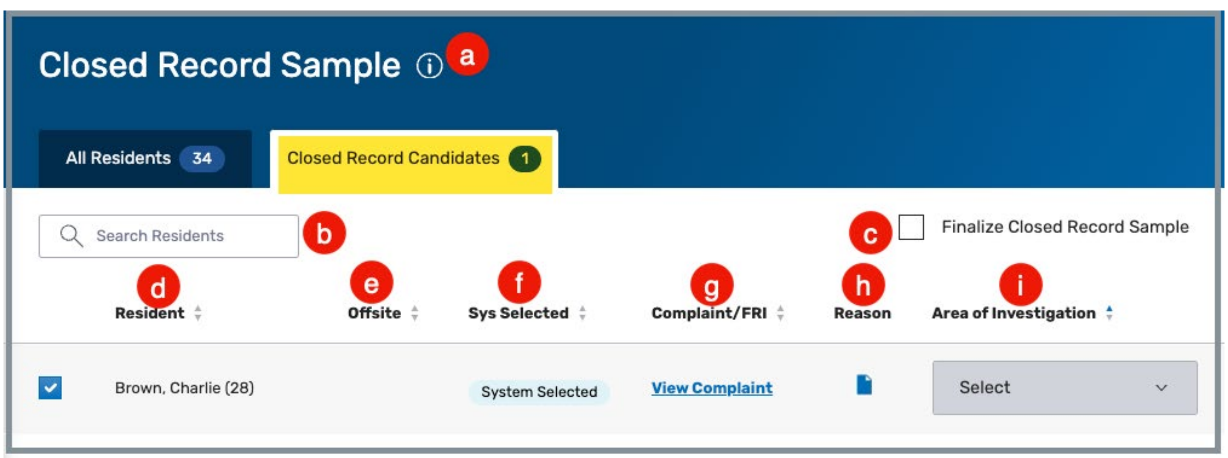


Figure 134: Closed Record Sample Candidates

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

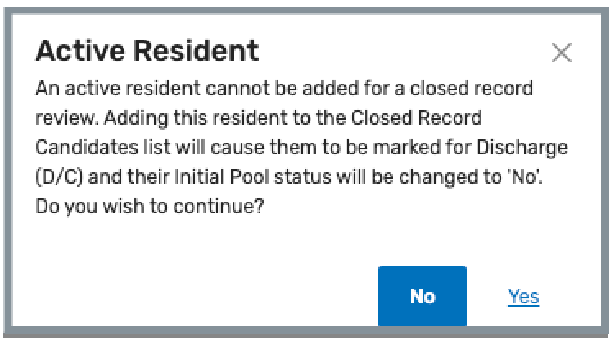


Figure 135: Active Resident Pop-Up Window

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 136, 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 136: 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 137, 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.

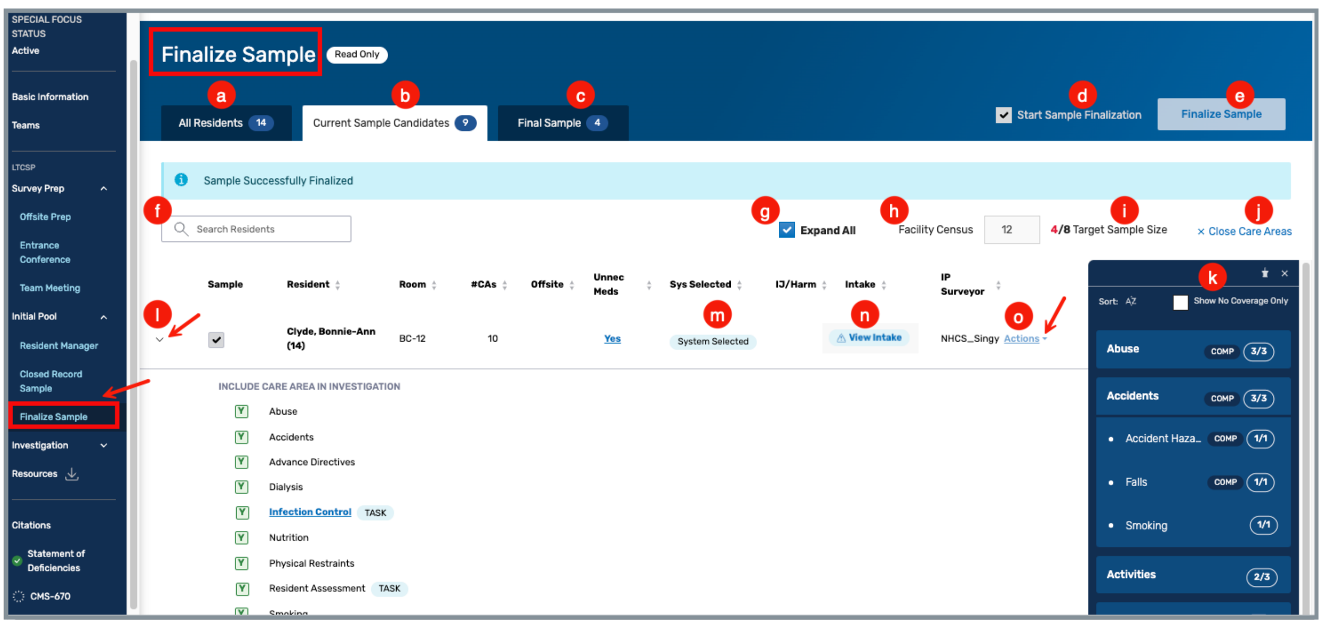


Figure 137: Finalize Sample Candidates

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 138, Unnecessary Medications Resident Selection*.

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

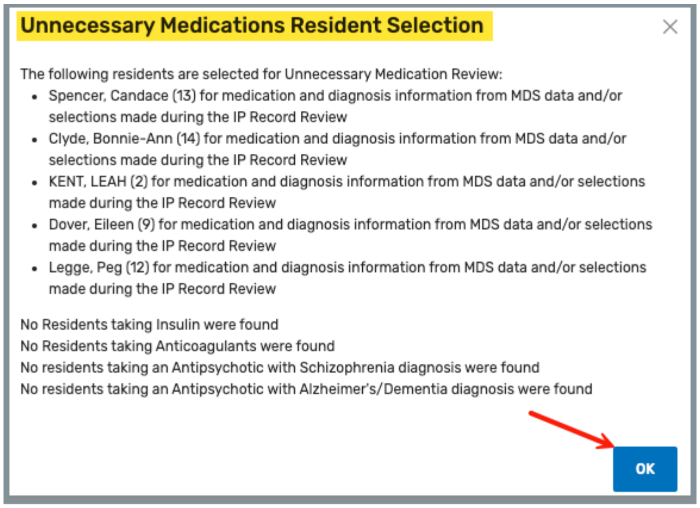


Figure 138: Unnecessary Medications Resident Selection

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 139, Care Area Detailed Information.*

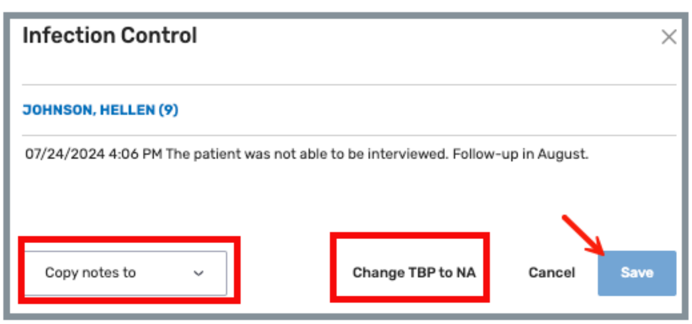


Figure 139: Care Area Detailed Information

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 140, Remove a Resident Care Area*.

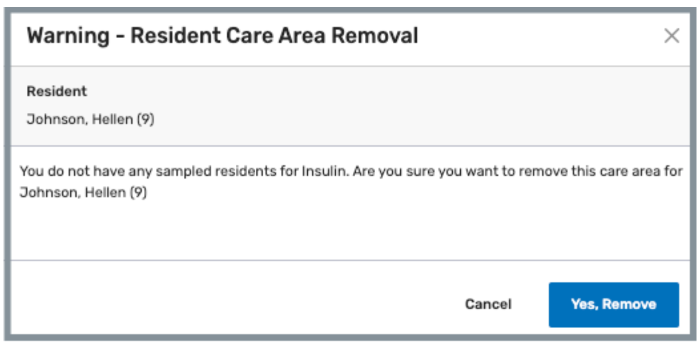


Figure 140: Remove a Resident Care Area

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 141, Sample Successfully Finalized Blue Notification Banner*.

Figure 141: 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 142, Finalize Sample Warning Window.* Type a rationale in the **Rationale** box to override the warning and click **Save**.

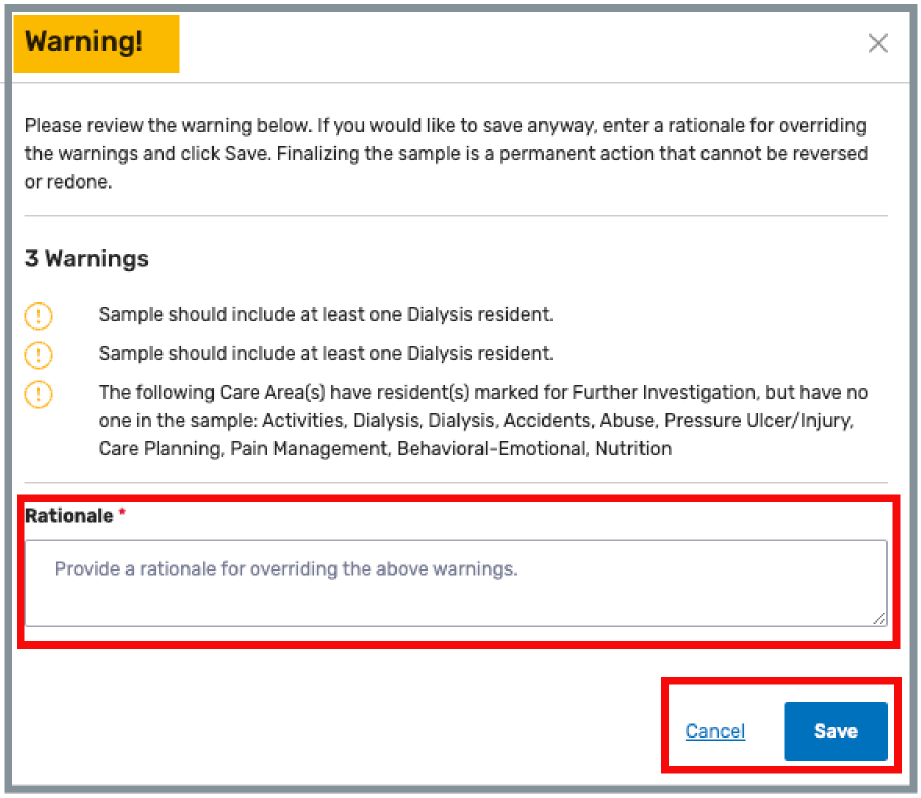


Figure 142: Finalize Sample Warning Window

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 143, Investigation Assignments* and *Table 23, Investigation Assignments Detailed Callout.*

Note: Columns are sortable.

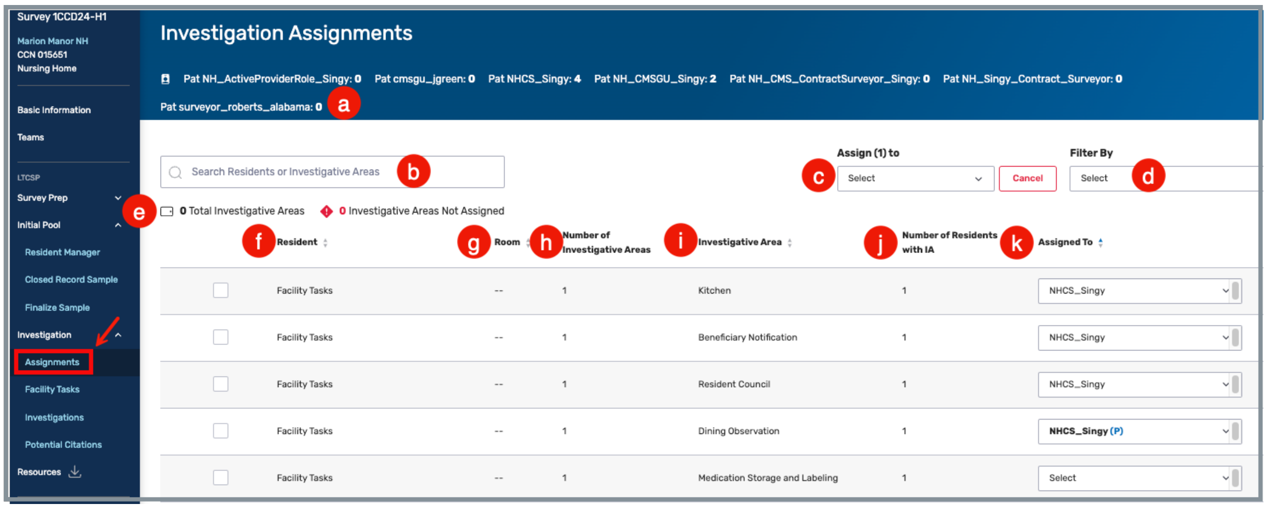


Figure 143: Assignments Left Menu

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 144, Assign a Surveyor to an Investigation.*

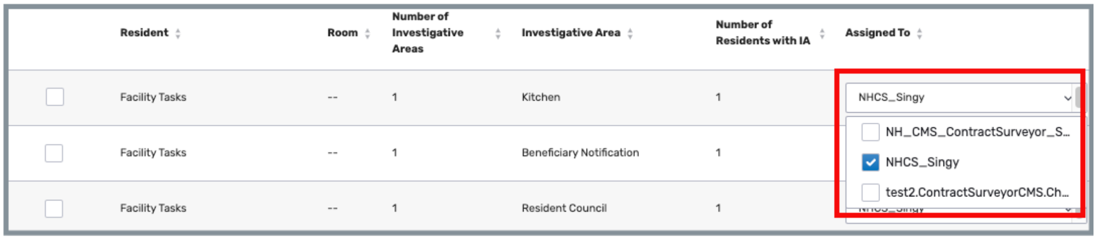


Figure 144: Assign a Surveyor to an Investigation

20.2.2 Verify a green task banner confirms the surveyor was updated. See *Figure 145, Facility Task Surveyors Green Notification Banner.*

Figure 145: 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 146, Bulk Assign Investigations.*

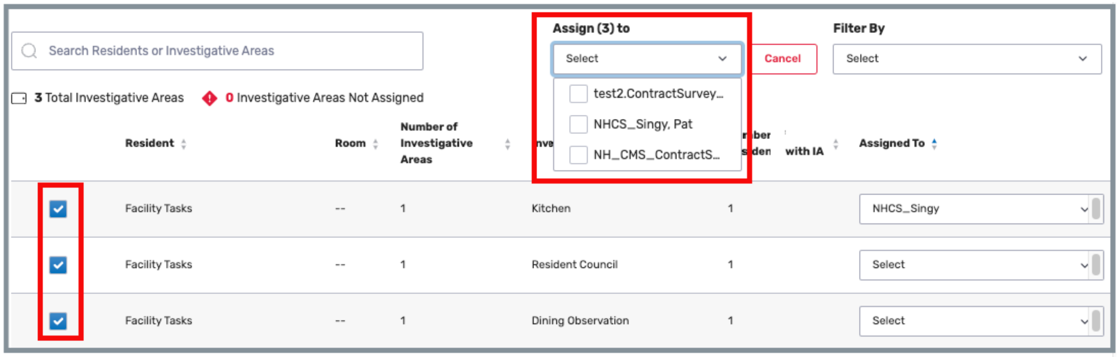


Figure 146: Bulk Assign Investigations

20.3.3 The **Confirm Assignment** pop-up window opens and asks for confirmation to assign the surveyor or surveyors. See *Figure 147, 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.

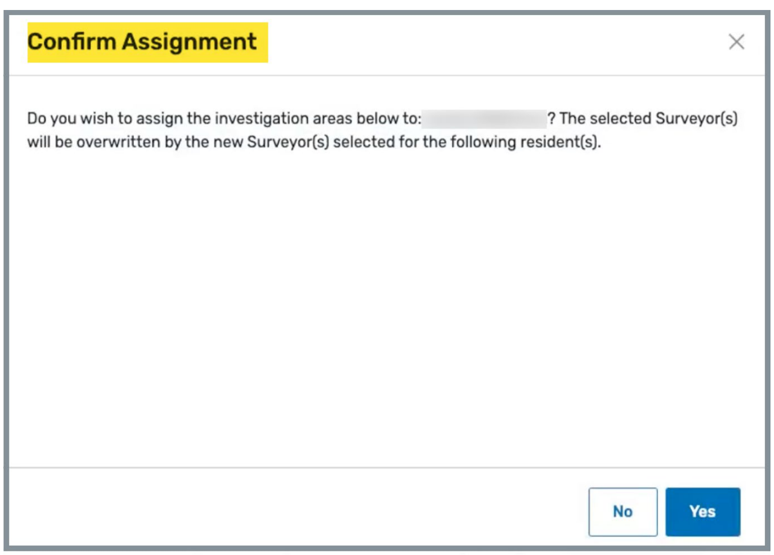


Figure 147: Confirm Assignment Pop-Up Window

20.3.4 Click **Yes**.

20.3.5 Verify a green task banner confirms the surveyor was updated. See *Figure 148, Facility Task Surveyors Green Notification Banner.*

Figure 148: Facility Task Surveyors Green Notification Banner

21. Facility Tasks

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

21.1 Facility Tasks Overview

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

- The following Mandatory Tasks are displayed for all initial and recertification surveys:
  - Beneficiary Notification
  - Dining Observation
  - Infection Control
  - Kitchen
  - Medication Administration
  - Medication Storage and Labeling
  - QAPI and QAA
  - Resident Council
  - Sufficient and Competent Nurse Staffing
- The following are Triggered Tasks for initial and recertification surveys:
  - Arbitration

    Note: Arbitration can also be triggered based on answers in Entrance Conference or Resident Council
  - Environment
  - Personal Funds
  - Resident Assessment
  - Extended Survey
- Triggered Tasks are displayed when any one of the following occurs:
  - A surveyor manually initiates a triggered task
  - The triggered task is linked to an intake in offsite prep
  - A resident with FI for a Care Area can trigger these tasks at final sample

21.2 Navigate to Facility Tasks

Click **Facility Tasks** on the drop-down left menu under **Investigation**. The **Facility Tasks** window opens to the **All Tasks** tab. See *Figure 149, Facility Tasks Left Menu.*

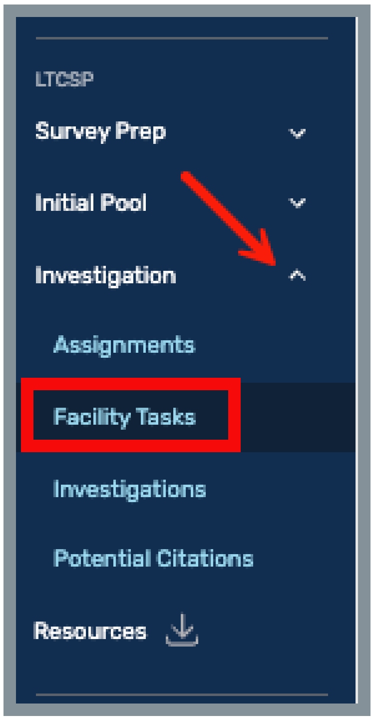


Figure 149: Facility Tasks Left Menu

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

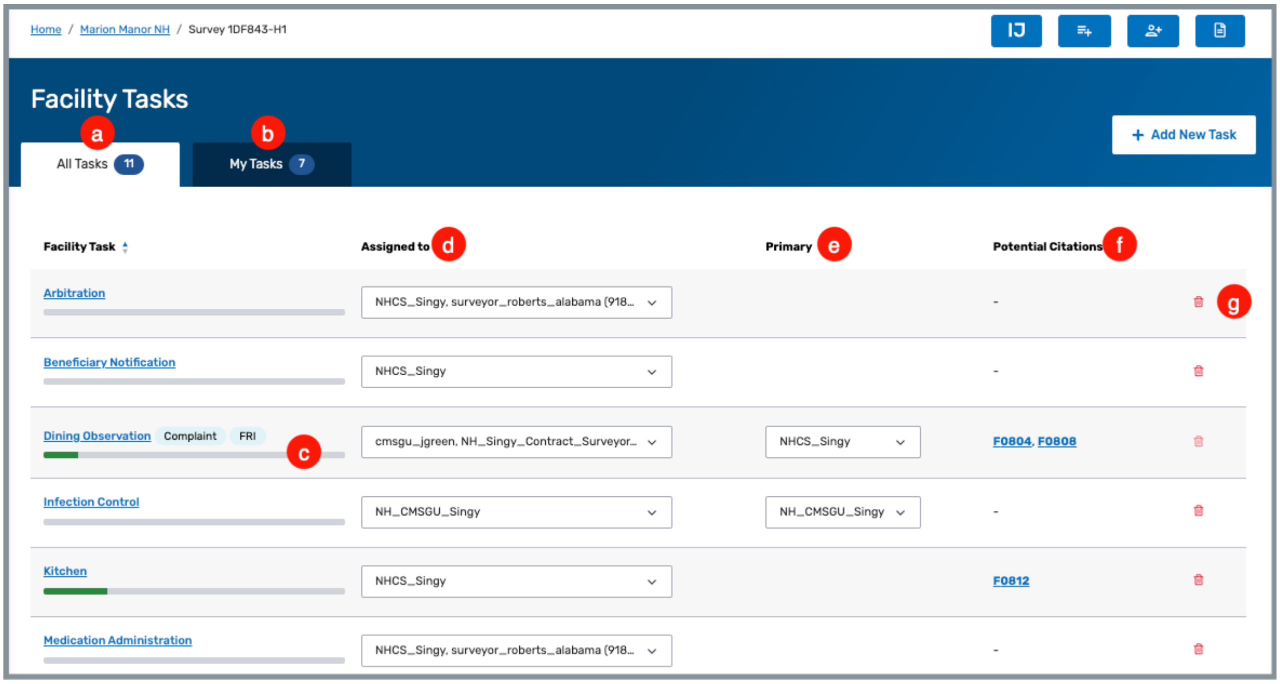


Figure 150: Facility Tasks List

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 151, Assign a Surveyor Drop-Down Menu.*

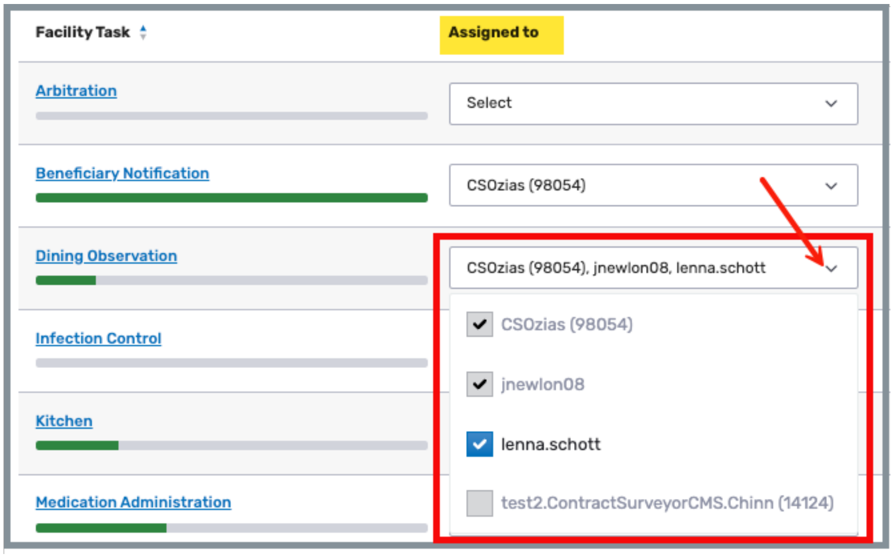


Figure 151: Assign a Surveyor Drop-Down Menu

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 152, Facility Task Surveyors updated successfully.*

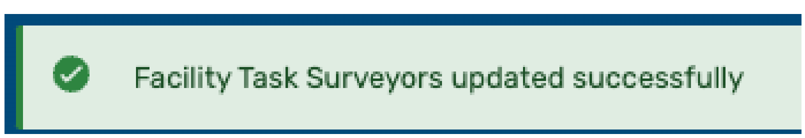


Figure 152: Facility Task Surveyors updated successfully

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 153, Facility Task Staff ID updated successfully Notification Banner.*

Figure 153: 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 154, Facility Task Surveyors updated successfully Notification Banner.*

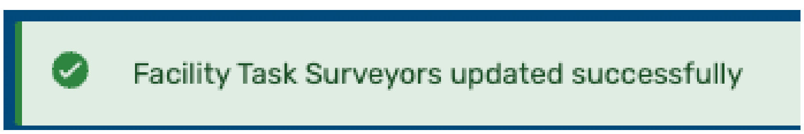


Figure 154: Facility Task Surveyors updated successfully Notification Banner

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

Figure 155: 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 156, Select One or More Task(s).*

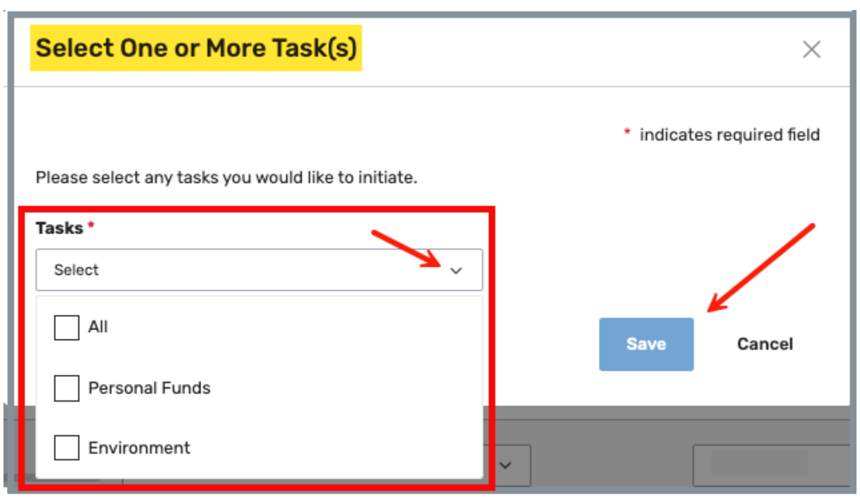


Figure 156: Select One or More Task(s)

21.6.3 Click **Save**.

21.6.4 Verify green notification banner appears. See *Figure 157, Facility Task created successfully Notification Banner.*

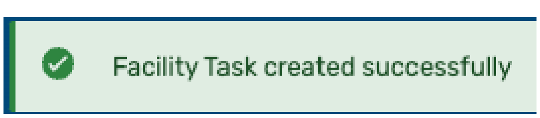


Figure 157: Facility Task created successfully Notification Banner

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 158, Task is Linked to an Intake and Cannot Be Removed.*

Figure 158: 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 159, Task Contains Data and Cannot Be Removed Until Data is Removed.*

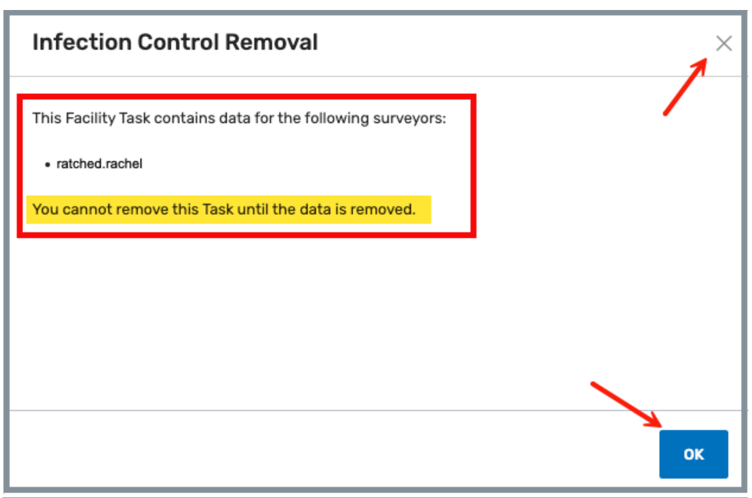


Figure 159: Task Contains Data and Cannot Be Removed Until Data is Removed

The task can be removed

21.7.1 Click the trash icon on the facility task line to remove the facility task. See *Figure 160, Remove a Facility Task.* The **Enter Task Removal Rationale** pop-up window opens.

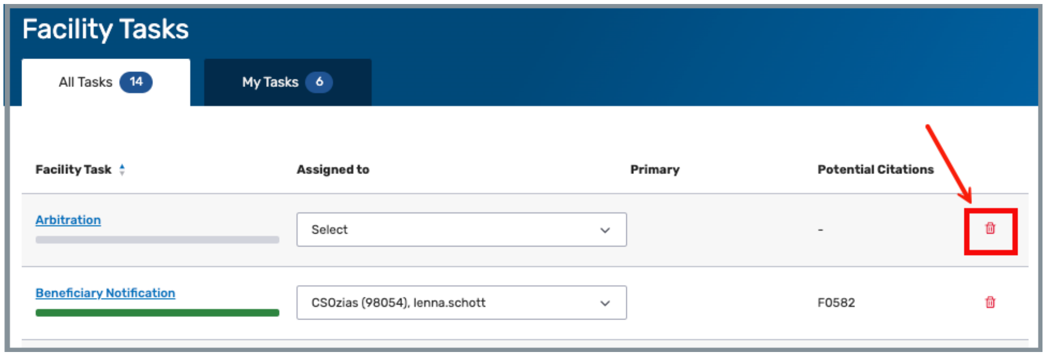


Figure 160: Remove a Facility Task

21.7.2 Select the rationale from the drop-down menu under **Rationale**. See *Figure 161, Enter Task Removal Rationale Pop-Up Window.*

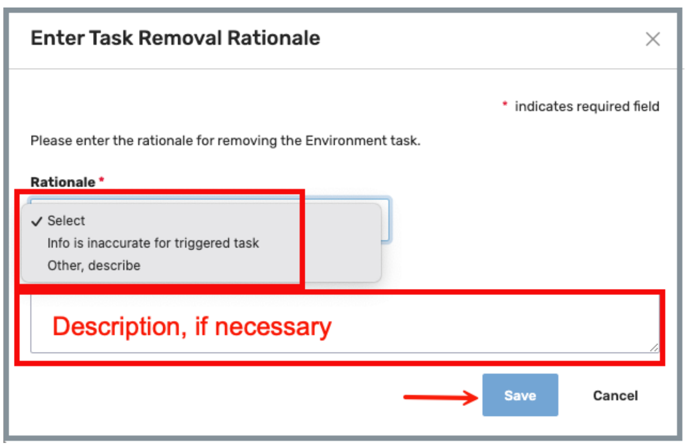


Figure 161: Enter Task Removal Rationale Pop-Up Window

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 162, Clickable Facility Tasks Links.* The task opens in the same window.

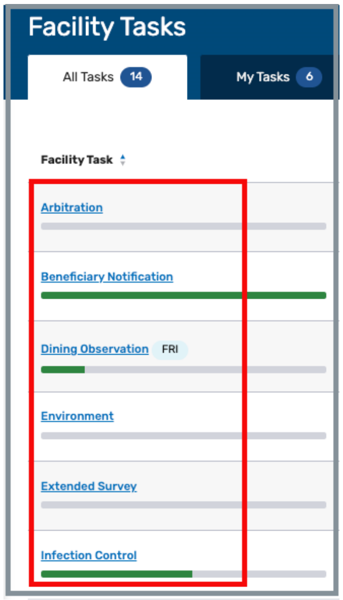


Figure 162: Clickable Facility Tasks Links

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 163, 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 163: 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 164, Notes Icon.*

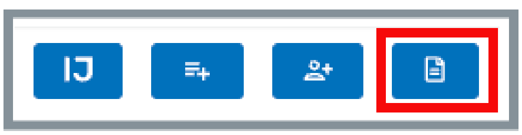


Figure 164: Notes Icon

- 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 165, 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.

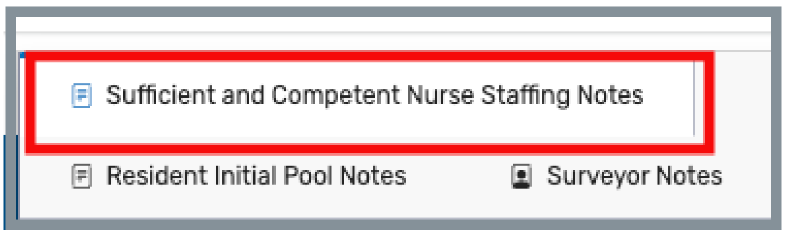


Figure 165: Facility Notes View

- 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 166, Facility Notes Bottom Screen Icon.*

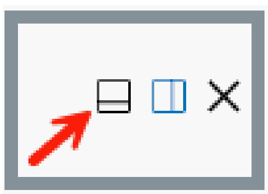


Figure 166: Facility Notes Bottom Screen Icon

- 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 167, 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

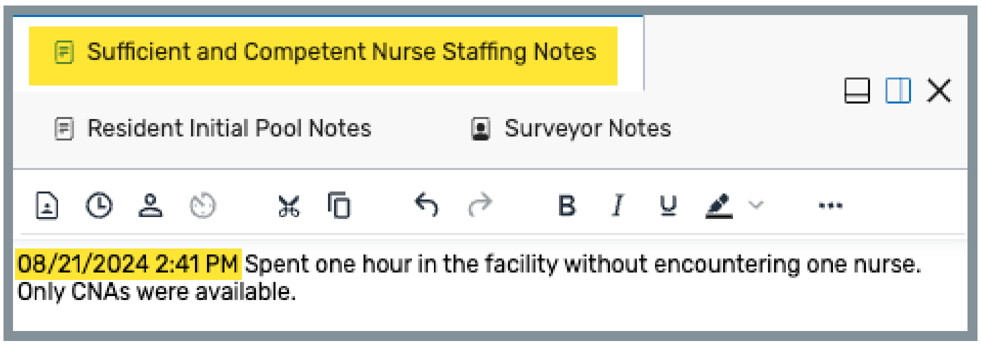


Figure 167: Sample Facility Note

- Facility Notes are autosaved.
- The **Last saved** date and time shows at the bottom of the Facility Notes. See *Figure 168, Facility Notes Last Saved Date and Time.*

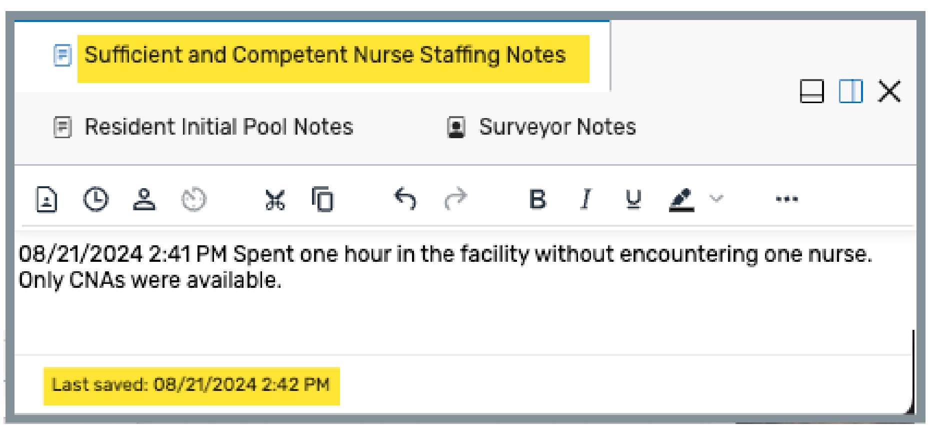


Figure 168: Facility Notes Last Saved Date and Time

Custom Toolbar Functions

There are 4 custom toolbar options among the normal standard formatting options. See *Figure 169, Facility Notes Custom Toolbar Functions.*

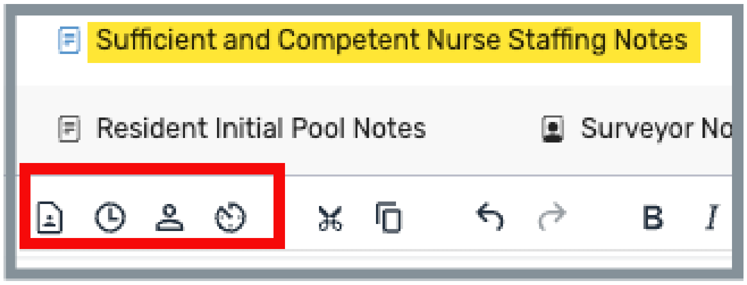


Figure 169: Facility Notes Custom Toolbar Functions

From left to right they are:

- View All Facility Notes
- Insert Date/Time Stamp
- Insert Resident ID
- Notes History

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

- **View All Facility Notes**

  View all team member's Facility Notes. See *Figure 170, View All Facility Notes.* Click any name to view the Facility Note.

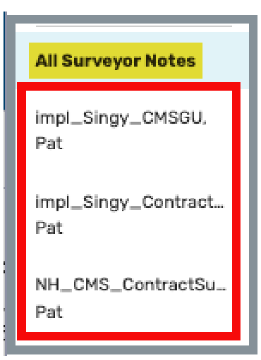


Figure 170: View All Facility Notes

  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 171, Facility Notes Formatting Menu.*

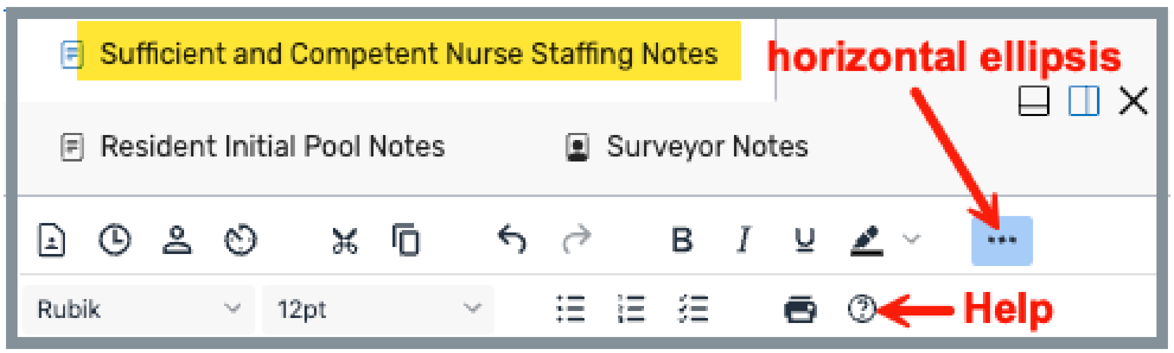


Figure 171: Facility Notes Formatting Menu

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

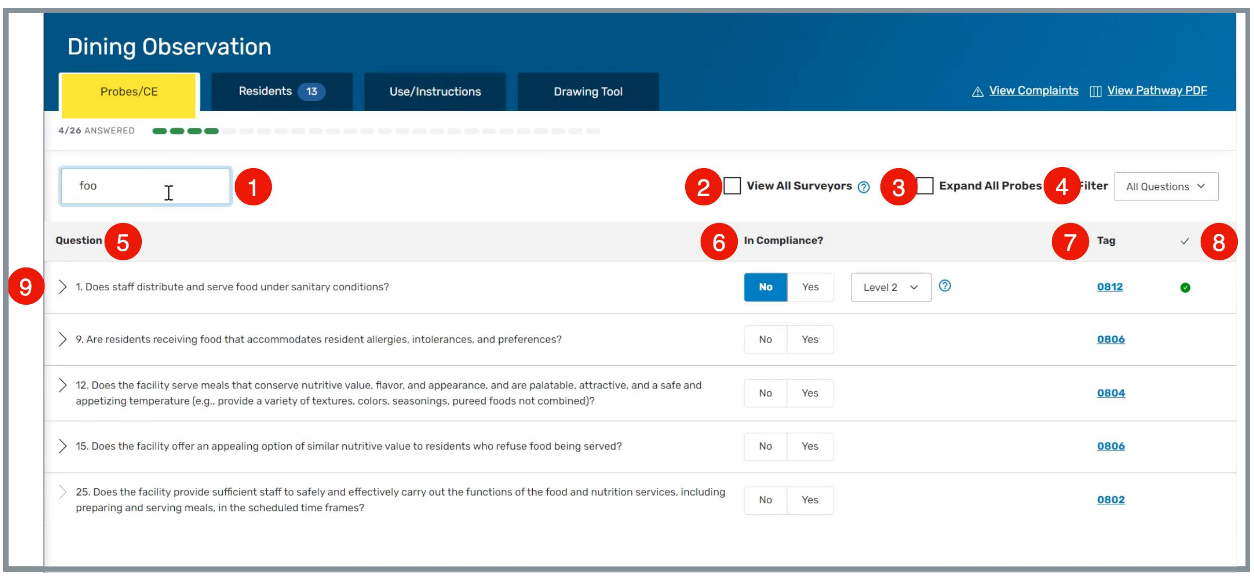


Figure 172: Probes Tab Example

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 173, 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 174, Expand Question.*

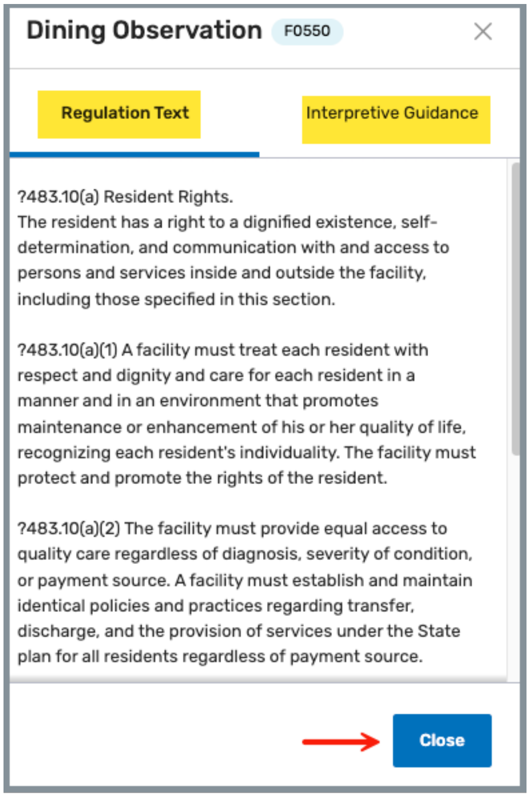


Figure 173: Regulation Text Tag

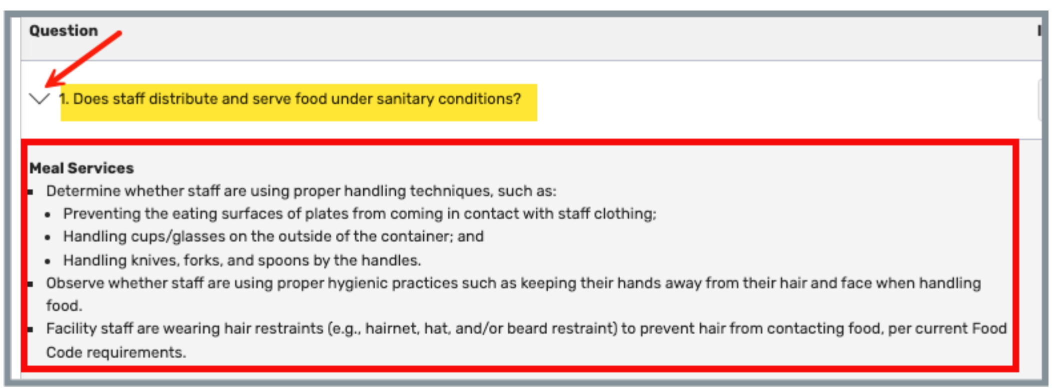


Figure 174: Expand Question

21.11 Residents Tab

Purpose:

Notes:

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

Review dining information. See *Figure 175, Residents Tab Example* and *Table 26, Residents Tab Example Detailed Callout*.

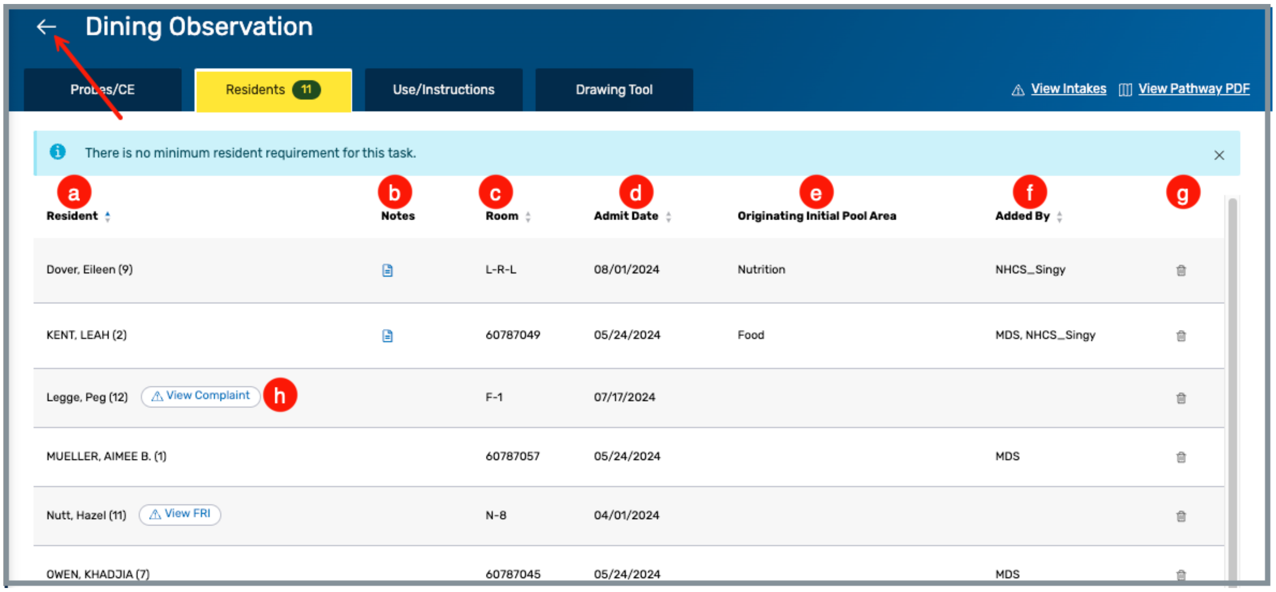


Figure 175: Residents Tab Example

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:
  - Survey Prep (Offsite Prep, Entrance Conference, Team Meeting)
  - Initial Pool (Resident Manager, Closed Record Sample, Finalize Sample)
  - Investigation (Facility Tasks, Investigations, Potential Citations).

21.12.1 Click the **Add Residents for Task** icon on the top right of the screen. See *Figure 176, Add a Resident for Task Icon.* The **Add Residents for Task** window opens. See *Figure 177, 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.

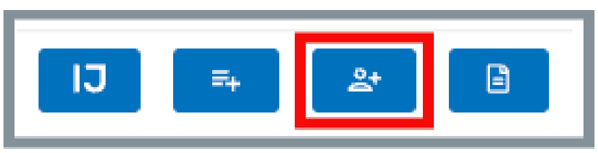


Figure 176: Add a Resident for Task Icon

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.

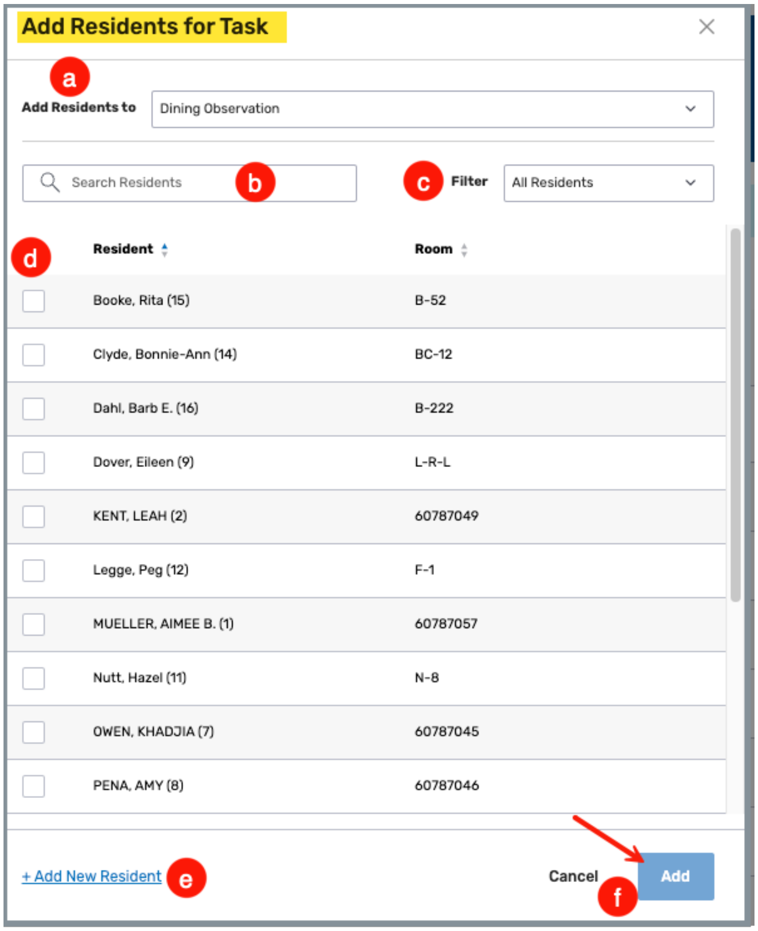


Figure 177: Add Residents for Task

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 178, Facility Task Residents Created Successfully*.

Figure 178: 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 179, There Are No Residents Added to Task.* Click **+ Add Residents** to add residents and follow instructions in this step.

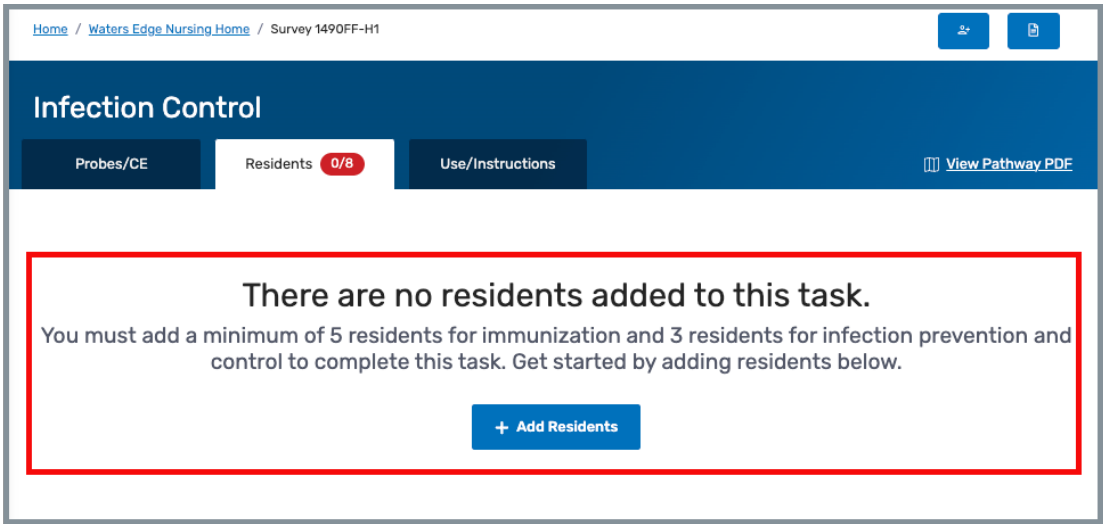


Figure 179: There Are No Residents Added to Task

- **You haven't met your resident minimum of [number] residents yet** notification banner. See *Figure 180, 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 180: 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 181, 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.

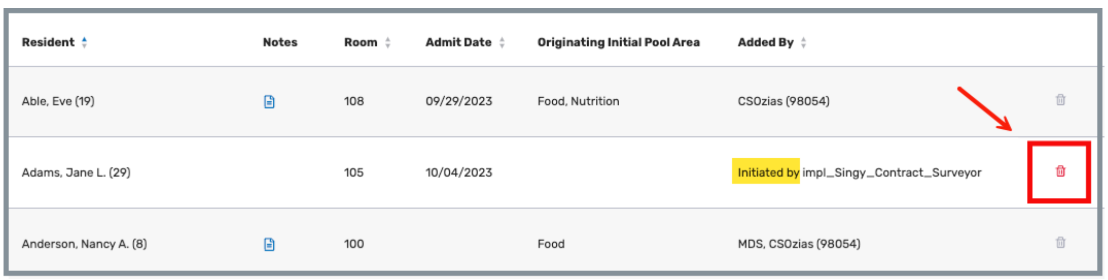


Figure 181: Remove a Resident

21.13.2 Verify the correct resident is being removed. See *Figure 182, Yes, Remove*.

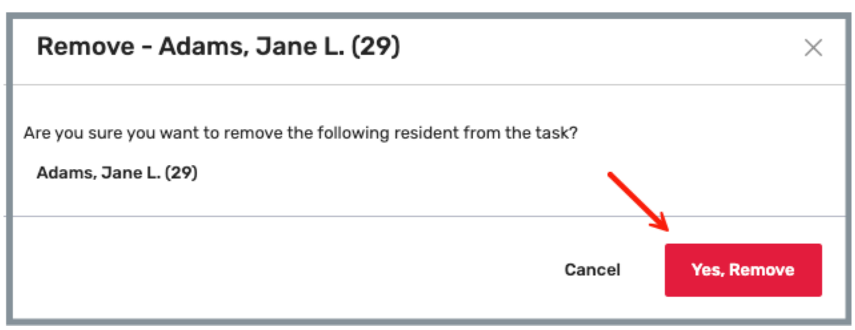


Figure 182: Yes, Remove

21.13.3 Click **Yes, Remove**.

21.13.4 Verify green notification banner appears. See *Figure 183, Resident Successfully Removed from Task.*

Figure 183: 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 184, Use/Instructions.*

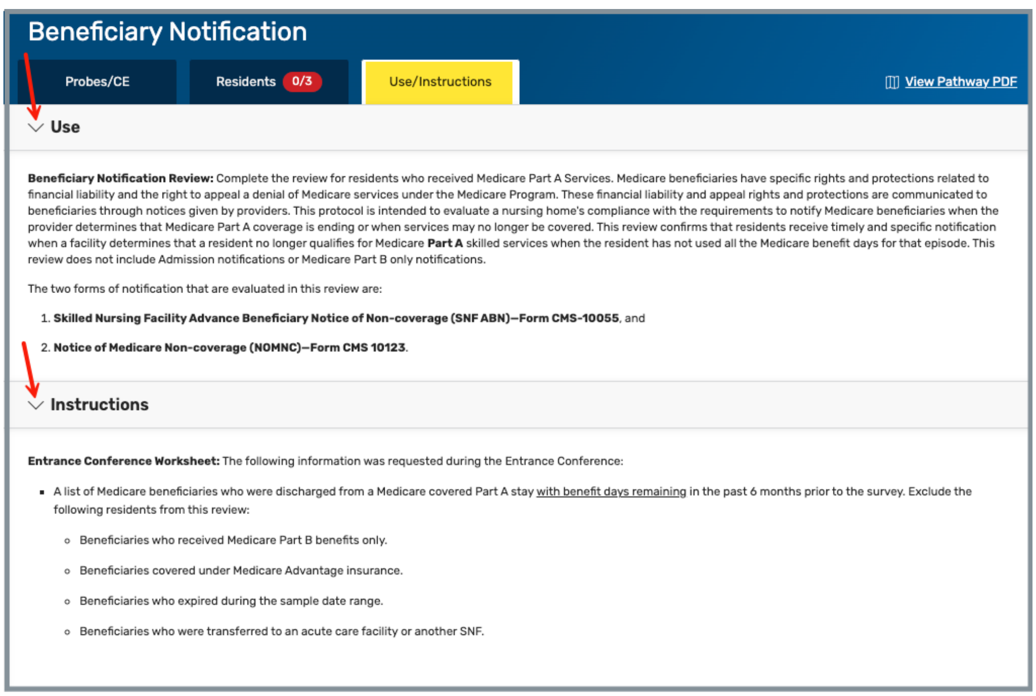


Figure 184: Use/Instructions

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 185, Drawing Tool Tab Example* and *Table 28, Drawing Tool Tab Example Detailed Callout*.

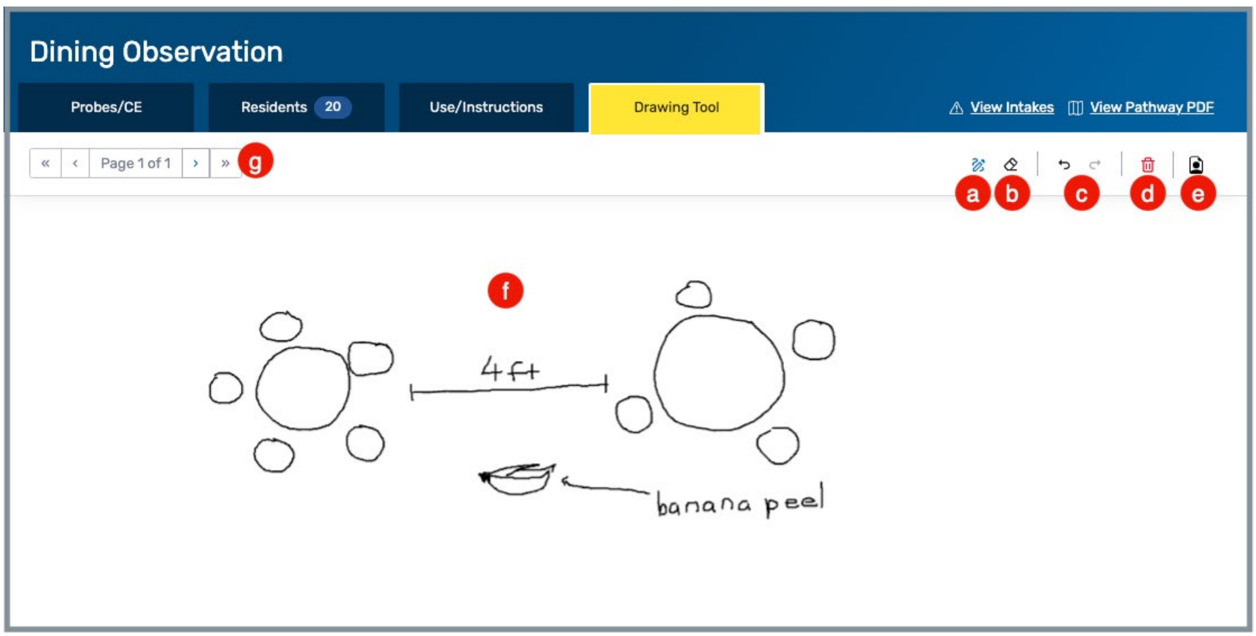


Figure 185: Drawing Tool Tab Example

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 186, 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.

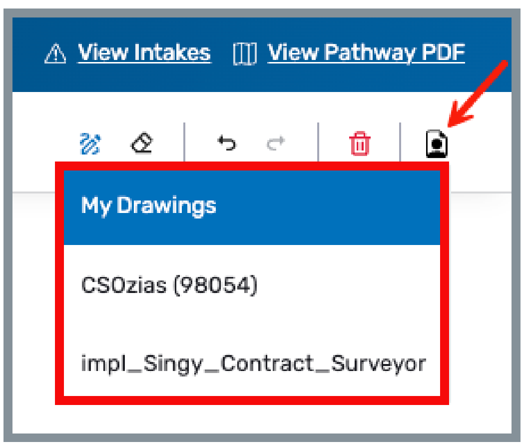


Figure 186: All Surveyor Drawings

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

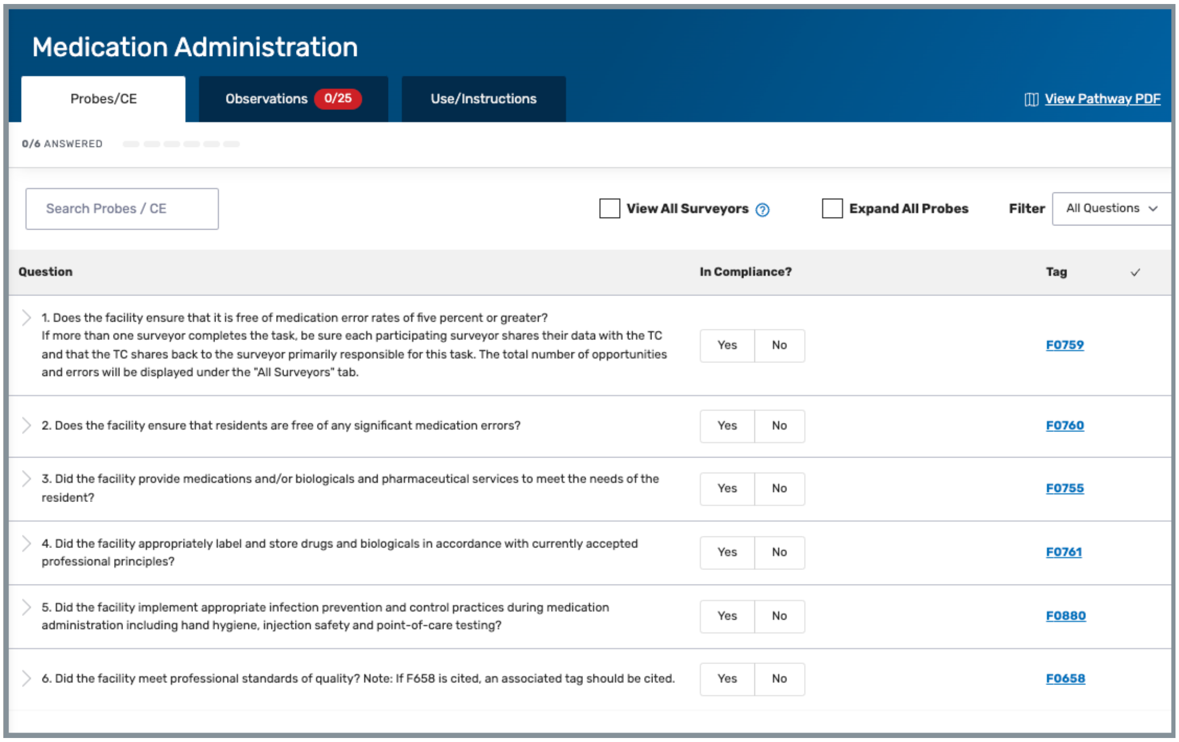


Figure 187: Medication Administration Facility Task

b. Click the **Observations** tab to view text. See *Figure 188, Medication Administration Observation Tab*.

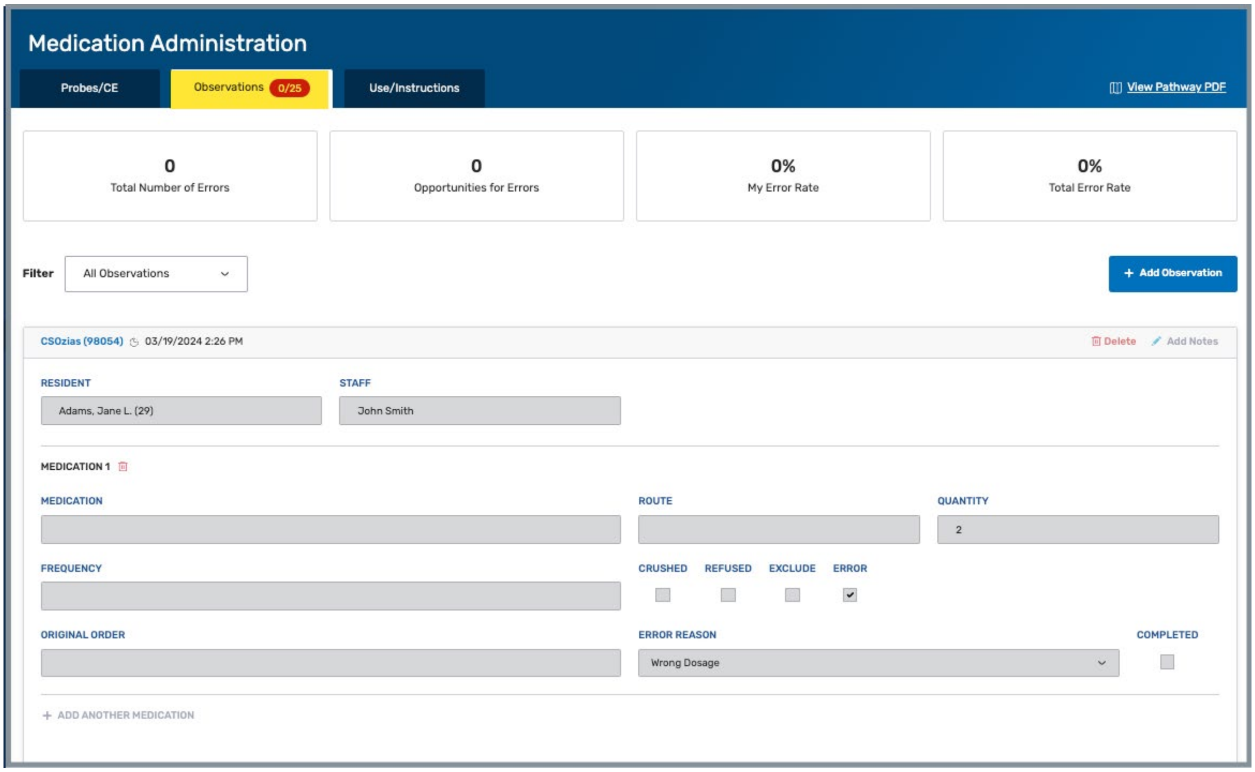


Figure 188: Medication Administration Observation Tab

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 189, Add Medication Observation.* The fields clear.

Figure 189: Add Medication Observation

b. Fill out information. See *Figure 190, 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 191, 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.

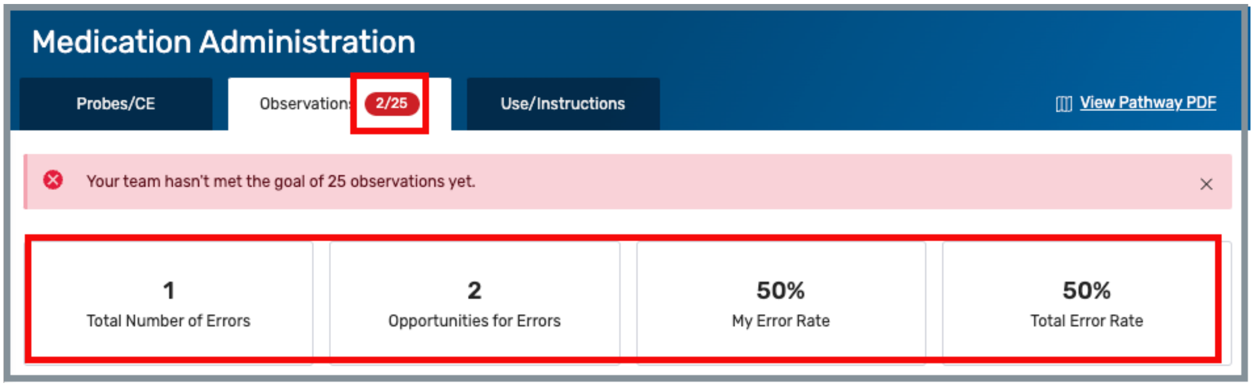


Figure 190: Medication Observation Updated Counts

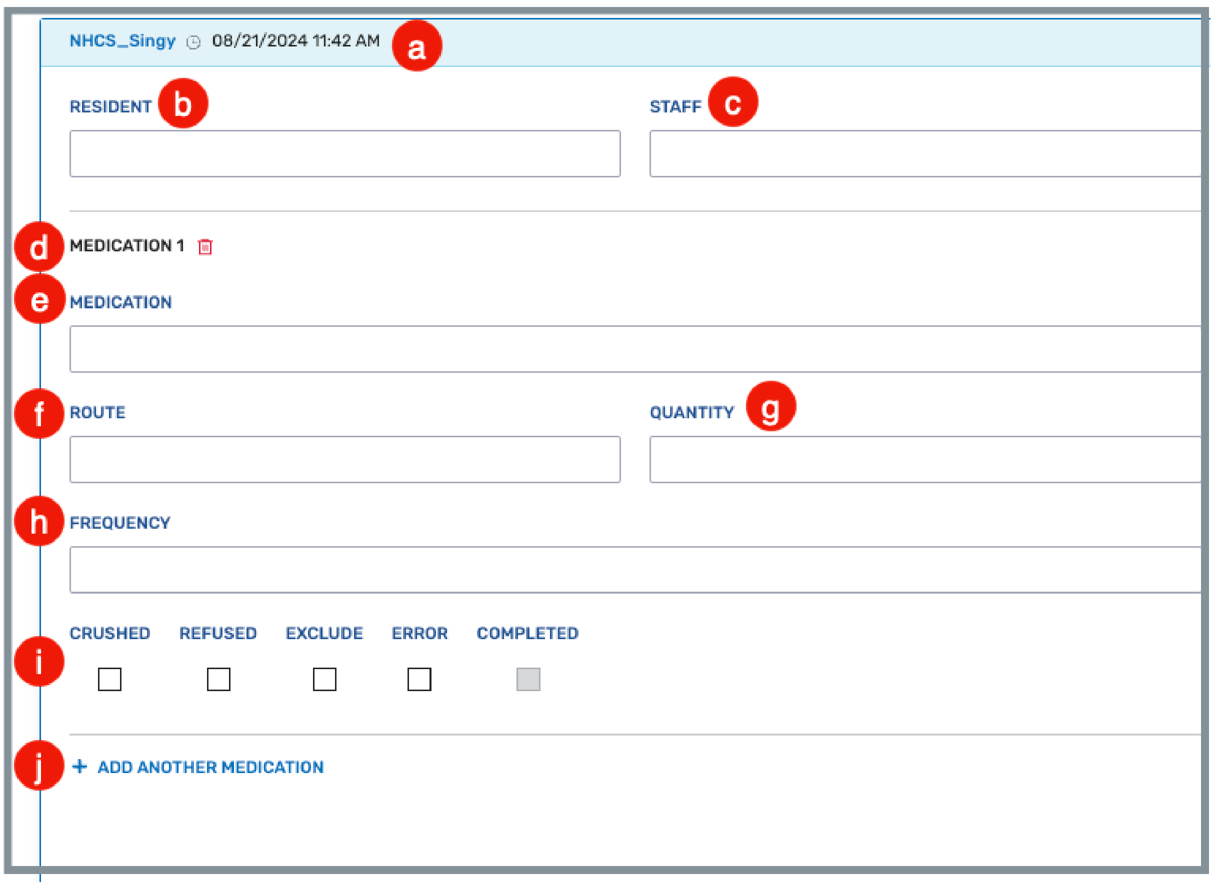


Figure 191: Add a Medication Observation

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 192, Mark Observation as Completed.* The **Completed** field is grayed out until these three fields are updated.

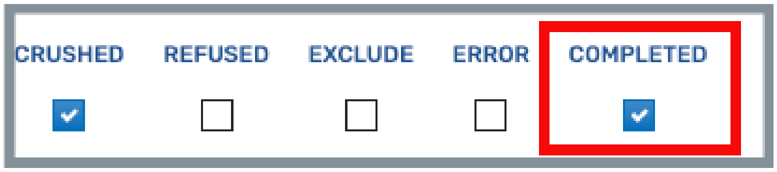


Figure 192: Mark Observation as Completed

- The total observation count and percentages calculated at the top of the screen update once a Medication Observation is marked as complete. See *Figure 193, Medication Observation Percentages and Count.*

Figure 193: 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 194, Delete Medication Observation.* The **Delete Observation** pop-up window opens.

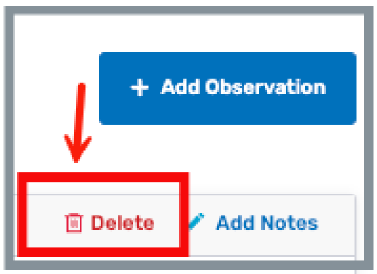


Figure 194: Delete Observation

  b. Click **Yes, Delete** to delete Medication Observation. See *Figure 195, Delete Observation.*

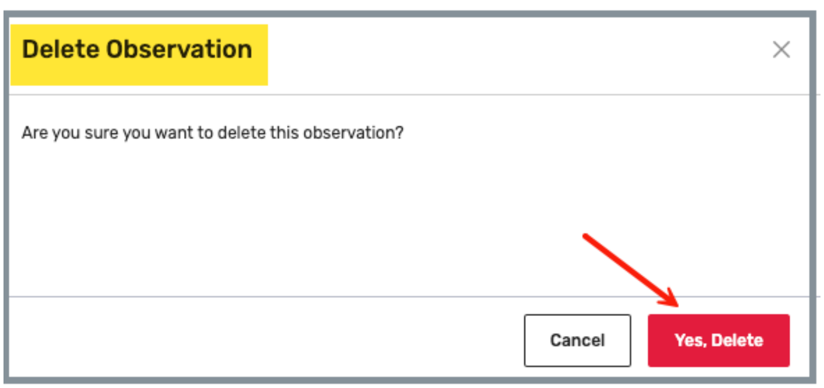


Figure 195: Delete Observation

Delete a Medication

Click the trashcan to delete the medication. See *Figure 196, Delete a Medication.*

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

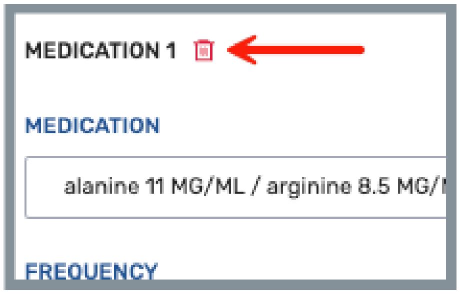


Figure 196: Delete a Medication

Filter Medication Observations

Click the drop-down menu next to **Filter** to filter Medication Observations. See *Figure 197, Filter Medication Observations.*

Note: Medication Observations can be filtered by:

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

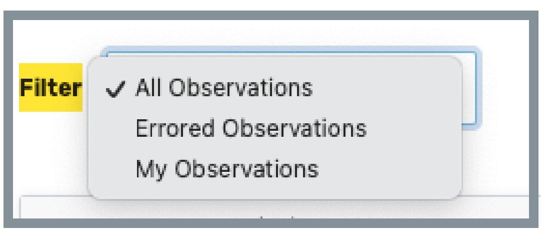


Figure 197: Filter Medication Observations

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 198, Add Medication Observation Notes.* The **Notes** page slides open to the right. The observation remains visible on the left.

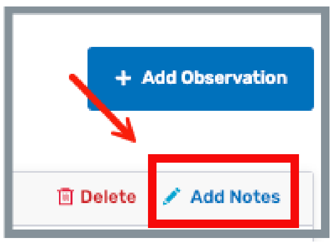


Figure 198: Add Medication Observation Notes

b. Type notes. See *Figure 199, Medication Observation Notes.*

Note: The notes automatically save.

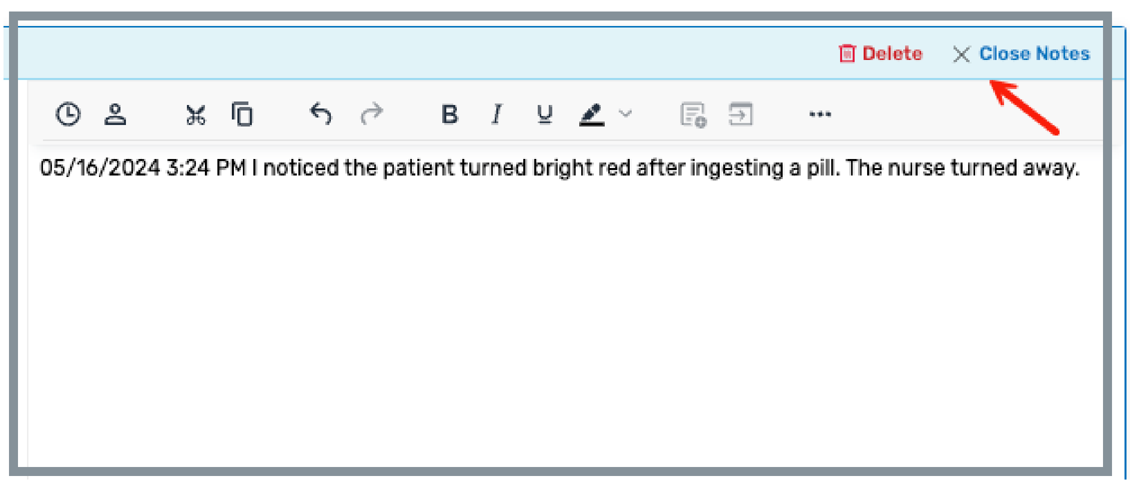


Figure 199: Medication Observation Notes

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 200, Medication Observation Notes Custom Toolbar.*

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

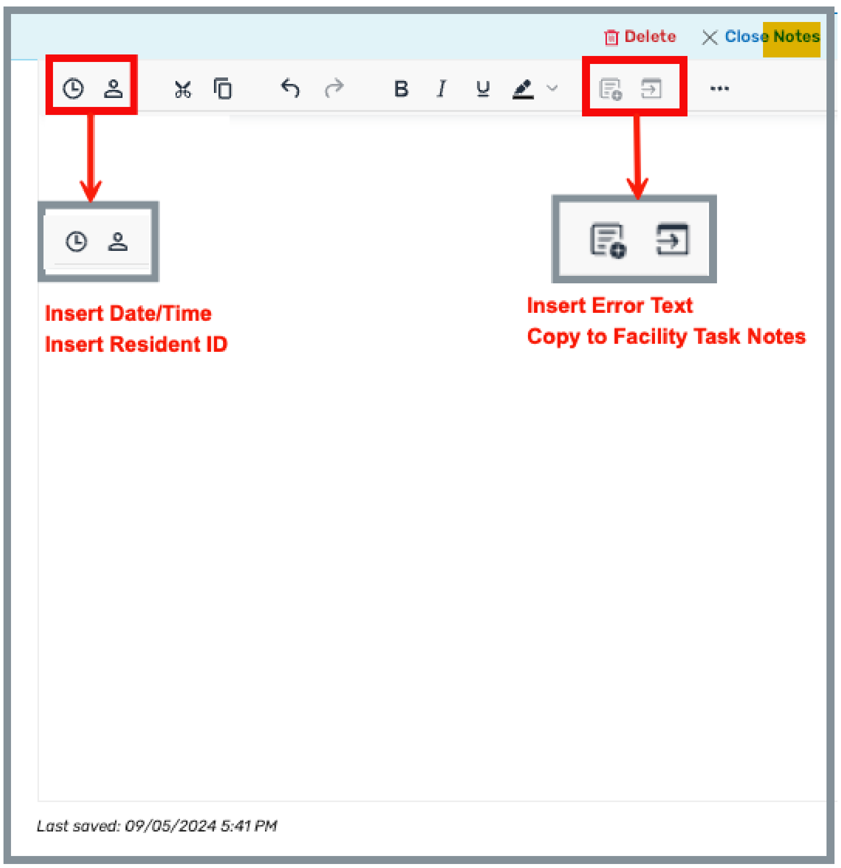


Figure 200: Medication Observation Notes Custom Toolbar

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 201, Insert Error Text into Observation Notes.*

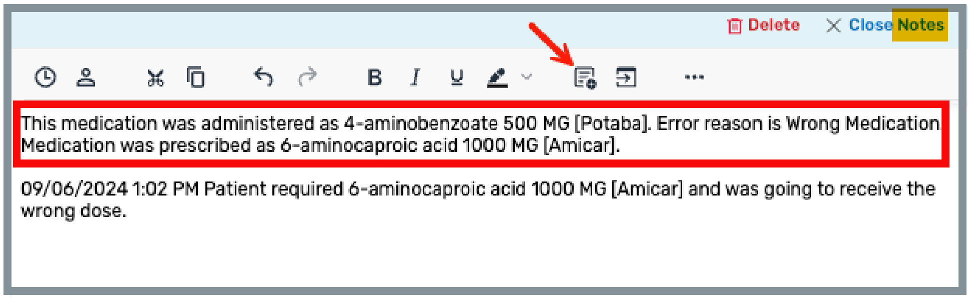


Figure 201: Insert Error Text into Observation Notes

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 202, Copy to Facility Tasks*.

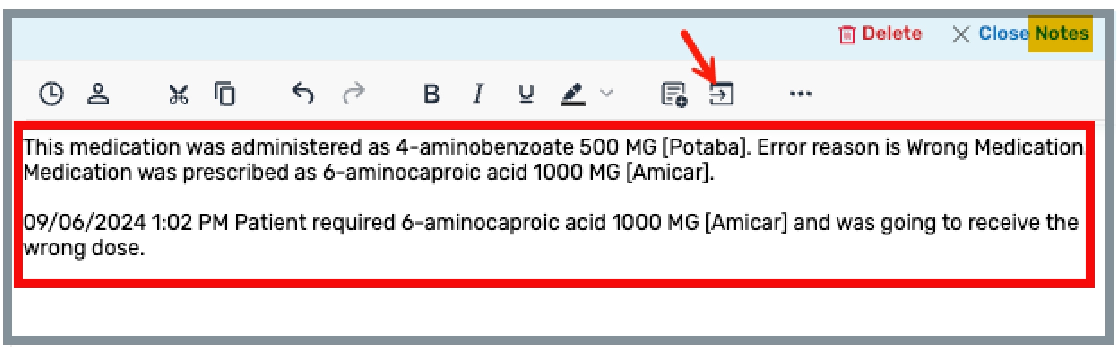


Figure 202: Copy to Facility Tasks

b. The medication observation notes are automatically copied into the facility task notes. There is no need to do anything. See *Figure 203, Medication Observation Notes Automatically Copied to Facility Task Notes.*

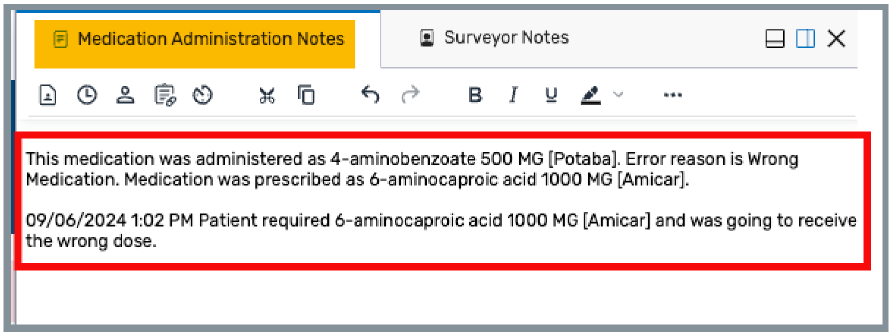


Figure 203: Medication Observation Notes Automatically Copied to Facility Task Notes

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

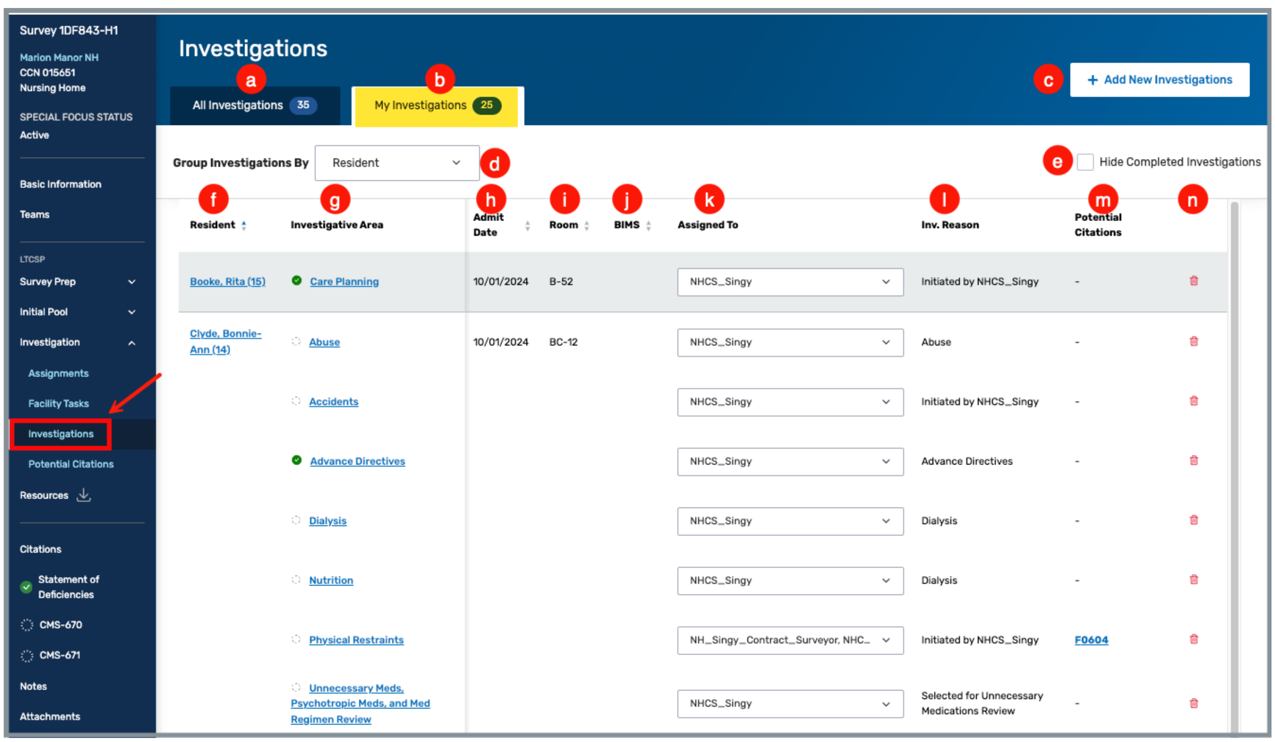


Figure 204: Investigations

Table 30: Investigations Detailed Callout

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

No.	Name	Description
l	**Inv Reason**	How the investigation (Inv) was created.
m	**Potential Citations**	Potential Citations are shown. Tags are displayed in bold text if cited by the surveyor.
n	Remove	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 205, Add New Investigation Pop-Up Window.*

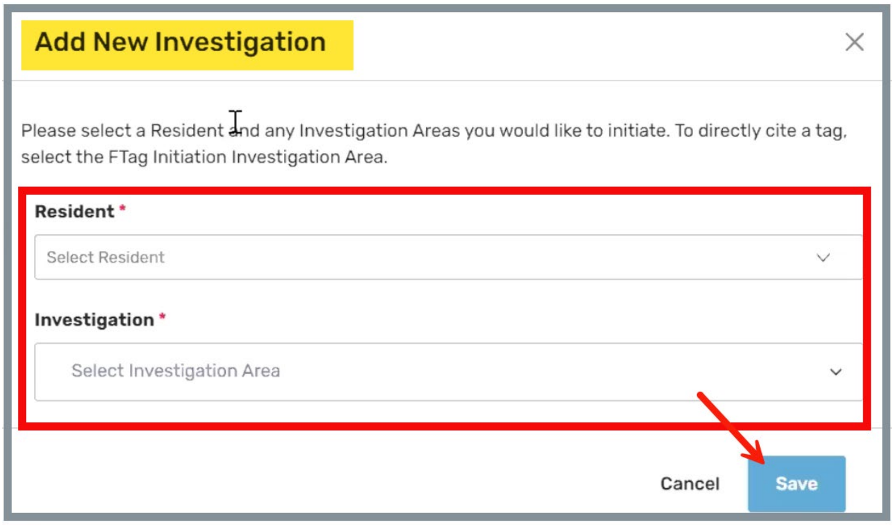


Figure 205: Add New Investigation Pop-Up Window

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 206, Resident Investigation Information.*

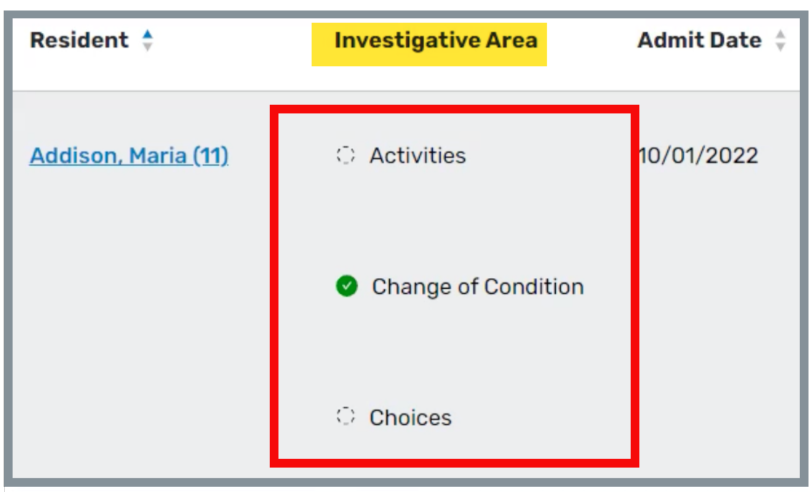


Figure 206: Resident Investigation Information

22.2.5 Verify the green notification banner indicates the new investigation has been successfully added. See *Figure 207, New Investigation Green Notification Banner.*

Figure 207: 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 208, Investigation Trashcan Icon.* The **Remove Investigation** pop-up window opens.

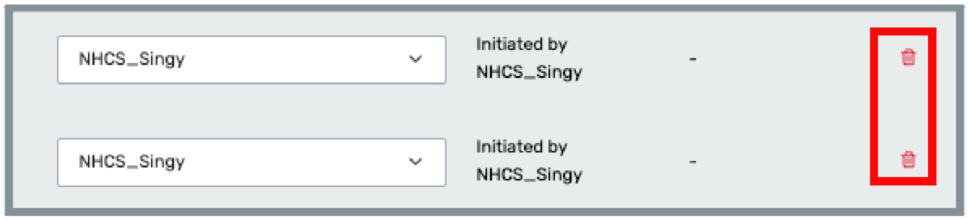


Figure 208: Investigation Trashcan Icon

22.3.2 Type a rationale in the **Rationale** field. See *Figure 209, Remove Investigation Rationale.*

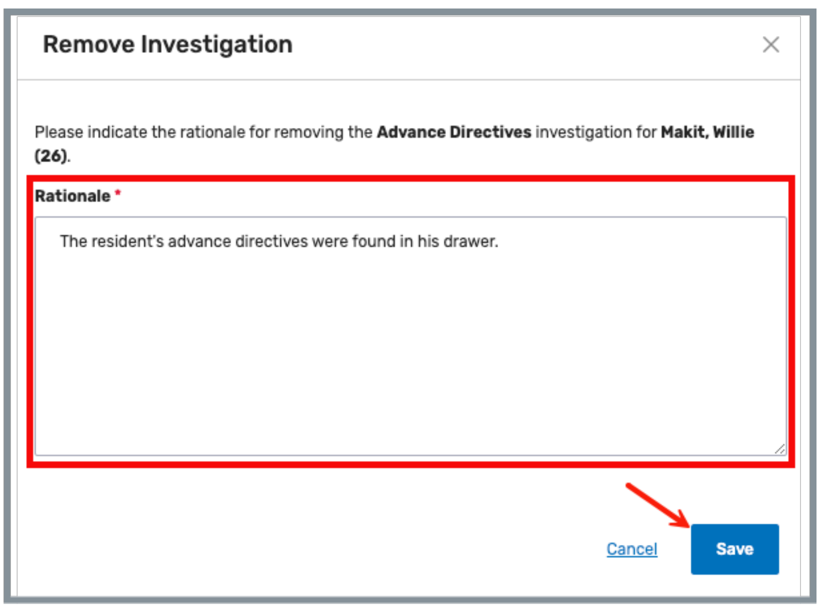


Figure 209: Remove Investigation Rationale

22.3.3 Click **Save**.

22.3.4 Verify the **Investigation deleted successfully** green notification banner is shown. See *Figure 210, Investigation Deleted Successfully Green Notification Banner.*

Figure 210: 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 211, Resident Investigation Details Landing Page* Review each of the tabs below.

Notes:

- Select either the resident or the investigative area. See *Figure 212, Group Investigations by Resident* and *Figure 213, Group Investigations by Investigation.*

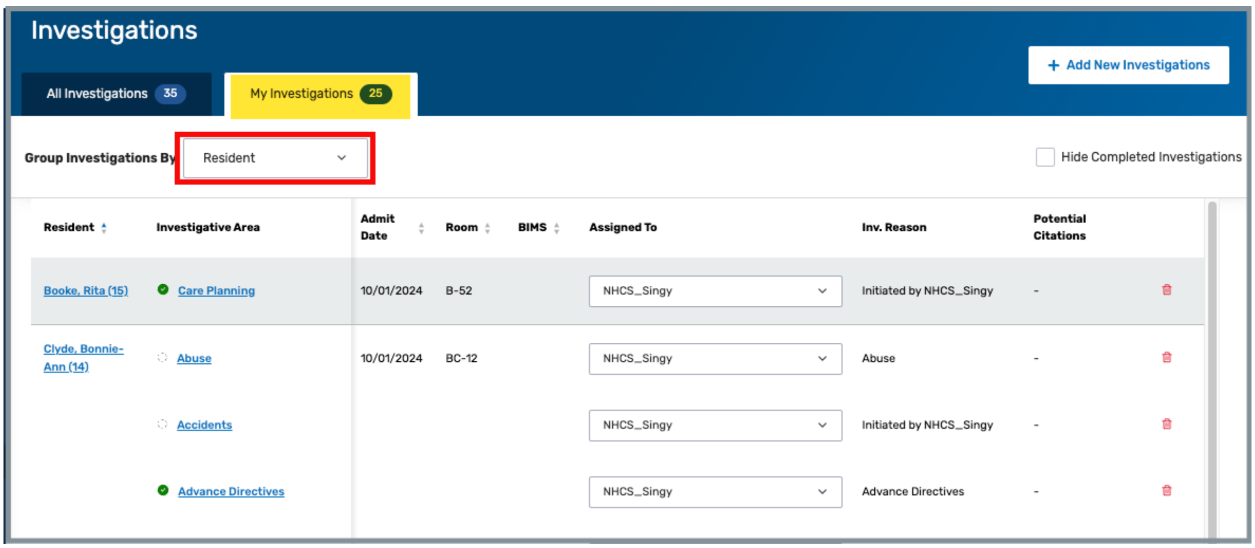


Figure 211: Group Investigations by Resident

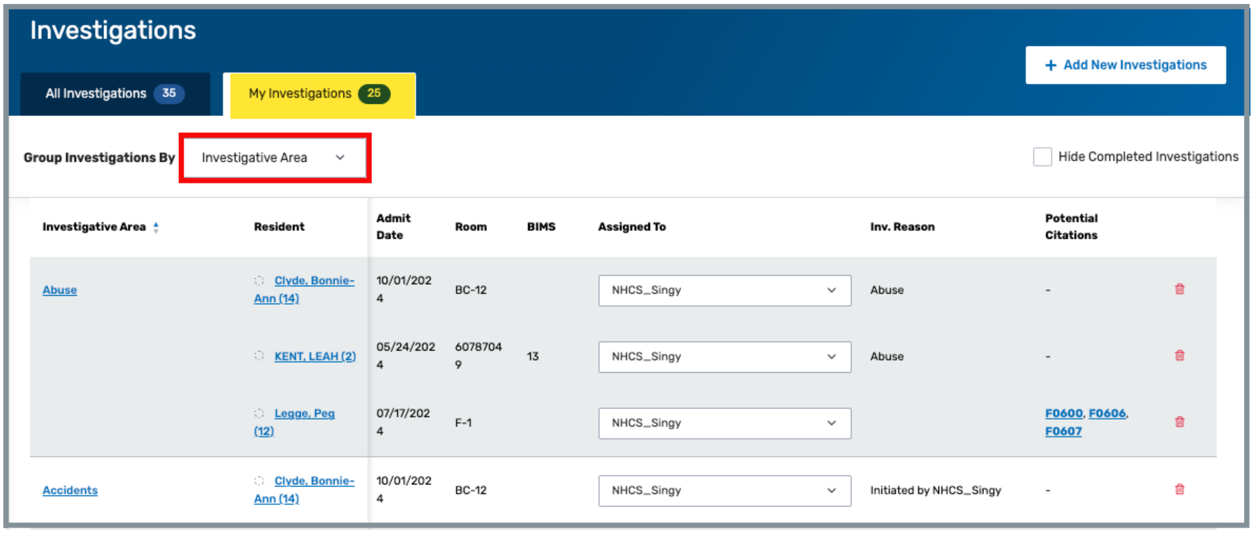


Figure 212: Group Investigations by Investigation

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

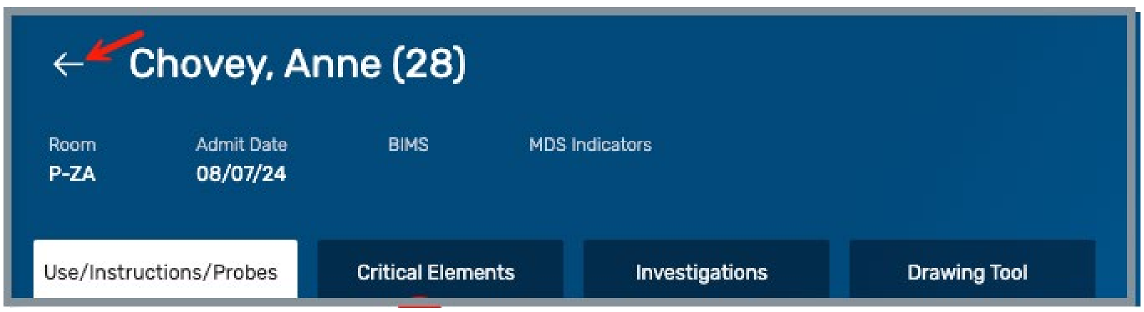


Figure 213: Resident Investigation Details Landing Page

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 214, Investigations Resident Page.*

Figure 214: 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 215, Resident Manager MDS Link.*

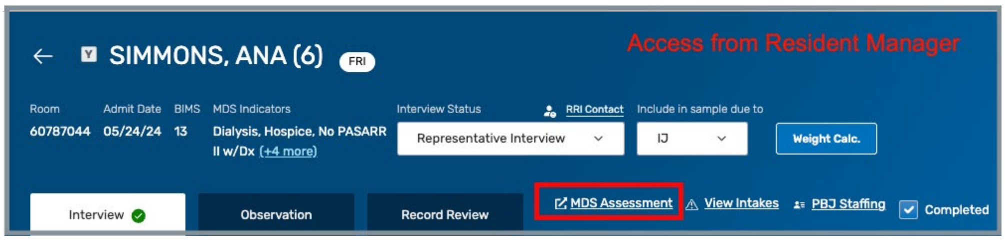


Figure 215: Resident Manager MDS Link

[View an MDS Assessment]

[Save/Print an MDS Assessment]

View an MDS Assessment

a. Click **View** to view the assessment. See *Figure 216, Resident Patient Information and Assessments*. The **Assessments** page opens in a different tab.

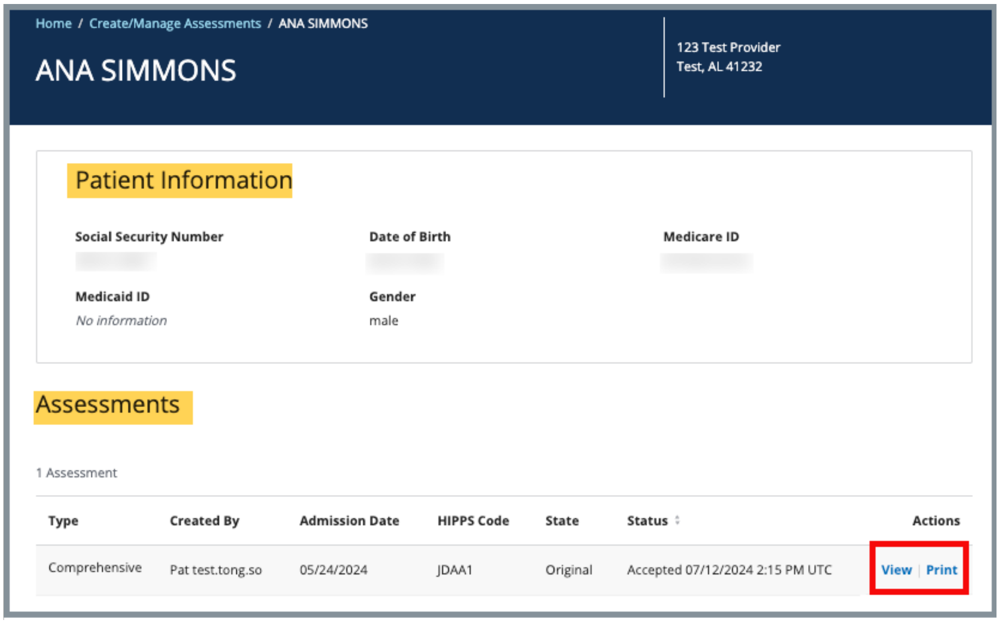


Figure 216: Resident Patient Information and Assessments

b. Click each *section* on the left menu to view information about that section. See *Figure 217, 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.

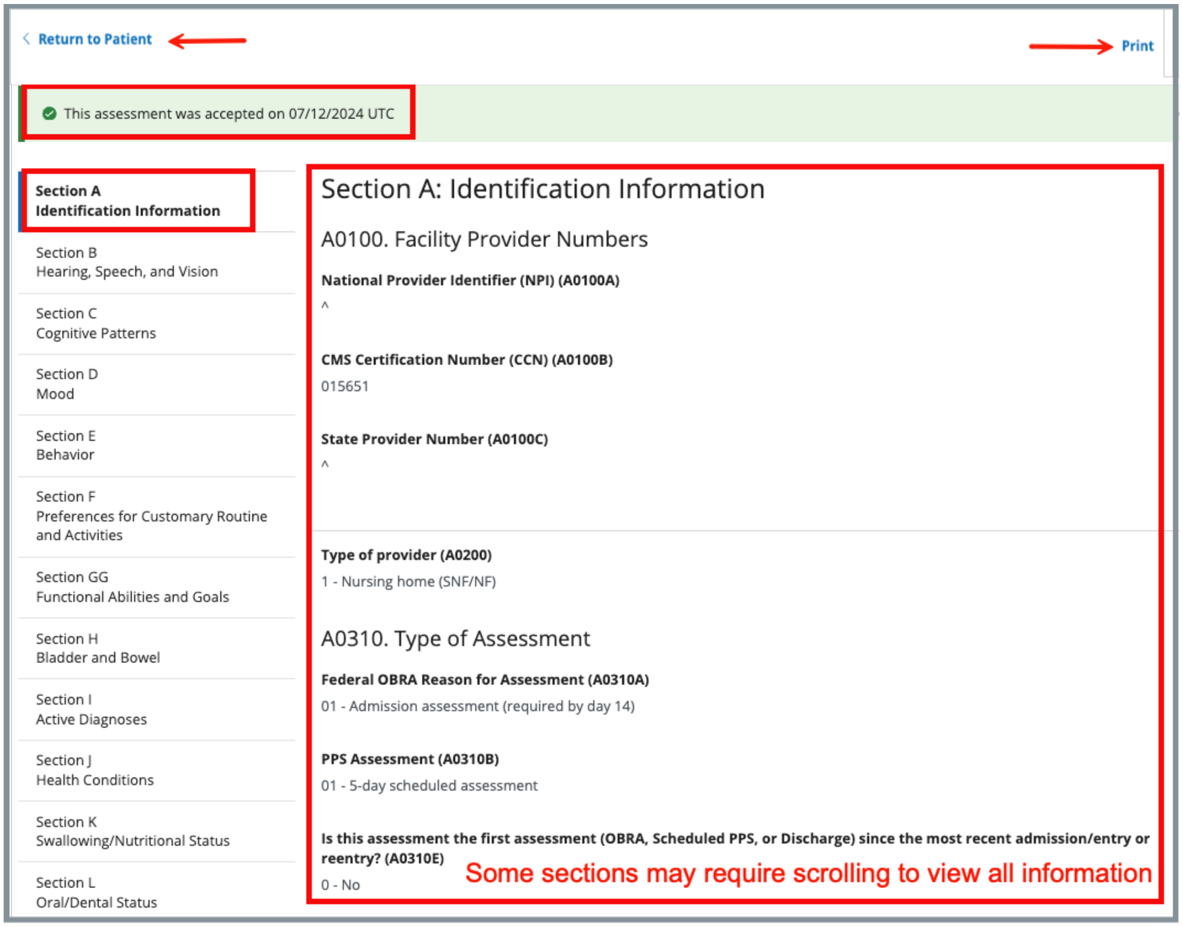


Figure 217: Assessment Information

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 218, Print.* A printable version of the assessment opens.

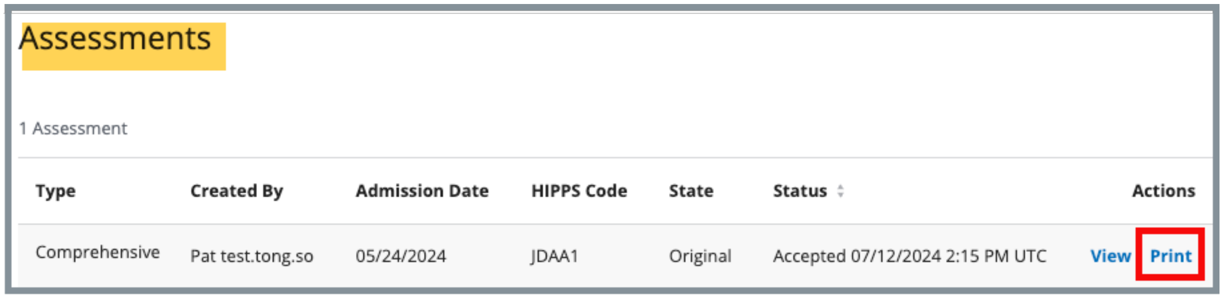


Figure 218: Print

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 219, Top Button.*

Figure 219: 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 220, Chrome Vertical Ellipsis Options Menu*

Microsoft Edge *See Figure 221, Edge Horizontal Options Menu*

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

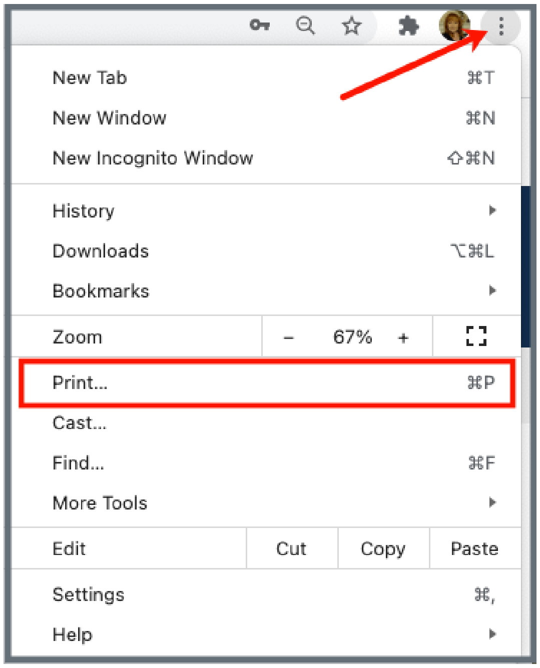


Figure 220: Chrome Vertical Ellipsis Options Menu

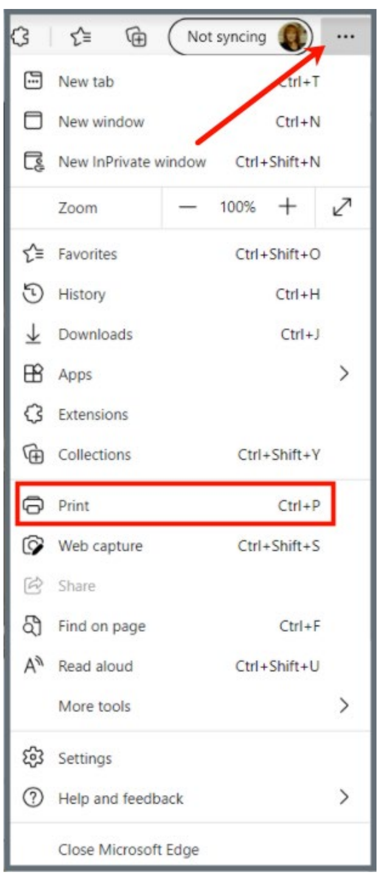


Figure 221: Edge Horizontal Options Menu

c. Select **Print**. The **Print** menu opens.

d. Select **Save as PDF** from the drop-down menu next to **Destination**. *See Figure 222, Print Menu*.

Note: Save as PDF is usually the default choice.

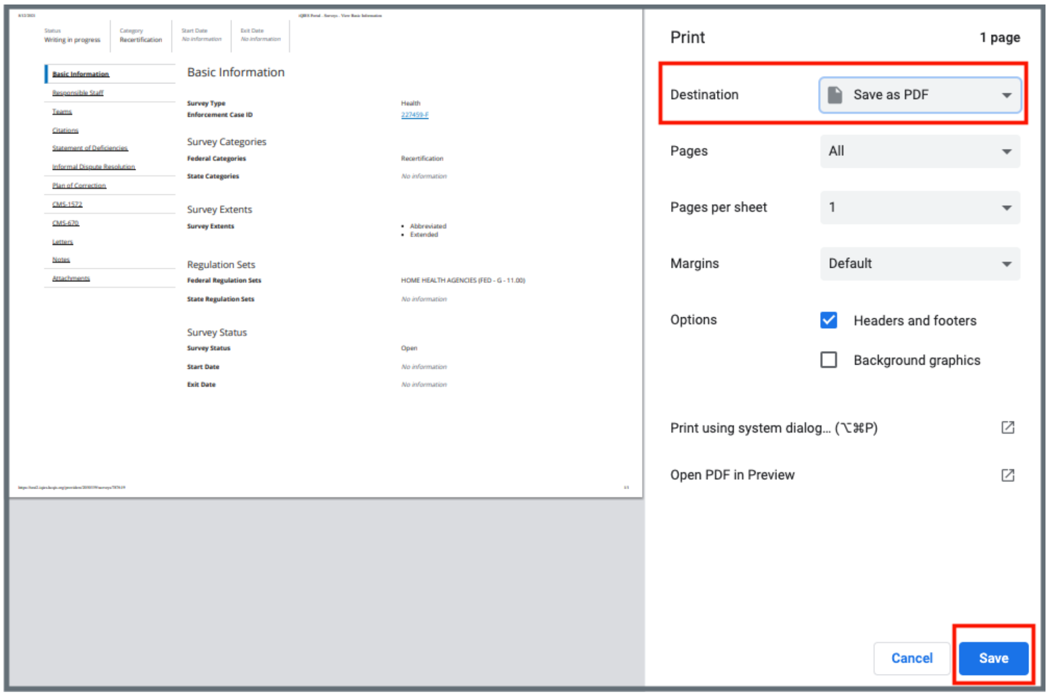


Figure 222: Print Menu

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 223, Save As Popup Window.*

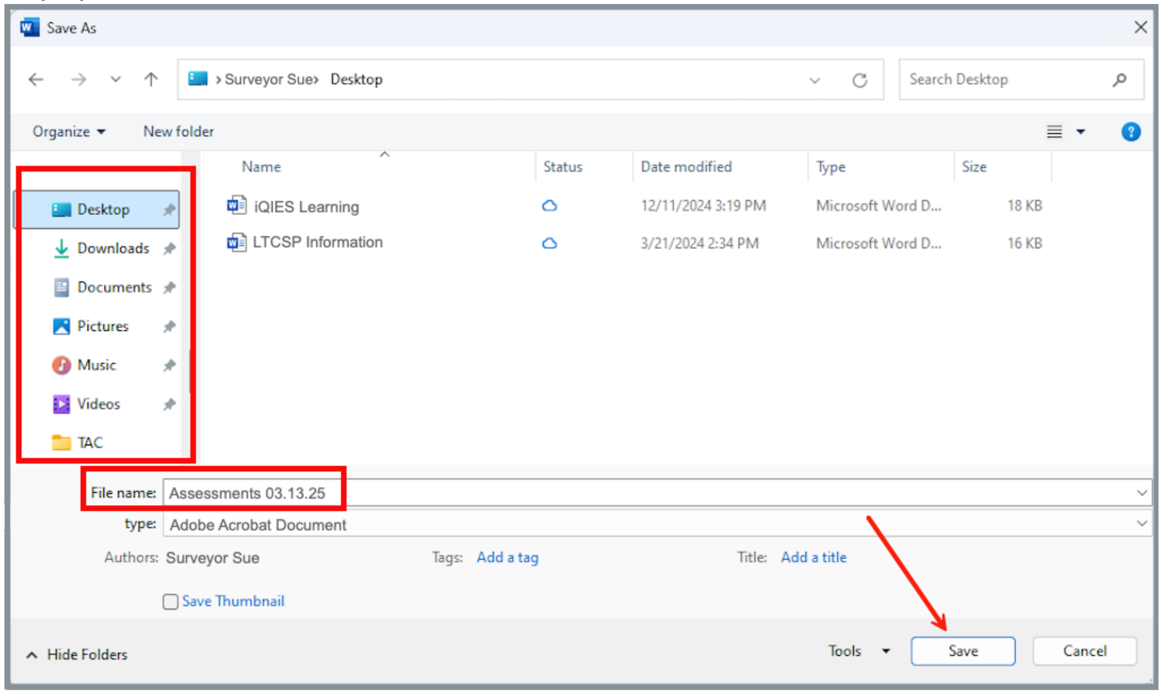


Figure 223: Save As Popup Window

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 224, View.* The **Assessments** section opens.

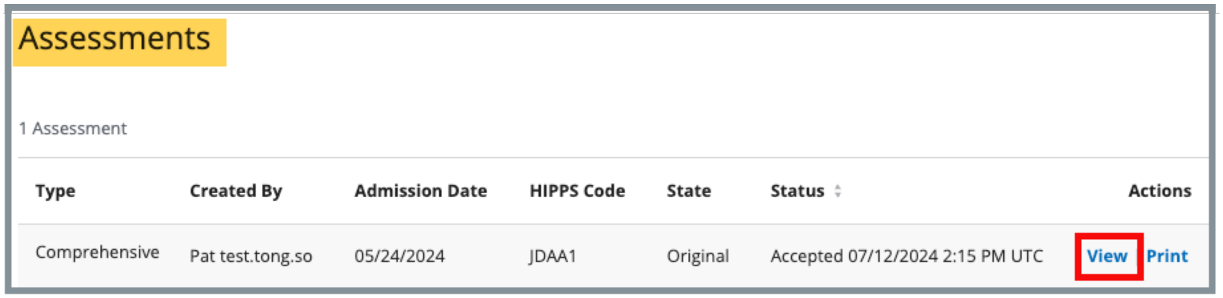


Figure 224: View

b. Select the section to be printed on the left menu. See *Figure 225, MDS Single Section Print.*

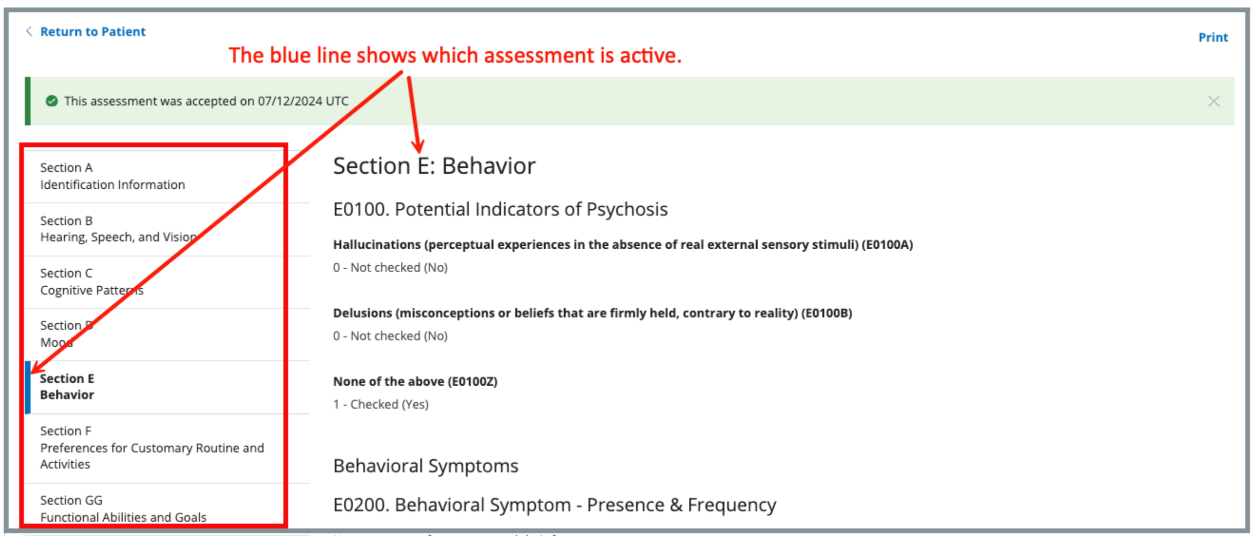


Figure 225: MDS Single Section Print

c. Right click on the mouse. A pop-up window opens. See *Figure 226, Right Click Menu.*

Notes:

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

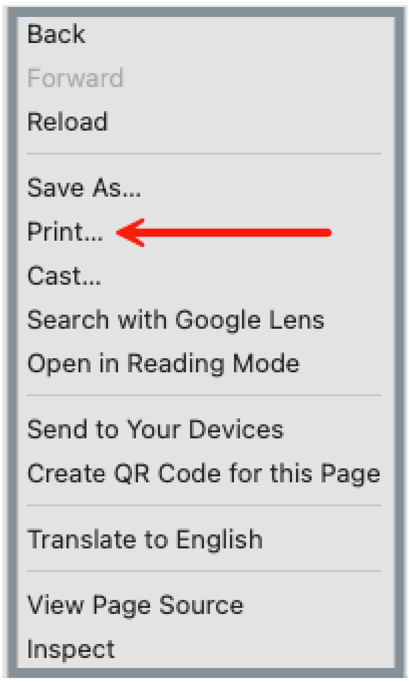


Figure 226: Right Click Menu

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

e. Select **Save as PDF** from the drop-down menu next to **Destination**. *See Figure 227, Print Menu*.

Note: Save as PDF is usually the default choice.

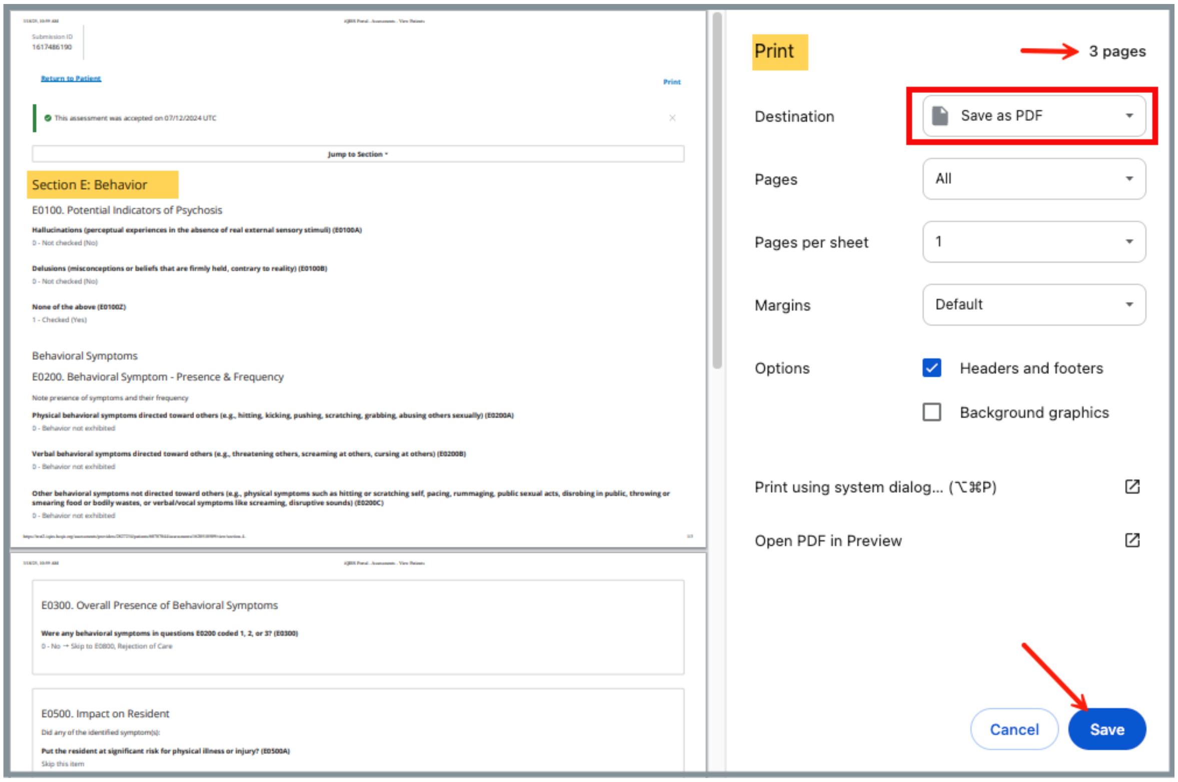


Figure 227: Print Menu

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 228, Save As Popup Window.*

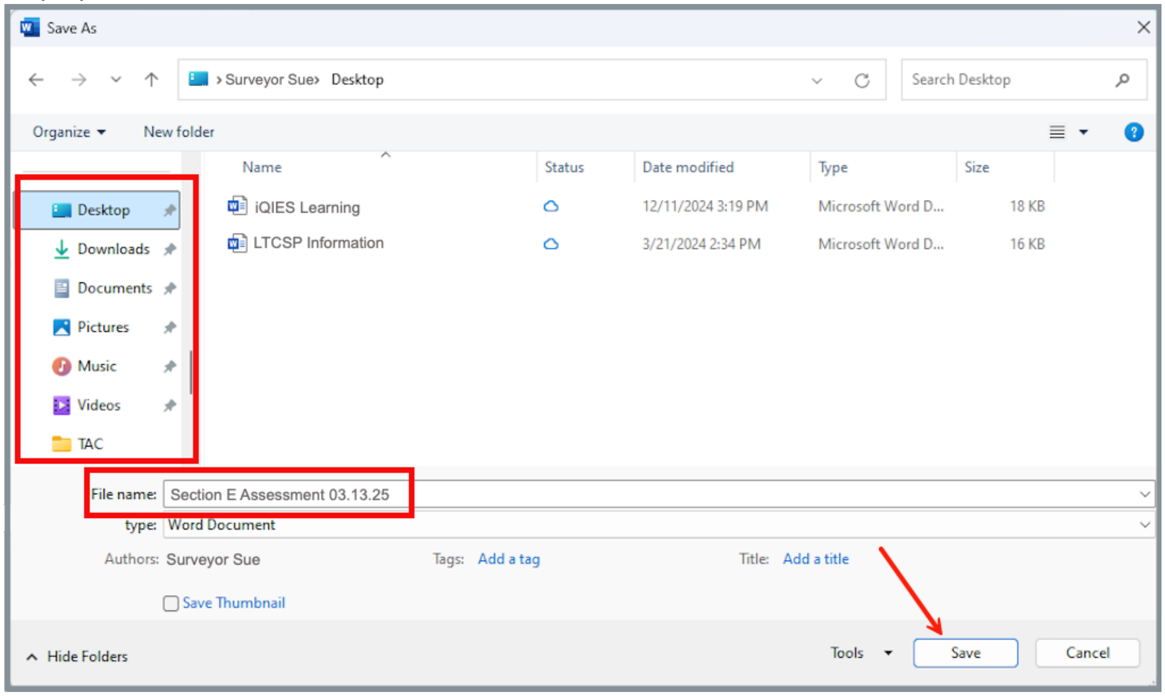


Figure 228: Save As Popup Window

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 229, 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.

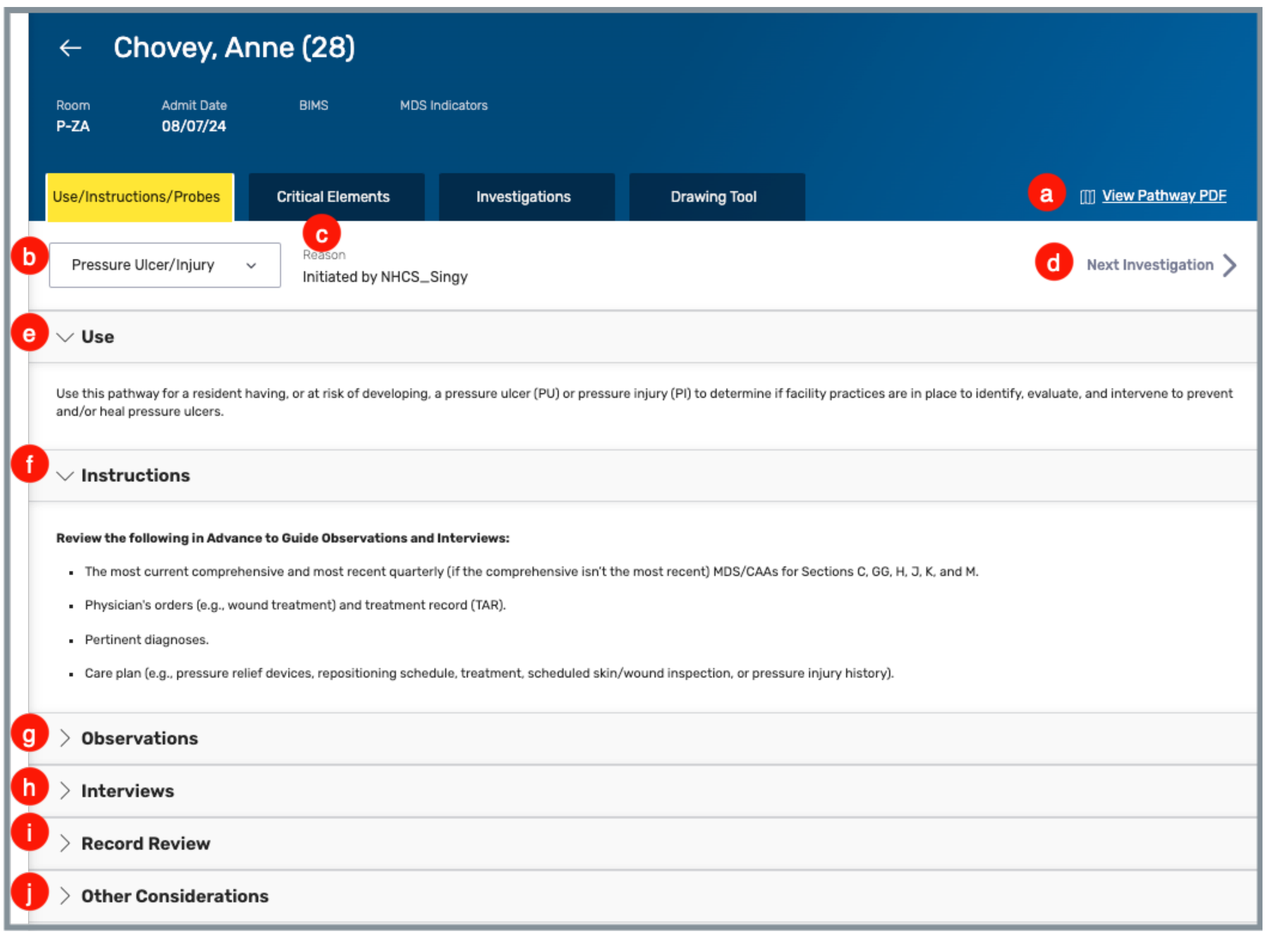


Figure 229: Use/Instructions/Probes Details Landing Page

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 230, 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.

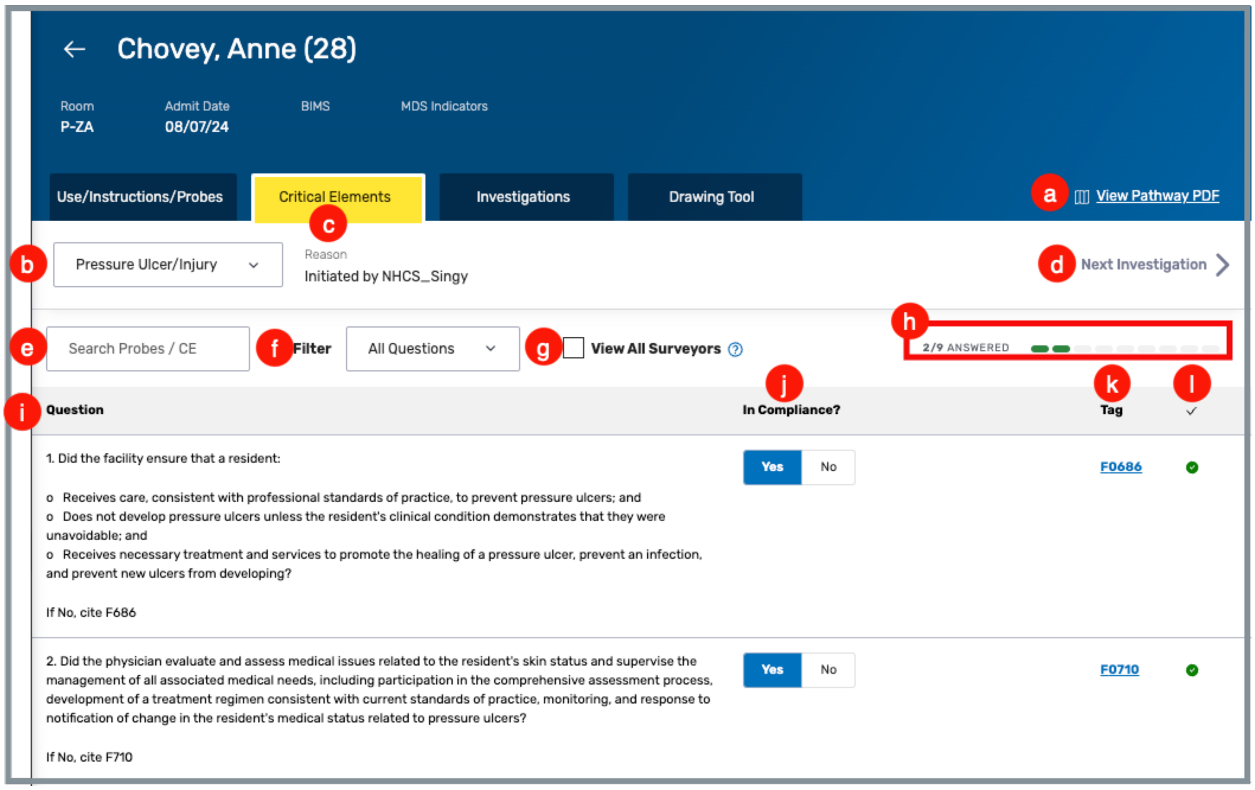


Figure 230: Critical Elements Details Landing Page

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 231, 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.

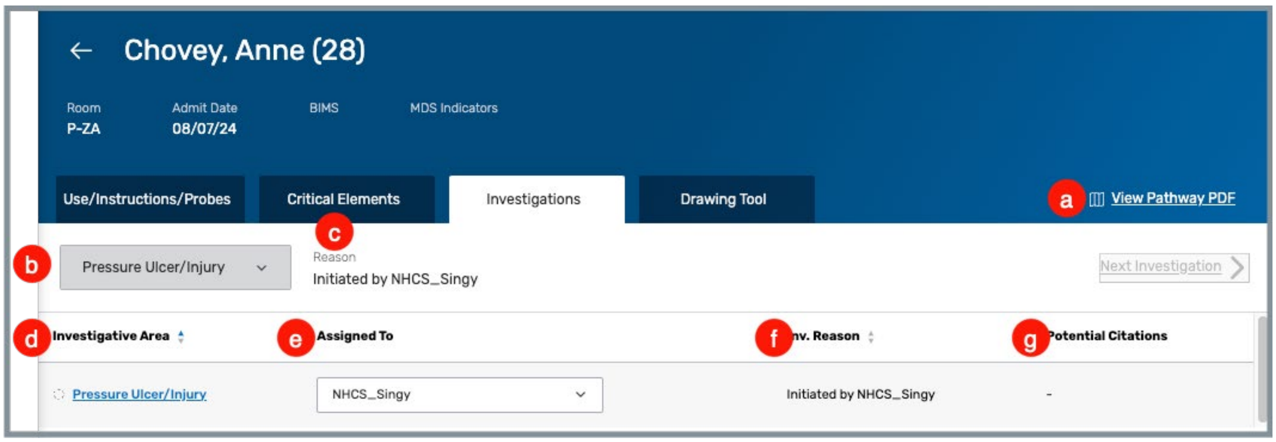


Figure 231: Investigations Tab

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 Residents tab, which shows all residents assigned to the investigative area.
c	**Assigned To**	Surveyor assigned to investigation. More than one surveyor can be assigned to an investigation.
d	**Inv. Reason**	How the investigation (Inv) was created.
e	**Potential Citations**	Shows potential citations

Drawing Tool tab

- All investigative areas have the **Drawing Tool** tab.
- This **Pressure Ulcer** and the **Abuse Drawing Tool** tabs are the only drawing tools that are different than the other investigative areas. Those tabs show four images of a body on which to place the ulcer or abuse. See *Figure 232, Drawing Tool Tab.* All other **Drawing Tool** tabs are 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.

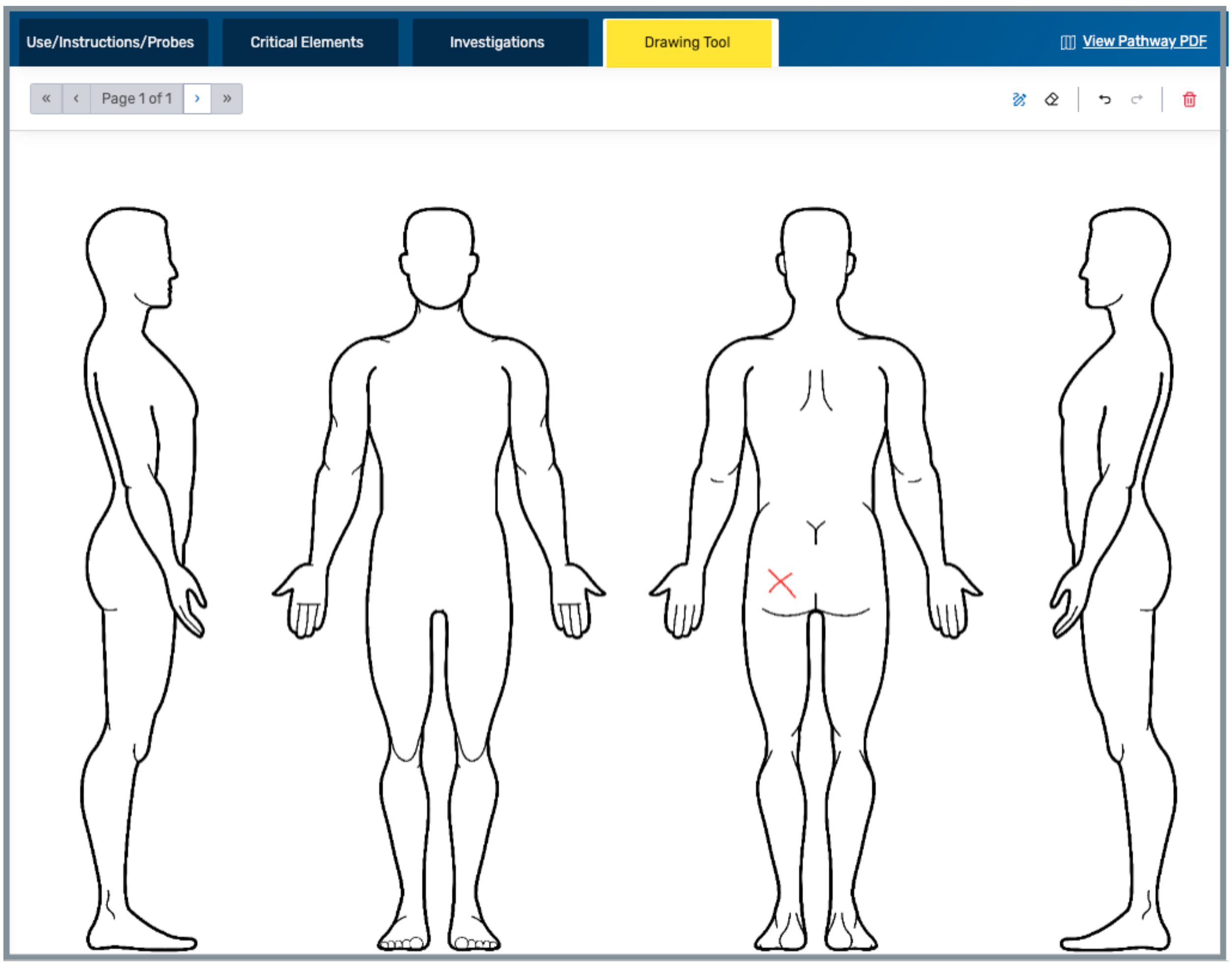


Figure 232: Drawing Tool Tab

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 233, Investigations Residents Tab.*

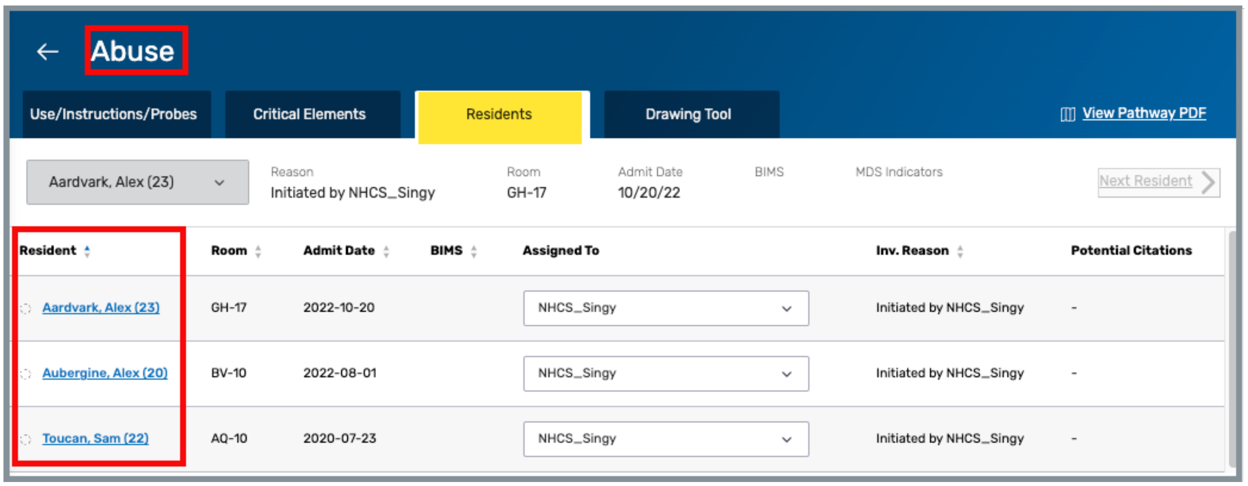


Figure 233: Investigations Residents Tab

22.6 Investigation and Resident Notes

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

General Notes

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

Navigate to Investigation and Resident Notes

- Click the Notes icon on the top right of the screen to open all Notes. The icon is located directly under the user name. See *Figure 234, Notes Icon.*

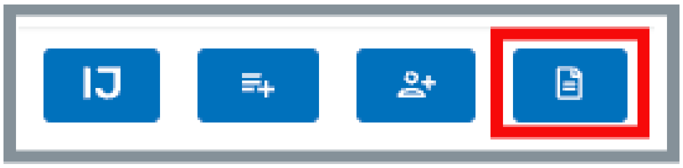


Figure 234: Notes Icon

- Investigation and Resident Notes open in combination with Surveyor Notes. Click on any tab to leave a note for that specific area. See *Figure 235, Facility Notes View.*

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

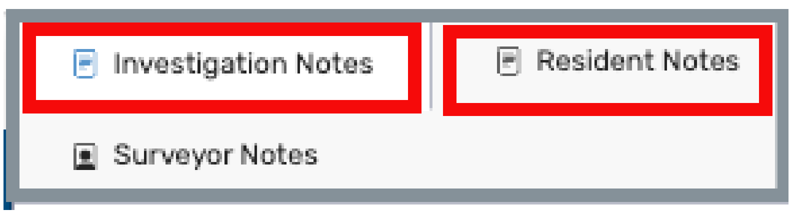


Figure 235: Facility Notes View

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

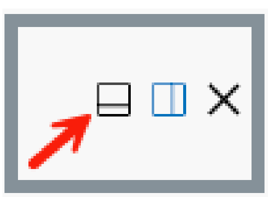


Figure 236: Facility Notes Bottom Screen Icon

- 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 are 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 237, Sample Investigation Note.*

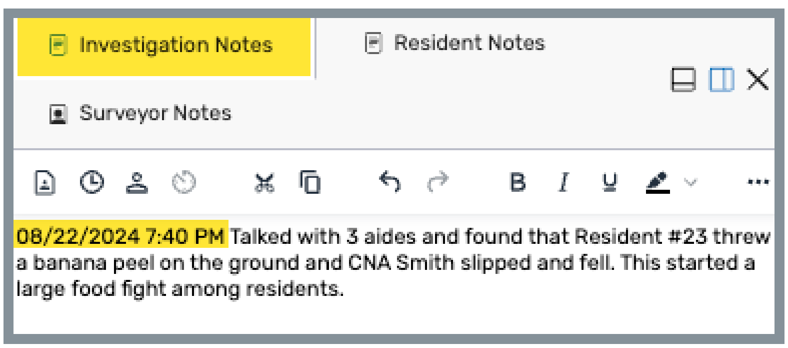


Figure 237: Sample Investigation Note

- Notes are autosaved.
- The **Last saved** date and time shows at the bottom of the Notes. See *Figure 238, Notes Last Saved Date and Time.*

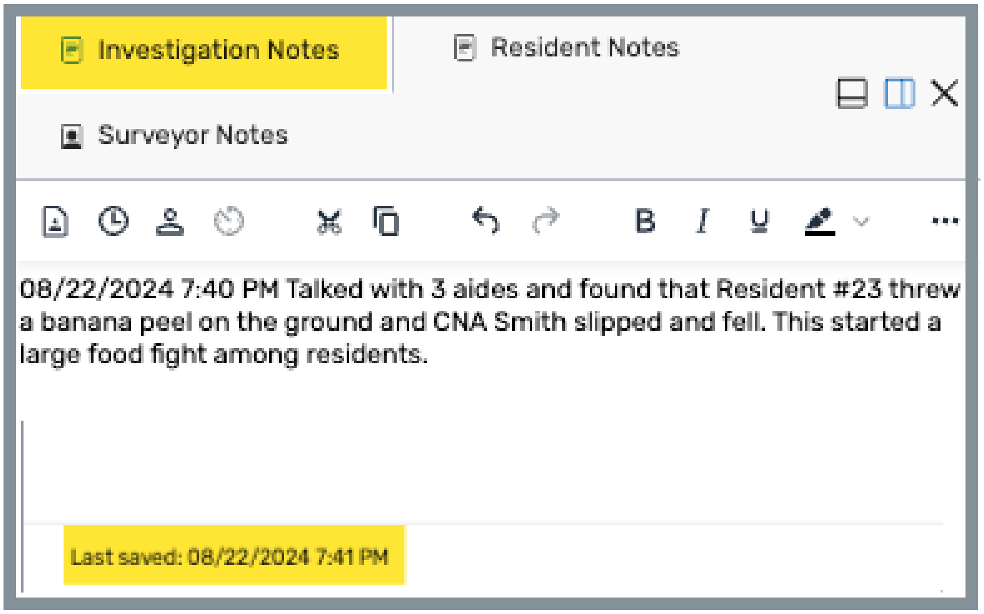


Figure 238: Notes Last Saved Date and Time

Custom Toolbar Functions

There are 4 custom toolbar options among the normal standard formatting options. See *Figure 239, Notes Custom Toolbar Functions.*

Figure 239: Notes Custom Toolbar Functions

From left to right they are:

- ○ View All Surveyor Notes
- ○ Insert Date/Time Stamp
- ○ Insert Resident ID
- ○ Notes History

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

- **View All Surveyor Notes**

  View all team member's Surveyor Notes. See *Figure 240, View All Surveyor Notes.* Click any name to view the note.

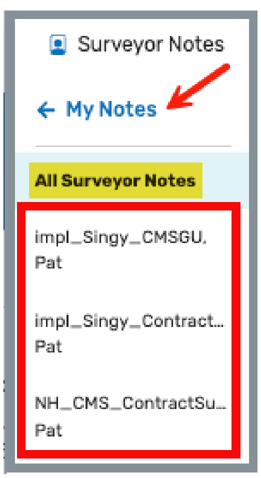


Figure 240: View All Facility Notes

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 241, Notes Formatting Menu.*

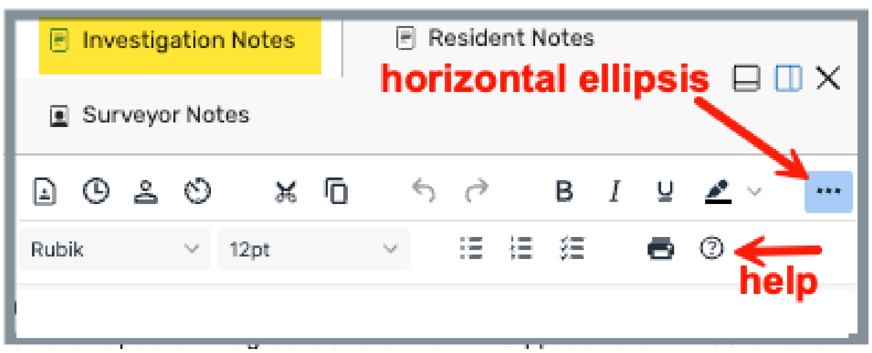


Figure 241: Notes Formatting Menu

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 242, Completed Investigation.*

Figure 242: Completed Investigation

Check the **Hide Completed Investigations** checkbox to filter completed investigations. See *Figure 243, Hide Completed Investigations.*

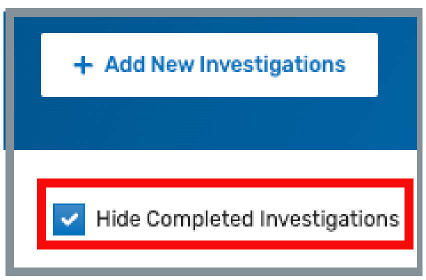


Figure 243: Hide Completed Investigations

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 244, Potential Citations*.

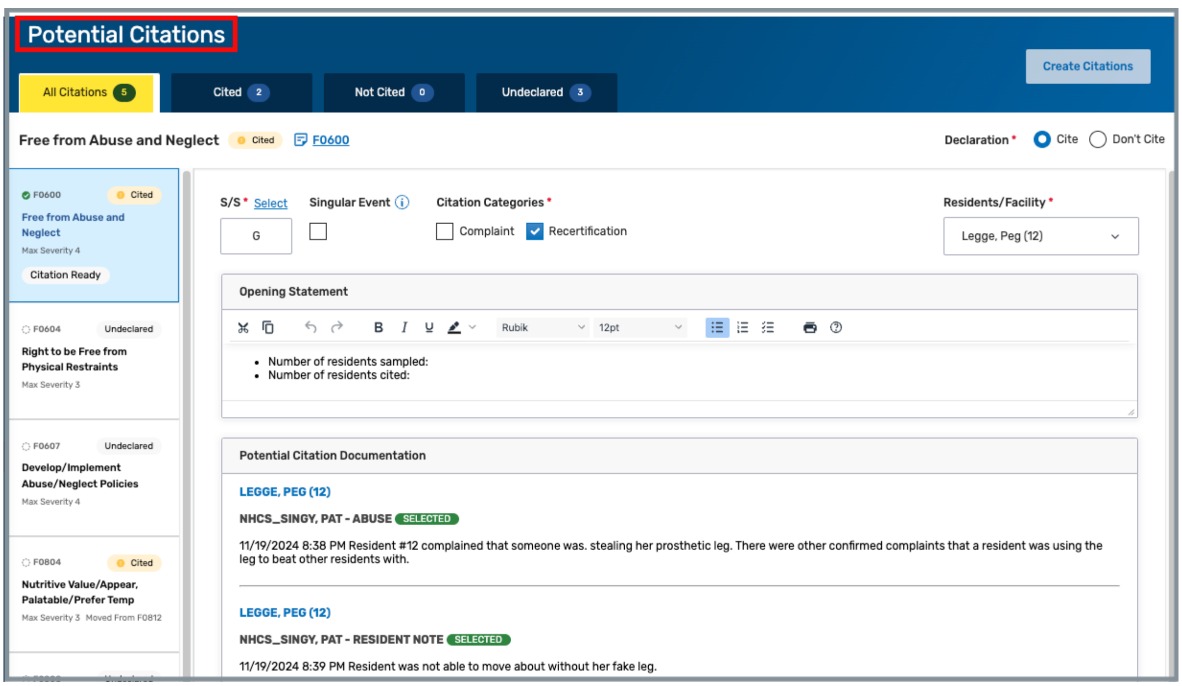


Figure 244: Potential Citations

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 245, 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 246, IJ Start/End Dates.*
  - IJ scope/severity levels of **J, K**, or **L** trigger the IJ start/end date.
  - IJ scope/severity levels of **G** or **J** trigger singular events
  - IJ scope/severity levels of **F**, **H**, **I**, **J**, **K**, or **L** for an SQC tag trigger the Extended Survey Facility Task.

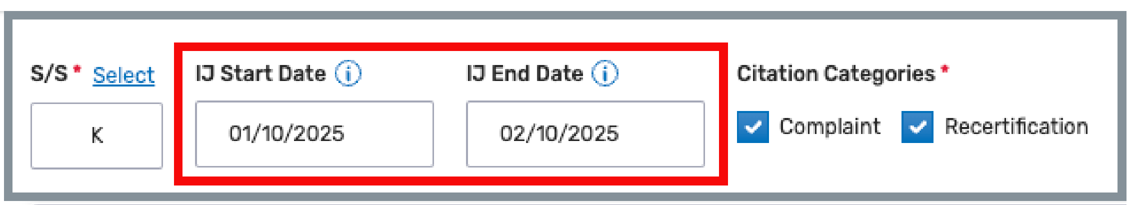


Figure 245: IJ Start/End Dates

- 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.

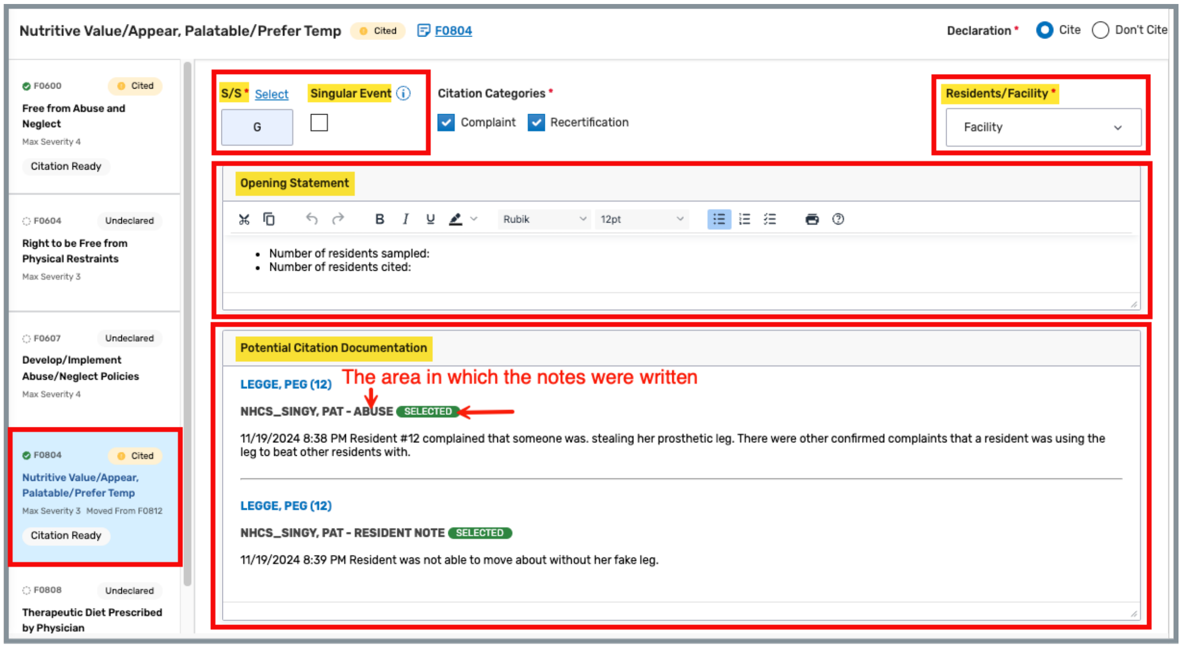


Figure 246: F-Tag Cited

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 247, Residents/Facility Drop-Down Menu.*

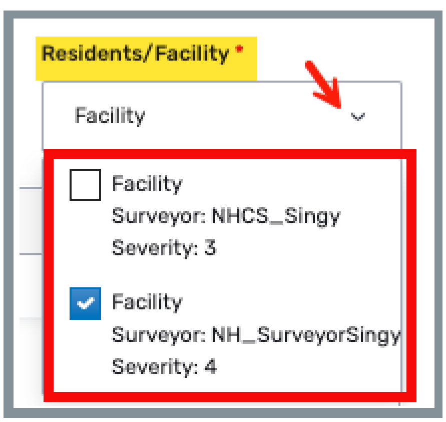


Figure 247: Residents/Facility Drop-Down Menu

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 248, Reason Not Cited.*

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

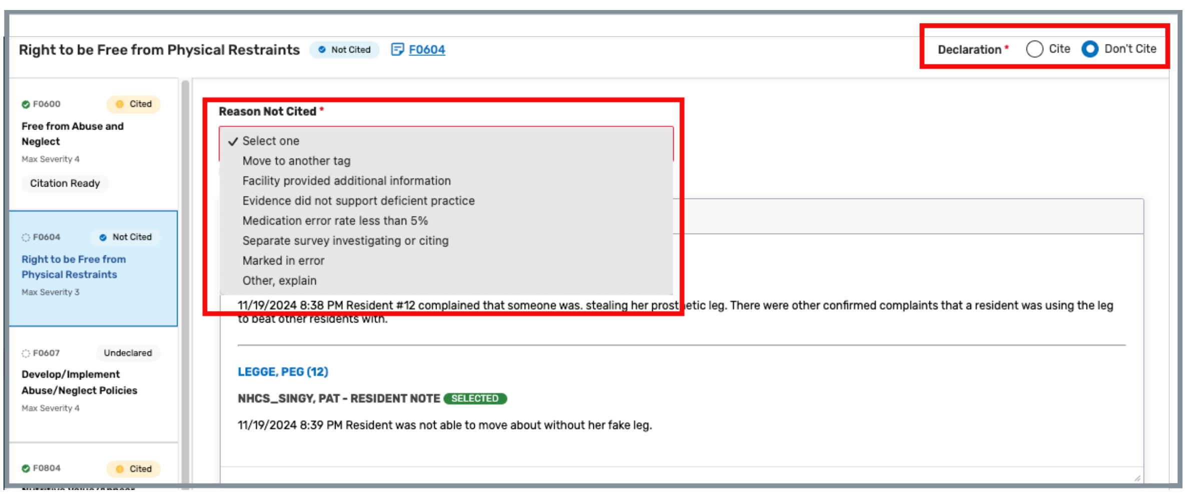


Figure 248: Reason Not Cited

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 249, F-Tag Updates*.

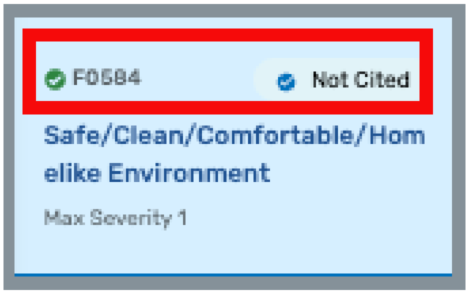


Figure 249: F-Tag Updates

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 250, Move a Citation Tag.*

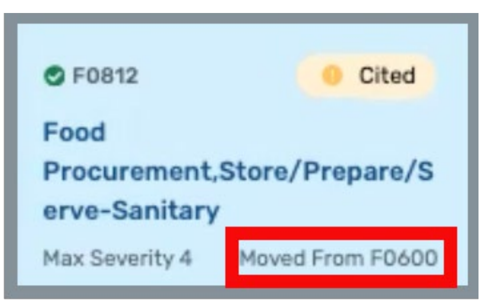


Figure 250: Move a Citation Tag

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 251, Resources.* The resources automatically download.

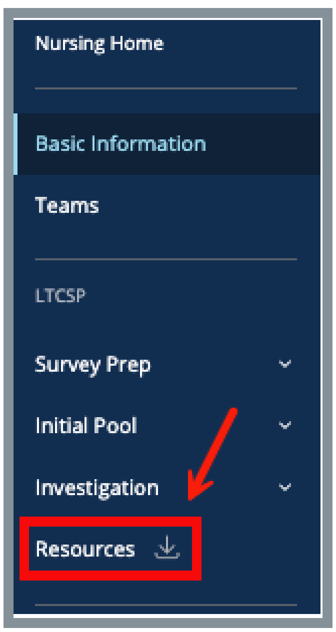


Figure 251: Resources

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 252, S&C Search*.

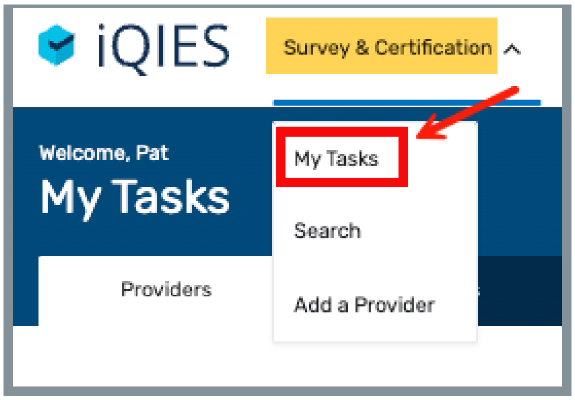


Figure 252: S&C Search

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 253, Search*.

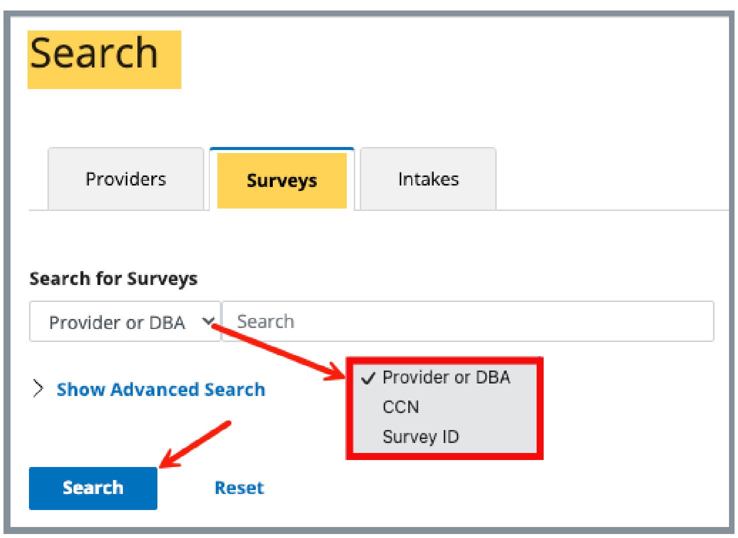


Figure 253: Search

25.5 Type search criteria.

25.6 Click **Search**. The survey information shows below. See *Figure 254, Survey Search Results*.

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

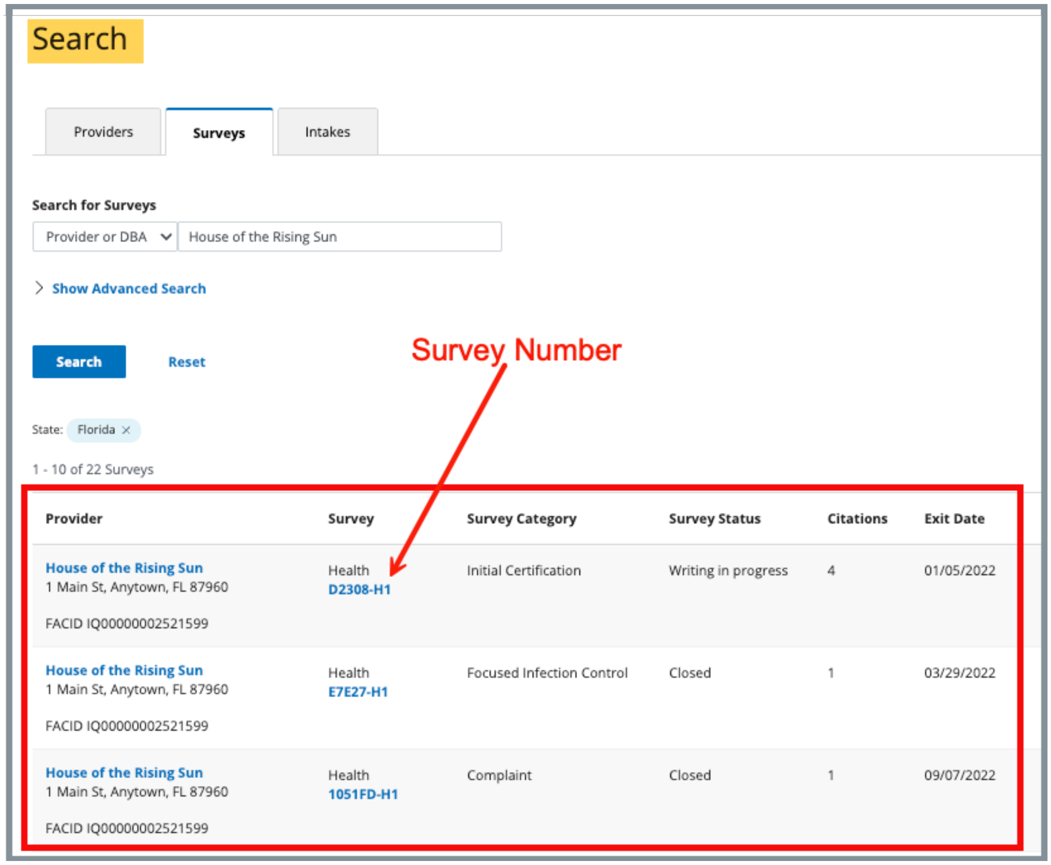


Figure 254: Survey Search Results

25.7 Click the survey number to view basic information. The **Basic Information** window opens. See *Figure 255, 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, when survey actions are available

The survey basic information shows:

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

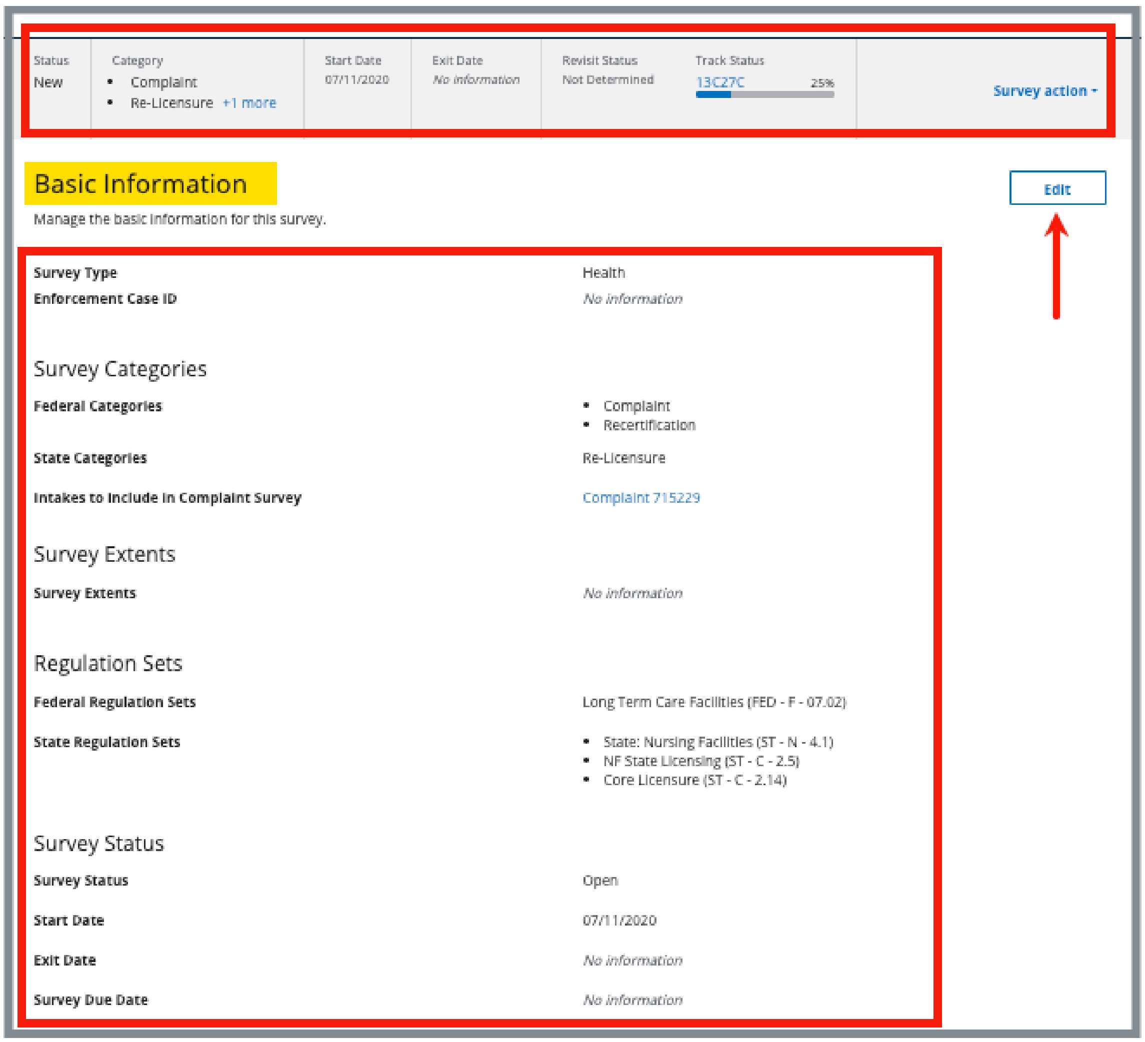


Figure 255: Survey Basic Information

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 256, Citation Notification Example*. Read the notification and follow the directions, if necessary.

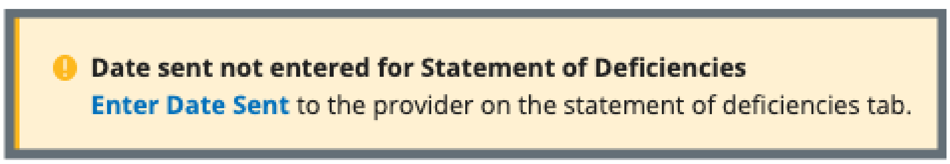


Figure 256: Citation Notification Example

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

26.1 Citation Overview

Notes:

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

26.1.1 Click **Citations** on the left menu. The **Citations** window opens. See *Figure 257, Citations*.

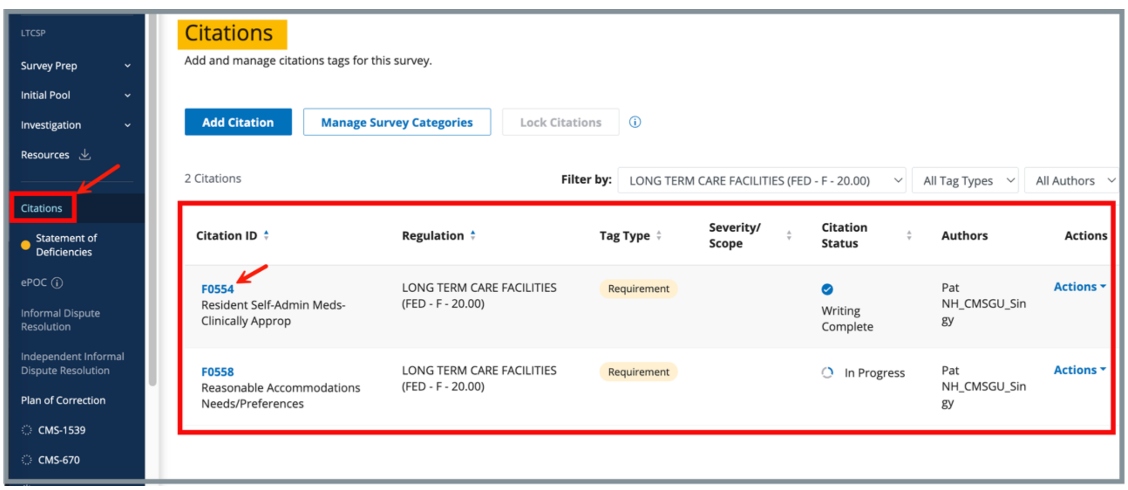


Figure 257: Citations

26.1.2 Click the citation to open **Citation Overview**. The Citation Overview window opens. See *Figure 258, Citation Overview*.

Figure 258: 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 259, Edit Citation Overview.*

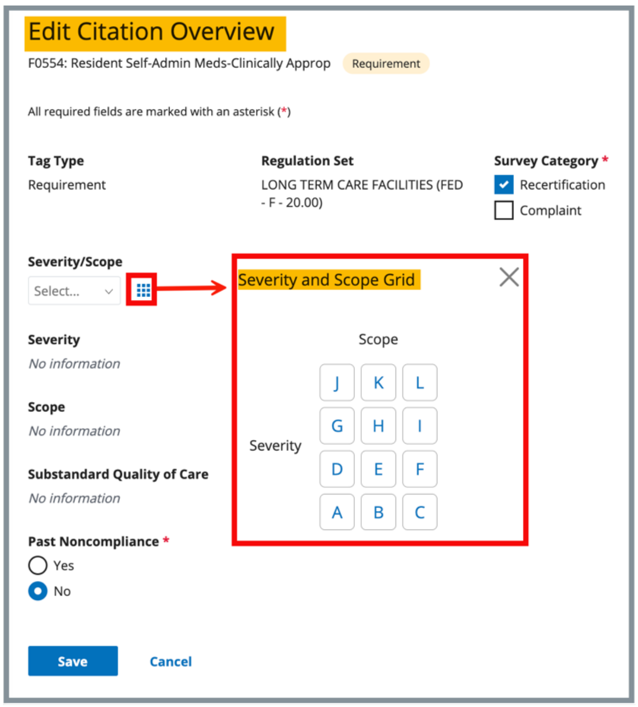


Figure 259: Edit Citation Overview

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 260, Manage Survey Categories.* The **Manage Survey Categories** window opens.

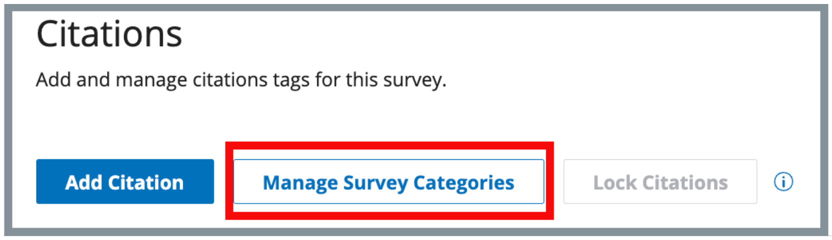


Figure 260: Manage Survey Categories

26.2.2 Check the box next the correct survey category. See *Figure 261, Manage Survey Categories Window*.

Note: More than one category can be checked.

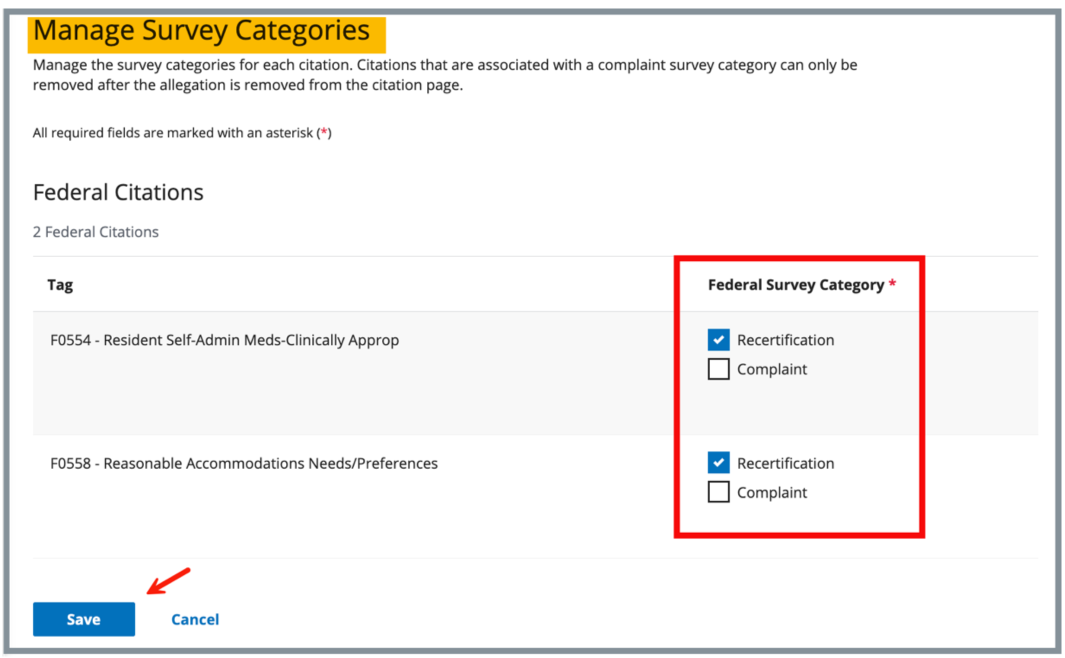


Figure 261: Manage Survey Categories Window

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 262, Add Citation Window*.

Figure 262: 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 is then added to the **Added Citations** list on the right. See *Figure 263, Added Citations* and *Table 34, Added Citations Detailed Callout*.

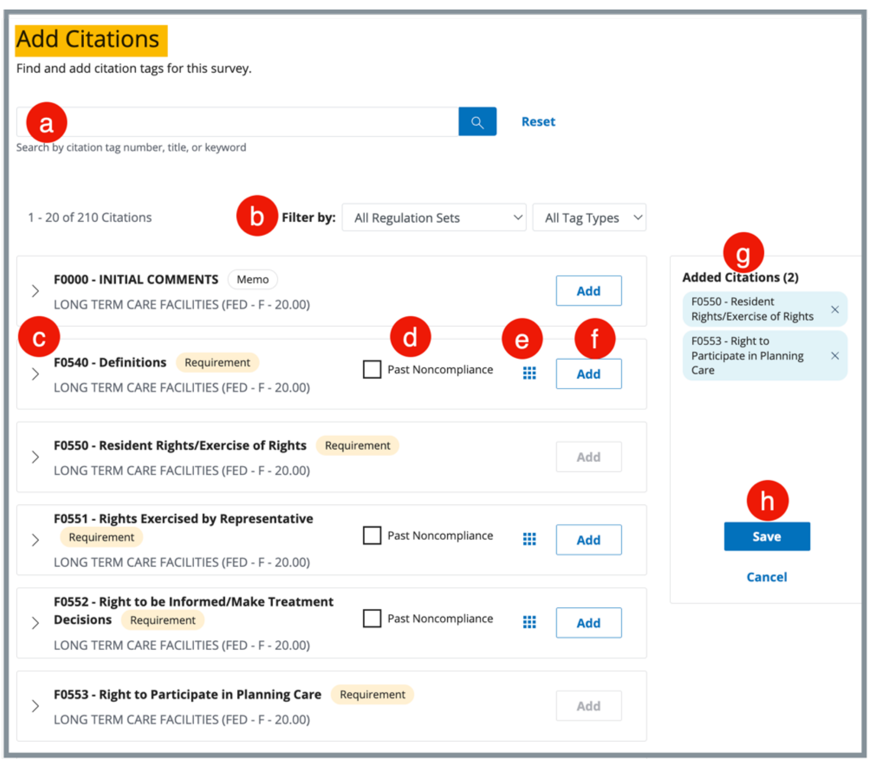


Figure 263: Added Citations

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

Notes:

- Citations are associated with a building for Life Safety Code Surveys.
- Review Fire Safety Evaluation System (FSES) Citations for details on FSES citations.

26.4.1 Click **Add Citation** in the **Citations** window to add a citation to the survey. The **Add Citations** window opens. See *Figure 264, Add LSC Citation Window.*

Figure 264: Add LSC Citations Window

26.4.2 Click the radio circle next to the desired building. See *Figure 265, 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.

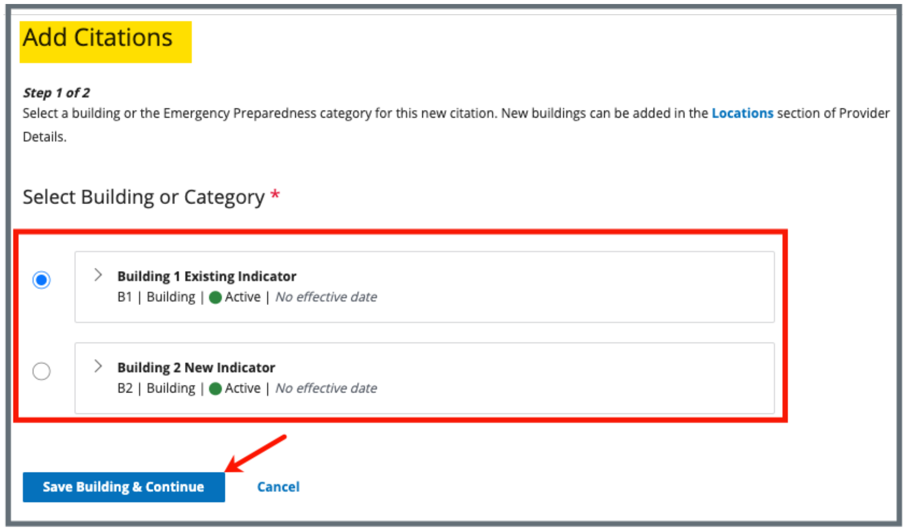


Figure 265: Add LSC Citations Step 1

26.4.4 Click **Add** next to any citation to add it. The citation is then added to the **Added Citations** list on the right. See *Figure 266, Add LSC Citations, Step 2.*

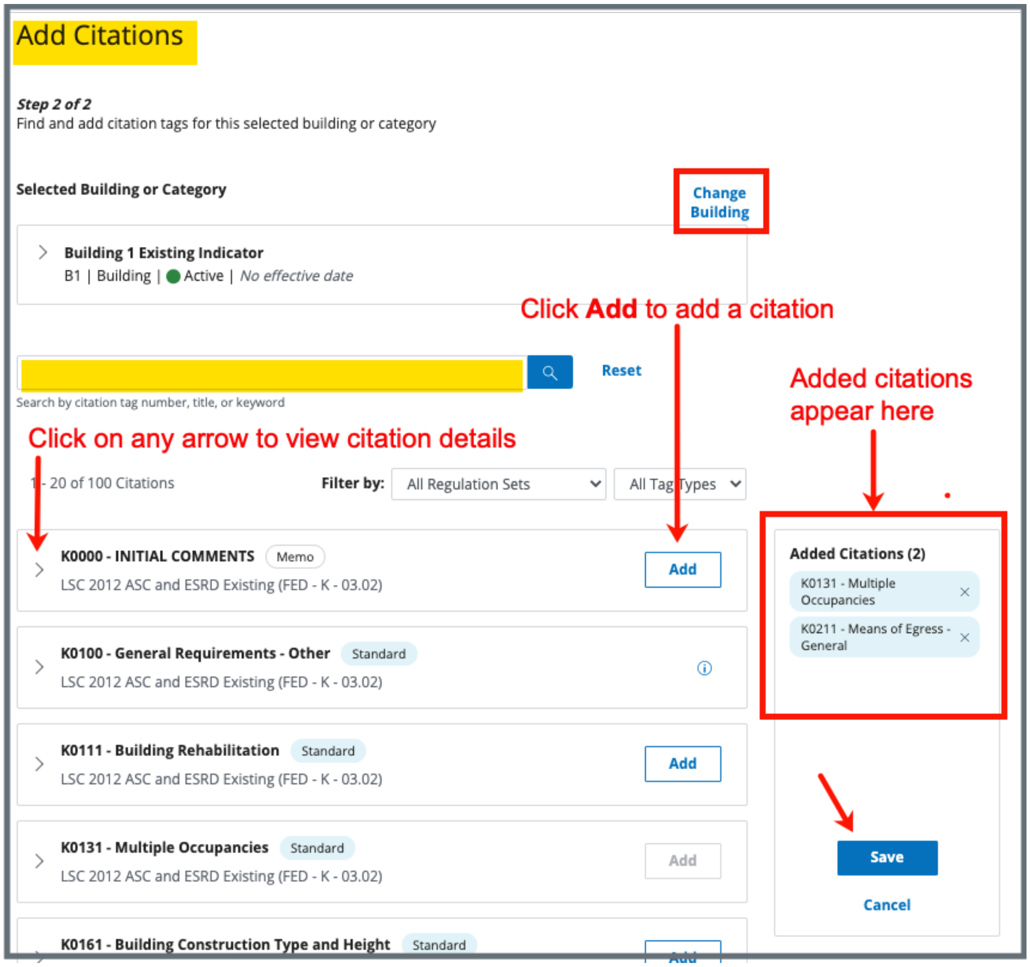


Figure 266: Add LSC Citations, Step 2

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 Fire Safety Evaluation System (FSES) Citations

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

26.5.1 Click **Add Citation** in the **Citations** window to add a citation to the survey. See *Figure 267, Citations Window*. The **Add Citations** window opens.

Figure 267: Citations Window

26.5.2 Select the Building or Category to add the citation. See *Figure 268, Select Building or Category.*

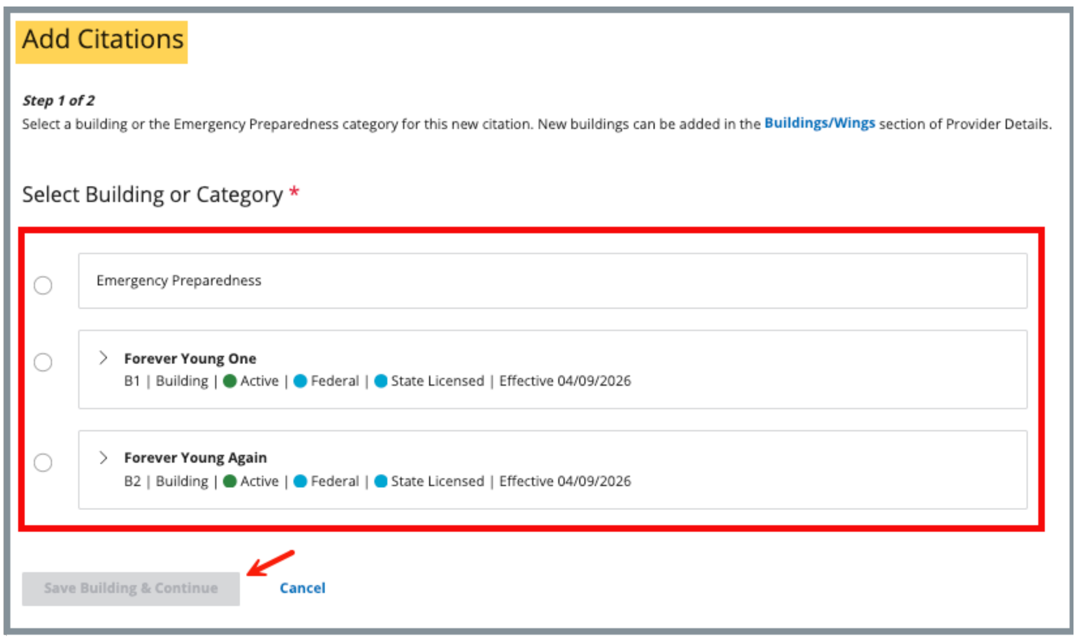


Figure 268: Select Building or Category

26.5.3 Click **Save Building & Continue**. The **Add Citations** page updates.

26.5.4 Click **Add** next to any citation to add it. The citation is then added to the **Added Citations** list on the right. See *Figure 269, Added Citations*.

Note: An FSES badge appears next to the citation when FSES is available.

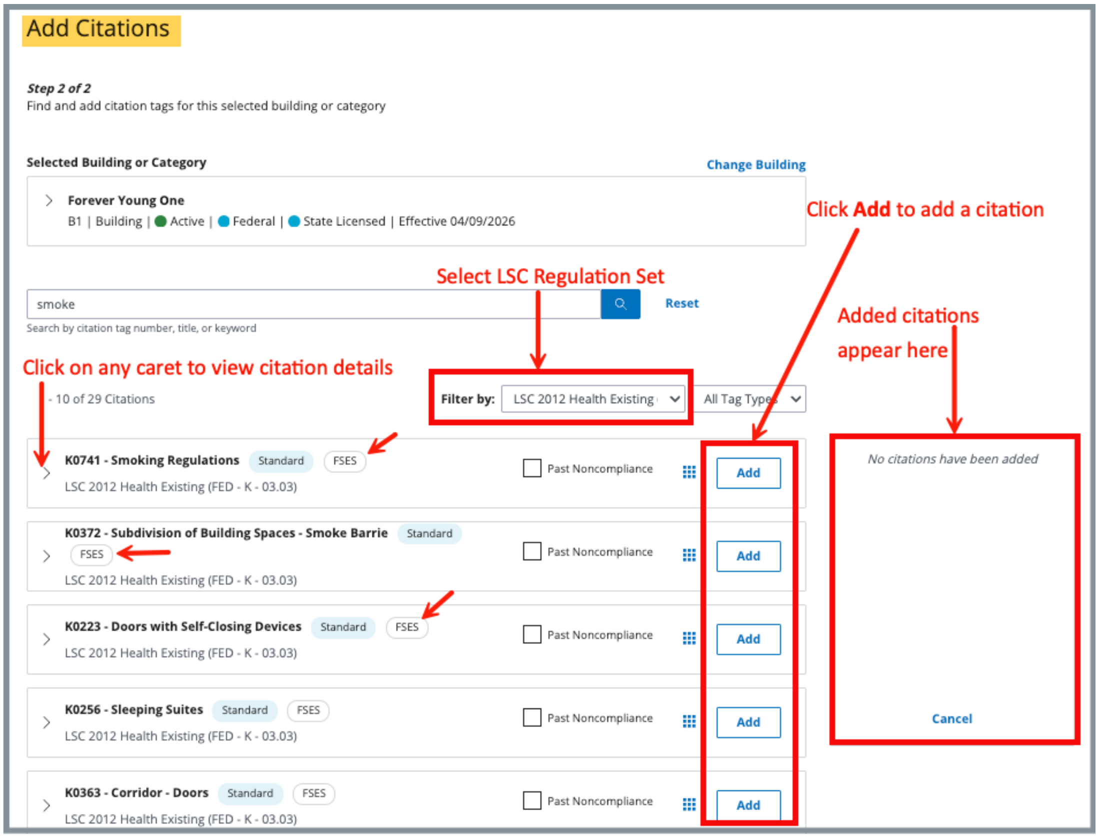


Figure 269: Added Citations

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 **LSC** Regulation Set (default for LSC surveys).
- Click any citation to view details about the citation.
- Click the **X** next to **Added Citations** to remove a citation before saving, if desired.

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

26.6 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.

26.6.1 Click **Delete Citation** under the **Actions** menu on the Citations page. See *Figure 270, Actions Delete Citation Drop-Down Menu.* A confirmation pop-up window appears.

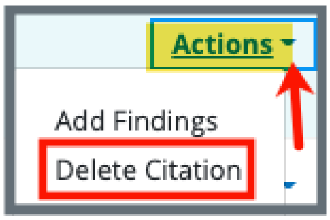


Figure 270: Actions Delete Citation Drop-Down Menu

26.6.2 Click **Confirm**. See *Figure 271, Delete Citation Confirmation Pop-up Window.* The citation has been deleted.

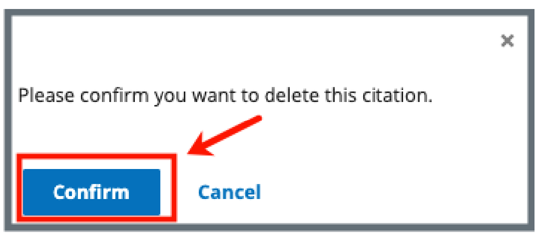


Figure 271: Delete Citation Confirmation Pop-up Window

26.7 Add a Deficient Practice Statement

Important Note: ASPEN did not have a separate **Findings** field and all information relating to the **Deficient Practice Statement** and the **Findings** were in one field. All migrated **Deficient Practice Statement** text is found under Findings in iQIES.

Note: The **Content Library** stores reusable content. Refer to Content Library, for more information.

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

26.7.2 Click **Deficient Practice Statement** on the left menu. See *Figure 272, Deficient Practice Statement.* The **Deficient Practice Statement** window opens.

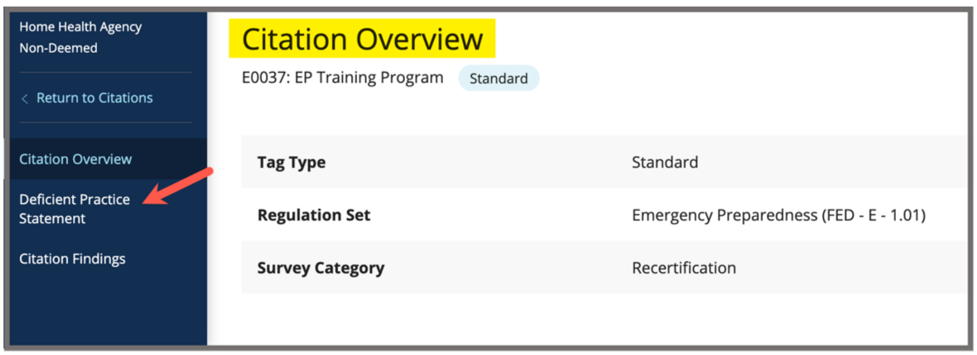


Figure 272: Deficient Practice Statement

26.7.3 Click the caret to review the **Regulation Text and Interpretive Guidelines**. See *Figure 273, Regulation Text and Interpretive Guidelines.*

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

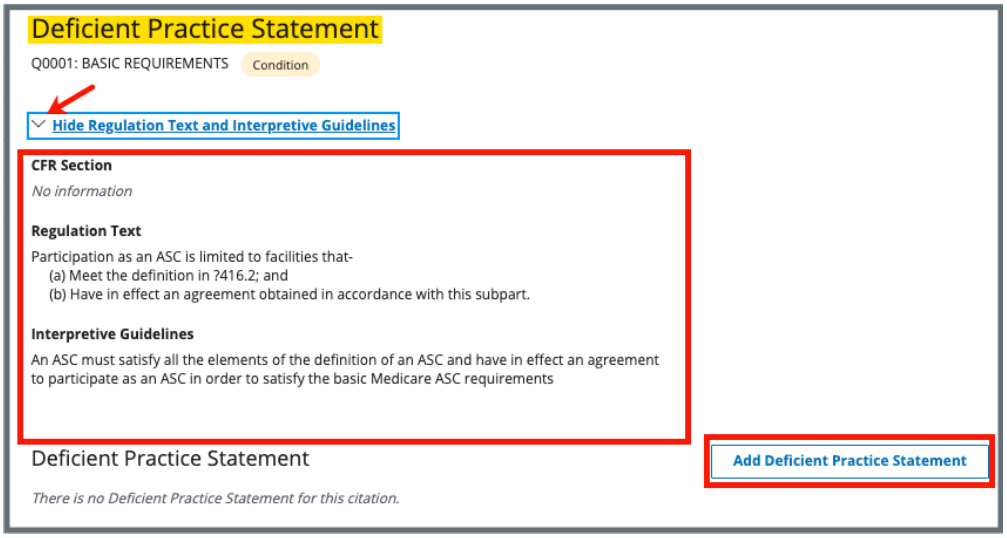


Figure 273: Regulation Text and Interpretive Guidelines

26.7.4 Click **Add Deficient Practice Statement**.

26.7.5 Type the Deficient Practice Statement in the text box. See *Figure 274, 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.

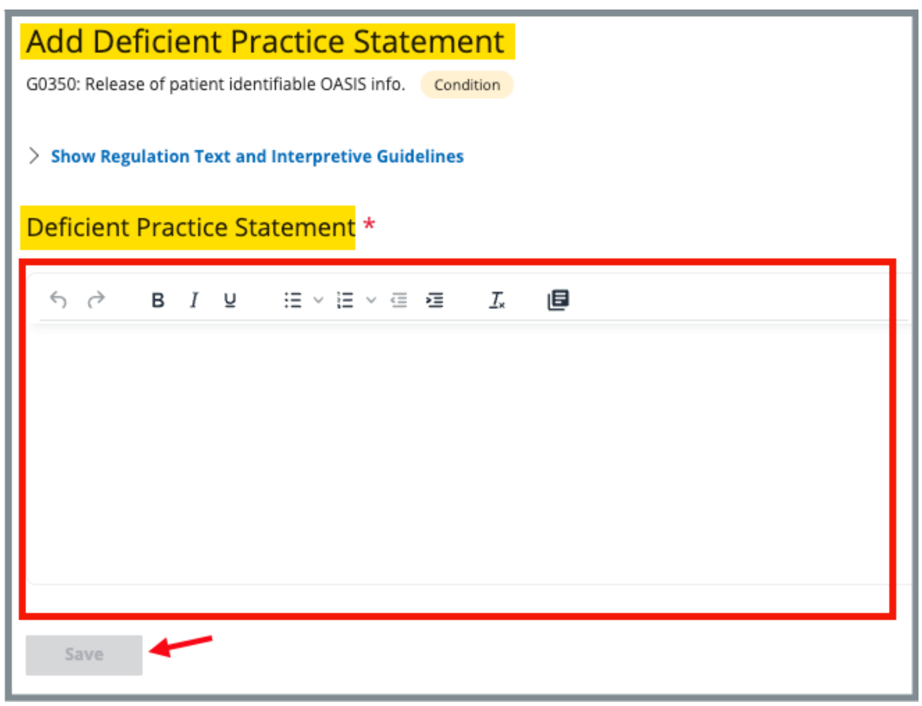


Figure 274: Deficient Practice Statement Text Box

Note: Be aware that two users can be in **Edit** mode in the **Deficient Practice Statement** at the same time. See *Figure 275, 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.

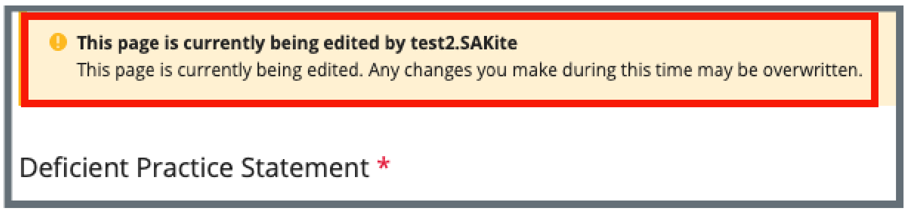


Figure 275: Concurrent Editor Notification

- 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 276, DPS Pencil Icon.*

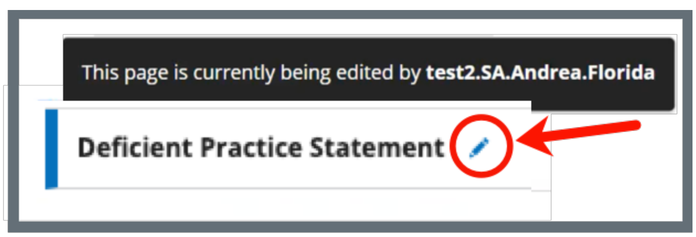


Figure 276: DPS Pencil Icon

26.7.6 Click **Save**.

26.8 Add Findings to a Citation

Important Note: ASPEN did not have a separate **Findings** field and all information relating to the **Deficient Practice Statement** and the **Findings** were in one field. All migrated **Deficient Practice Statement** text is found under **Findings** in iQIES.

Note: The Content Library stores reusable content. Refer to Content Library, for more information.

26.8.1 Click **Add Findings** in the **Actions** menu next to the correct citation on the **Citations** window. See *Figure 277, Citation Add Findings.* The Citation Findings window opens.

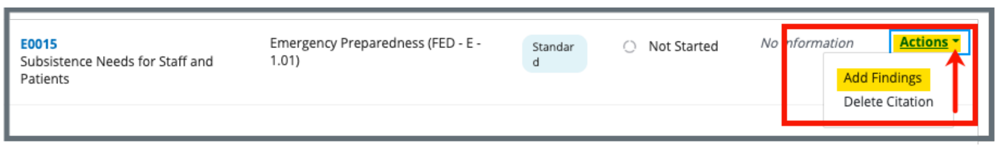


Figure 277: Citation Add Findings

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

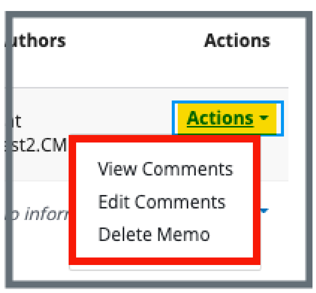


Figure 278: Actions Drop-Down Menu

26.8.2 Click **Add Findings**. The **Add Citation Findings** window opens. See *Figure 279, Add Citation Findings.*

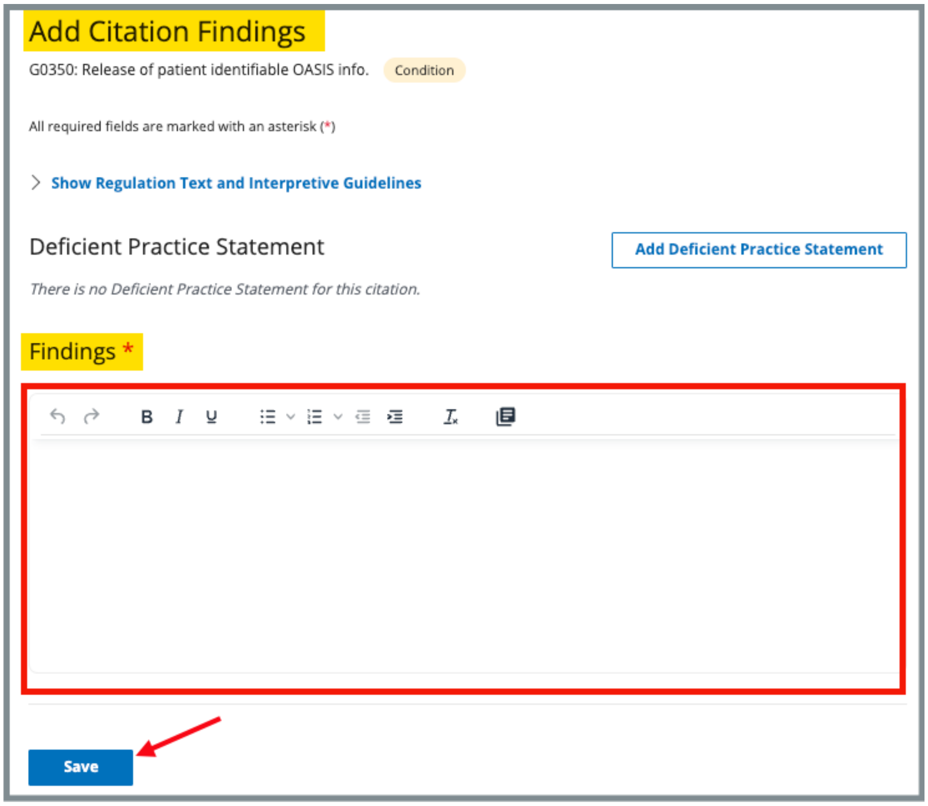


Figure 279: Add Citation Findings

Note: Be aware that two users can be in **Edit** mode in **Findings** at the same time. See *Figure 280, Concurrent Editor Notification.*

<u>One user will overwrite the other person's data</u>.

- 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.

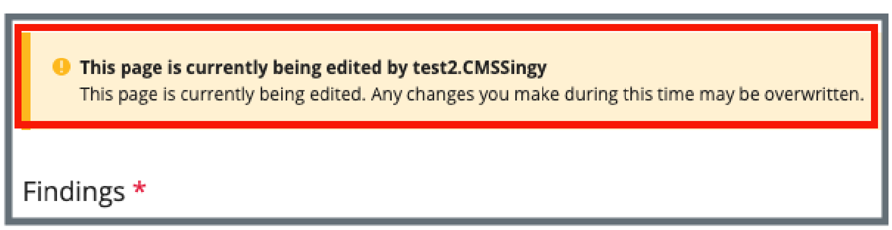


Figure 280: Concurrent Editor Notification

- 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 281, Findings Pencil Icon.*

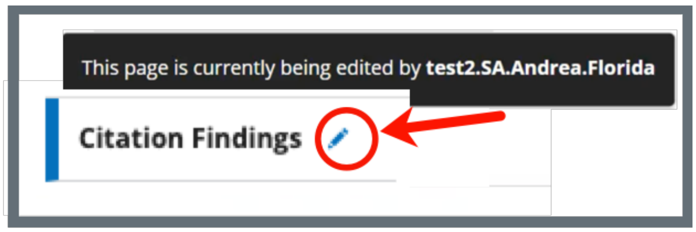


Figure 281: Findings Pencil Icon

26.8.3 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.

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

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

26.9 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 282, Content Library Icon.*

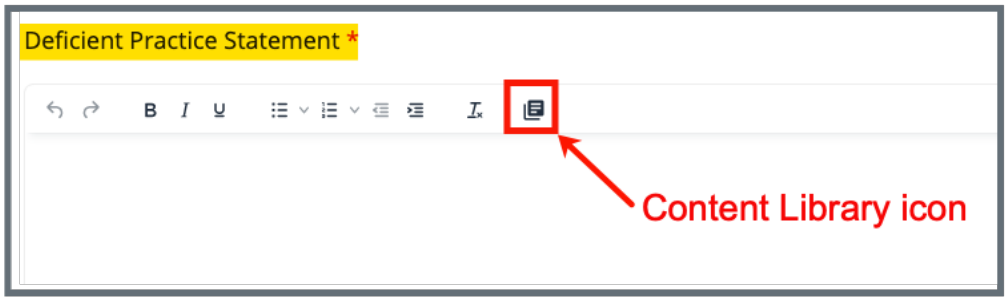


Figure 282: Content Library Icon

26.9.1 Click the **Content Library** icon. The **Content Library** pop-up window opens. See *Figure 283, 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.

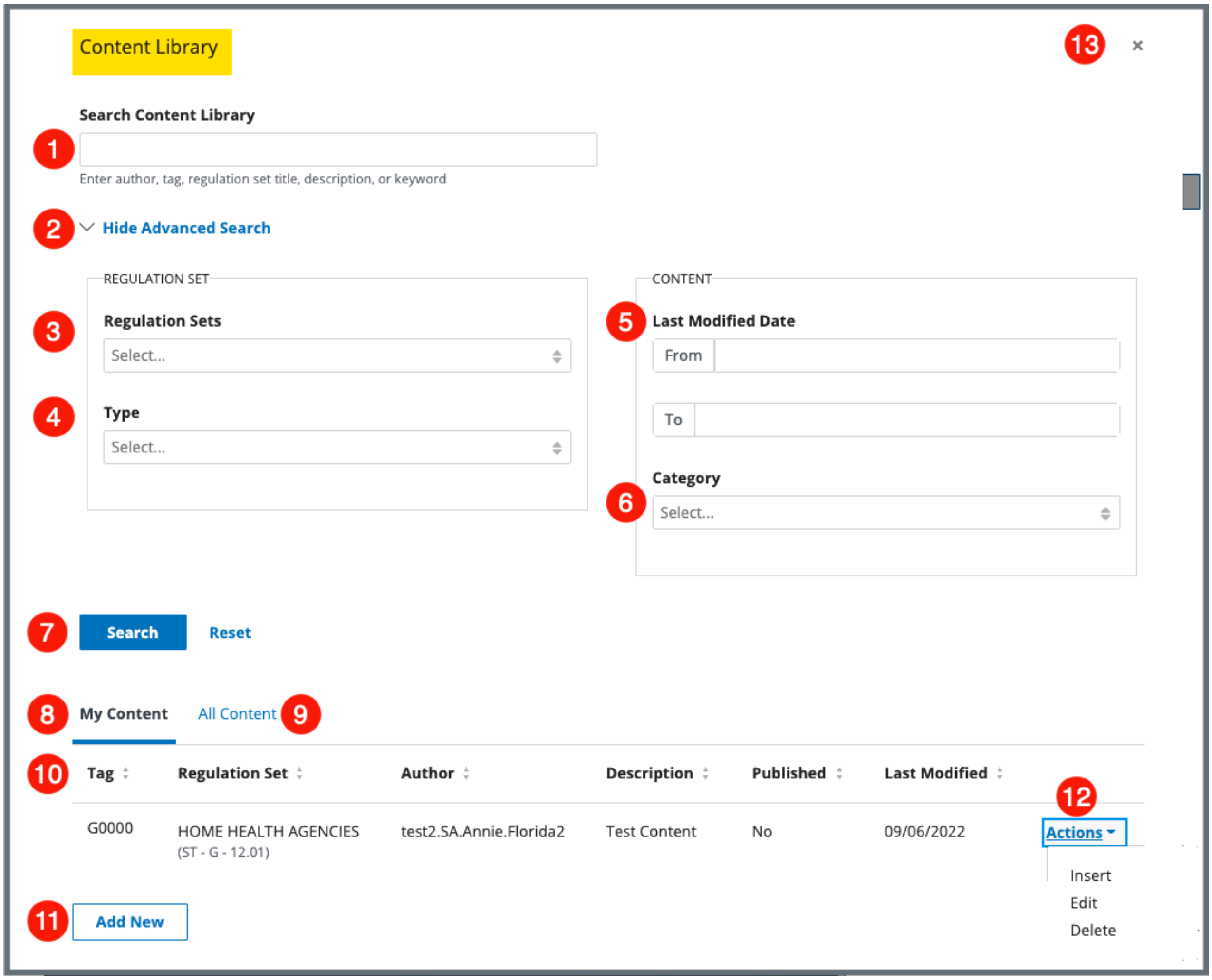


Figure 283: Content Library Pop-up Window

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.

26.9.2 Click **Add New** in the **Content Library** window to add a new piece of content. The **New Content** window opens. See *Figure 284, New Content Pop-up Window* and *Table 36, New Content Popup Detailed Callout.*

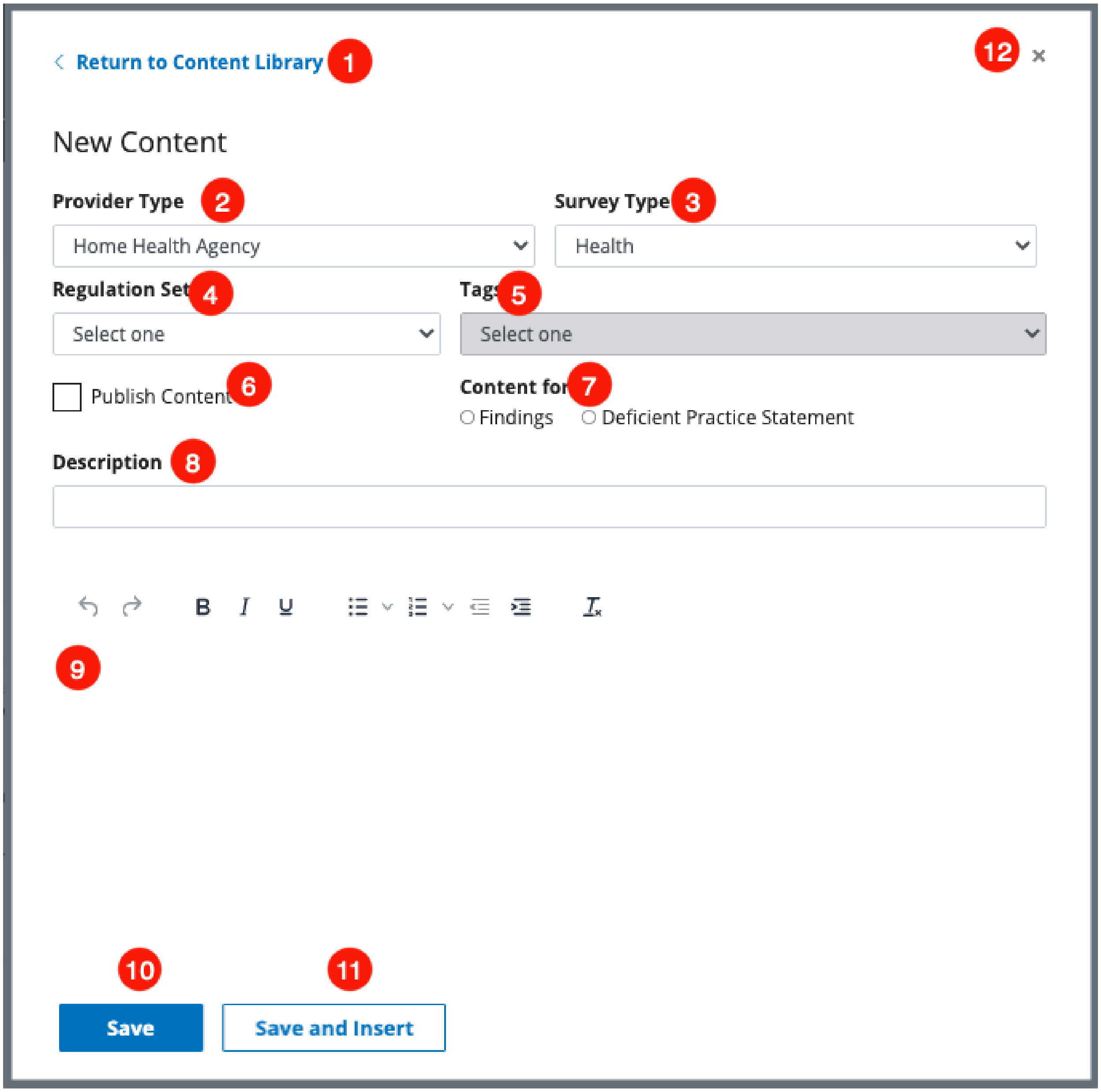


Figure 284: New Content Pop-up Window

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 appears 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.

26.9.3 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 285, 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**.

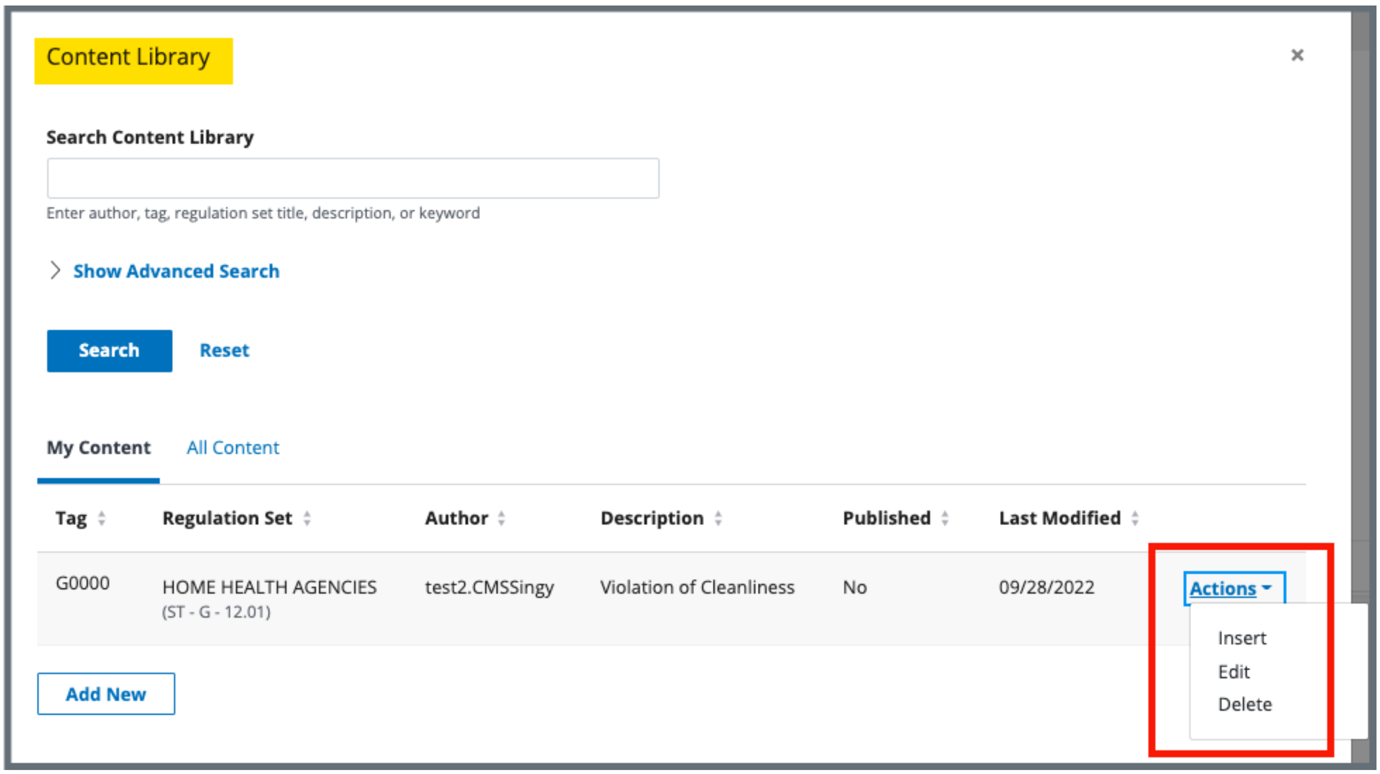


Figure 285: Content Library: Insert, Edit, Delete

26.9.4 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 286, View Drop-Down Menu*.

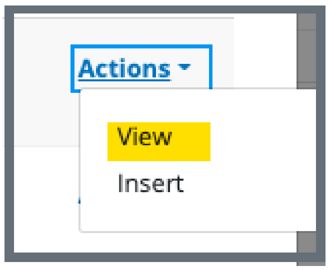


Figure 286: View Drop-Down Menu

c. Click **Duplicate**. See *Figure 287, Duplicate.* The **Add New Content** window opens.

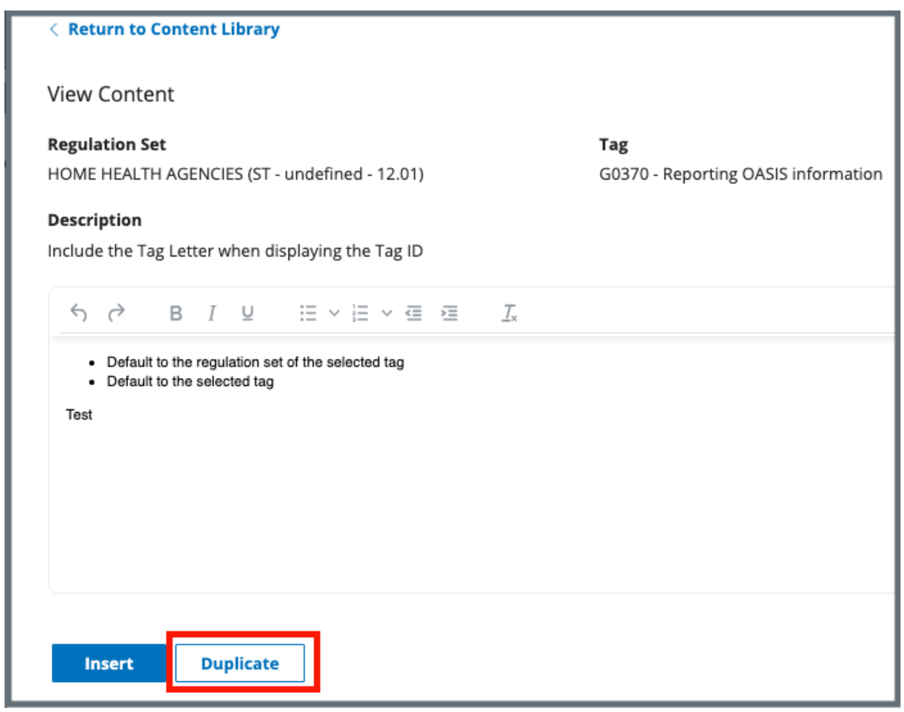


Figure 287: Duplicate

d. Make any desired changes.

e. Click **Save** to save the document to **My Content**. See *Figure 288, 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.

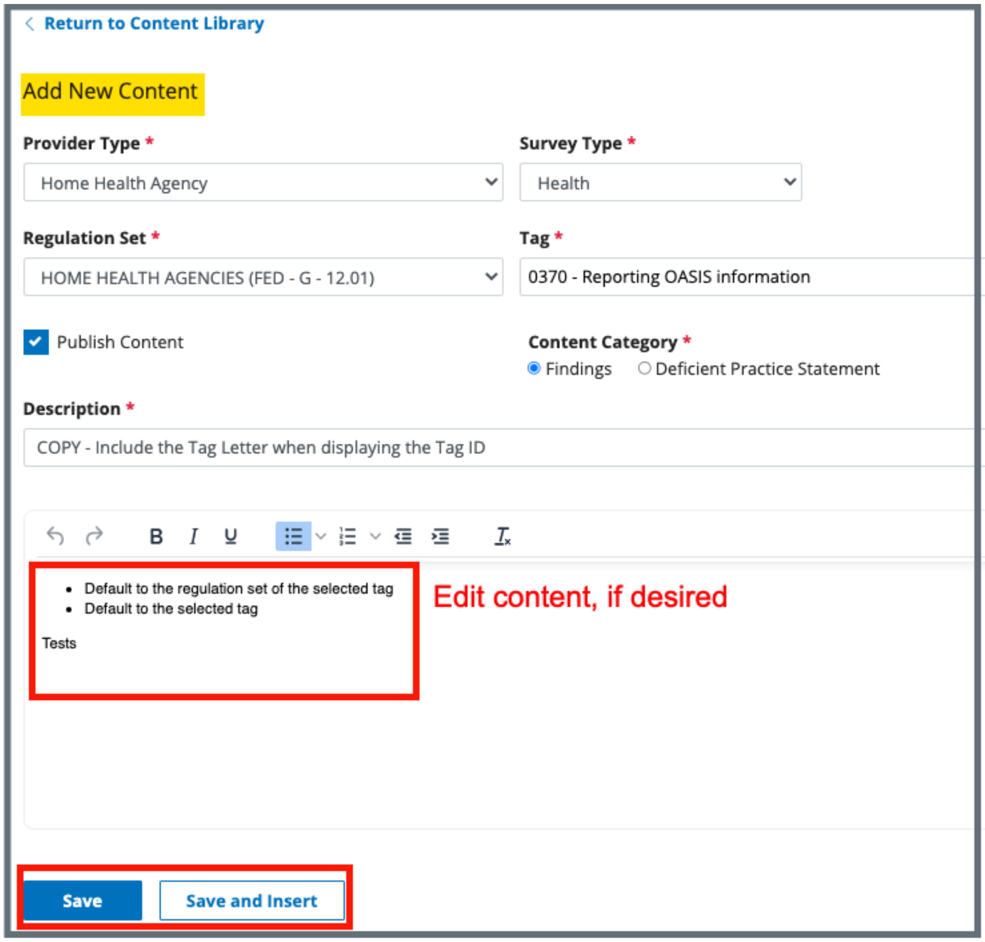


Figure 288: Edit Duplicated Content

Note: Duplicated Content has **COPY** in the description. See *Figure 289, Duplicated Content with COPY in Description.* To remove the word **COPY** from the description, select **Edit** from the **Actions** drop-down menu and delete the word from the description.

My Content | All Content

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

Figure 289: Duplicated Content with COPY in Description

26.10 Add an Attachment

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

26.10.1 Click **Attachments** on the left menu on either the **Citation Overview** or **Citations** page. The **Attachments** window opens. See *Figure 290, Attachments.*

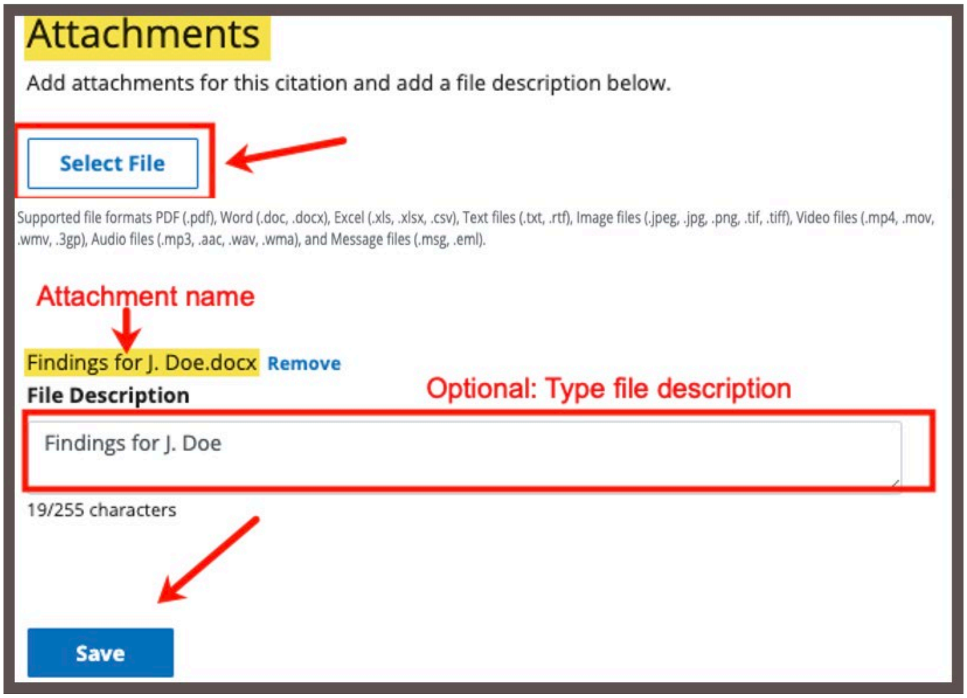


Figure 290: Attachments

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

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

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

26.10.5 Click **Save**. The file is attached to the Citation.

26.11 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.

26.12 Lock/Unlock a Citation

26.12.1 Click **Lock Citations** on the Citations page. See *Figure 291, Citations Ready to be Locked*. The **Survey Extents** popup opens.

Figure 291: Citations Ready to be Locked

26.12.2 Click **View Survey Extents** to review or edit survey extents. See *Figure 292, Survey Extents Popup.*

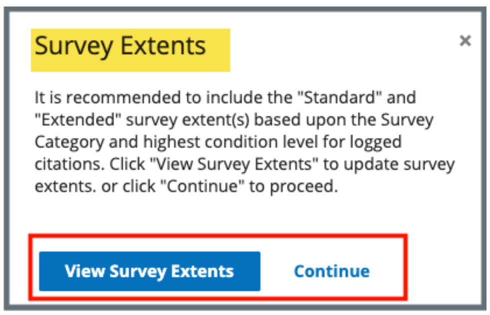


Figure 292: Survey Extents Popup

26.12.3 Click **Continue**, to lock citations. The **Lock Citations** popup opens. See *Figure 293, Lock Citations*.

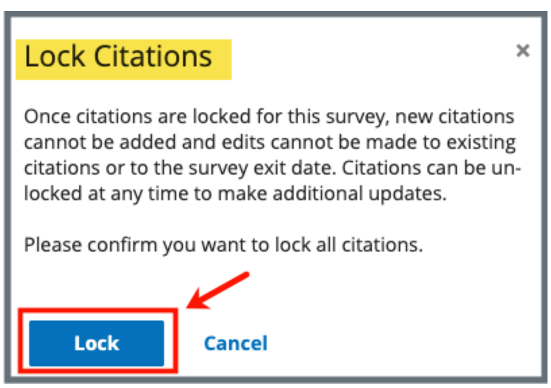


Figure 293: Lock Citations

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

26.12.5 Click **Unlock Citations** on the **Citations** window to unlock citations. See *Figure 294, Unlock Citations Pop-Up Window*. The **Unlock Citations** popup opens.

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

Figure 294: Unlock Citations Pop-Up Window

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

26.13 Merge Citation Findings

Note: Only the TC can merge citations.

26.13.1 Go to **Citations**. Verify that the **Citation Status** is **Ready for Merge**. See *Figure 295, Ready for Merge.*

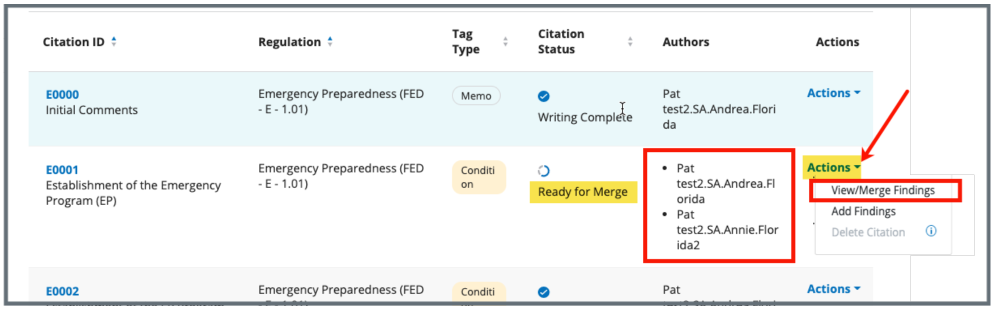


Figure 295: Ready for Merge

26.13.2 Click **View/Merge Findings** on the drop-down menu under **Actions**. The **Findings** window opens. See *Figure 296, Findings.*

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

Figure 296: Findings

26.13.3 Click **Merge Findings**. The **Merge Findings** pop-up window opens. See *Figure 297, Merge.*

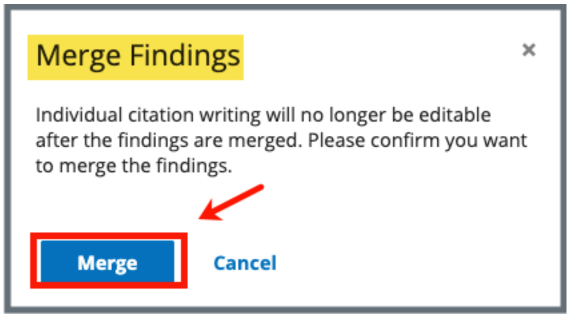


Figure 297: Merge

26.13.4 Click **Merge**. The **Findings** window opens with the merged findings. See *Figure 298, Ready for Merge.*

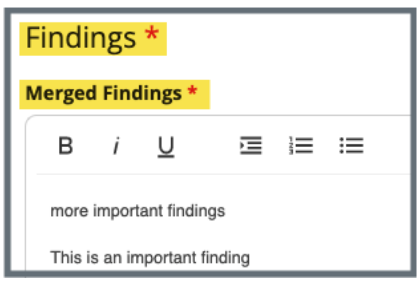


Figure 298: Ready for Merge

26.13.5 Update or edit findings, if desired. See *Figure 299, Findings*.

26.13.5.1 Click **Edit Findings** to edit the findings. The **Citations Findings Status** automatically changes to **In Progress**.

26.13.5.2 Click **Save Status** to save the edits. The **Citation Status** on the top menu is updated to **In Progress**.

26.13.6 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.

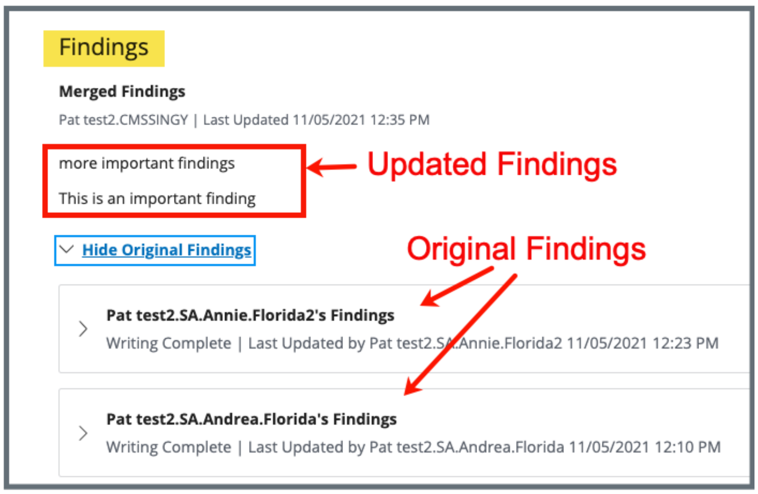


Figure 299: Findings

26.14 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:
  - All citations and findings have been added
  - The survey has an exit date
  - Citations are locked
  - The Plan of Correction (POC) information is complete
- Once a revisit survey is created, it cannot be deleted. Contact the iQIES Service Center for help, if necessary.
- If carried-over citations have been corrected during the follow up visit, go to the Plan of Correction on the revisit survey and add the corrected dates.
- A revisit may not be necessary for all citations. Review Create a Revisit Survey for Specific Citations for what to do when all citations do not need to have a revisit survey created.
- All revisits can be seen back to the previous survey. See View Older Revisit Surveys.
- Not all user roles have view and edit access to FMS revisit surveys. See User Roles Matrix for details.

26.14.1 Click **Survey action** on the gray survey bar and select **Create Revisit** from the drop-down menu. See *Figure 300, Create Revisit Drop-Down Menu*. The **Basic Information** page opens.

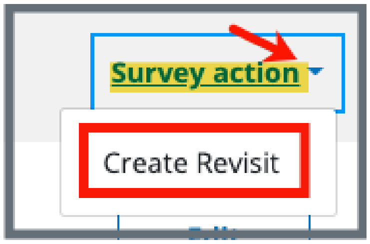


Figure 300: Create Revisit Drop-Down Menu

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.

26.14.2 Update the page as necessary. Be sure to click **Save Basic Information**.

26.15 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.
- All federal citations in the survey are carried over to the revisit survey when a survey contains federal citations with condition-level tags. When this happens, all the **Needs Revisit** checkboxes are 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.

26.15.1 Go to the **Plan of Correction** page and scroll to **Corrective Actions**.

26.15.2 Each citation has a **Needs Revisit** column. See *Figure 301, Needs Revisit Column.*

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

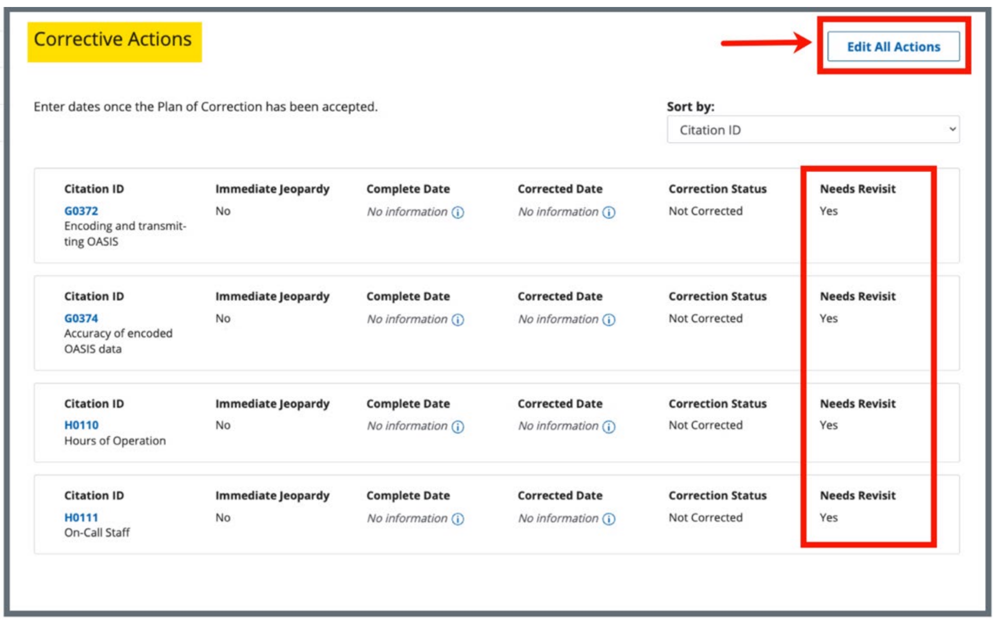


Figure 301: Needs Revisit Column

26.15.3 Click **Edit All Actions**. The fields are now editable. See *Figure 302, Needs Revisit Editable Fields.*

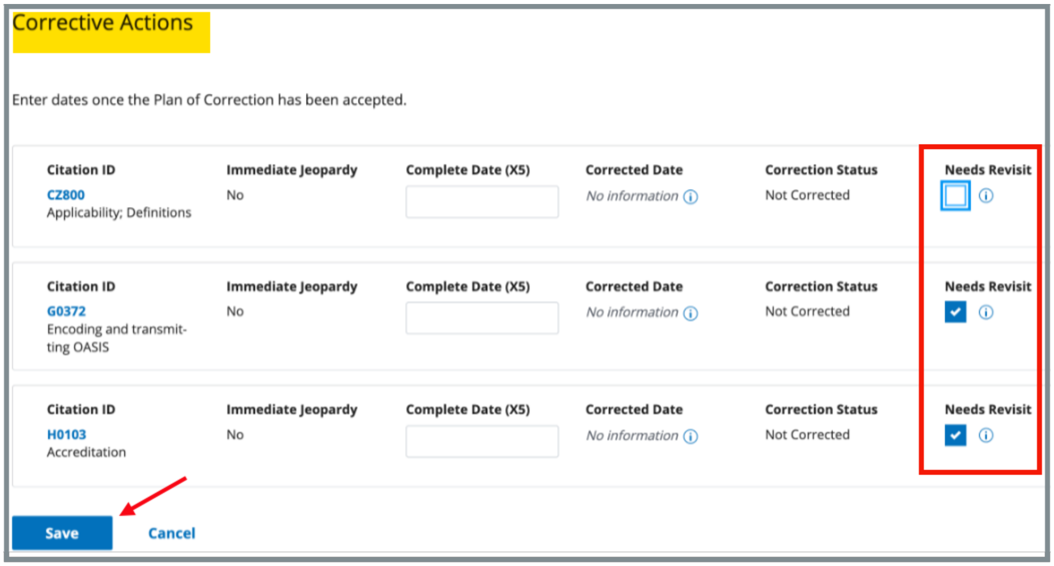


Figure 302: Needs Revisit Editable Fields

26.15.4 Uncheck the boxes under **Needs Revisit** for each citation that does not need to be corrected in a follow up visit.

26.15.5 Click **Save**.

26.16 View Older Revisit Surveys

26.16.1 Go to the latest revisit survey and click **Plan of Correction** on the left menu. Scroll down to **Corrective Actions**. See *Figure 303, Revisits Corrective Actions.*

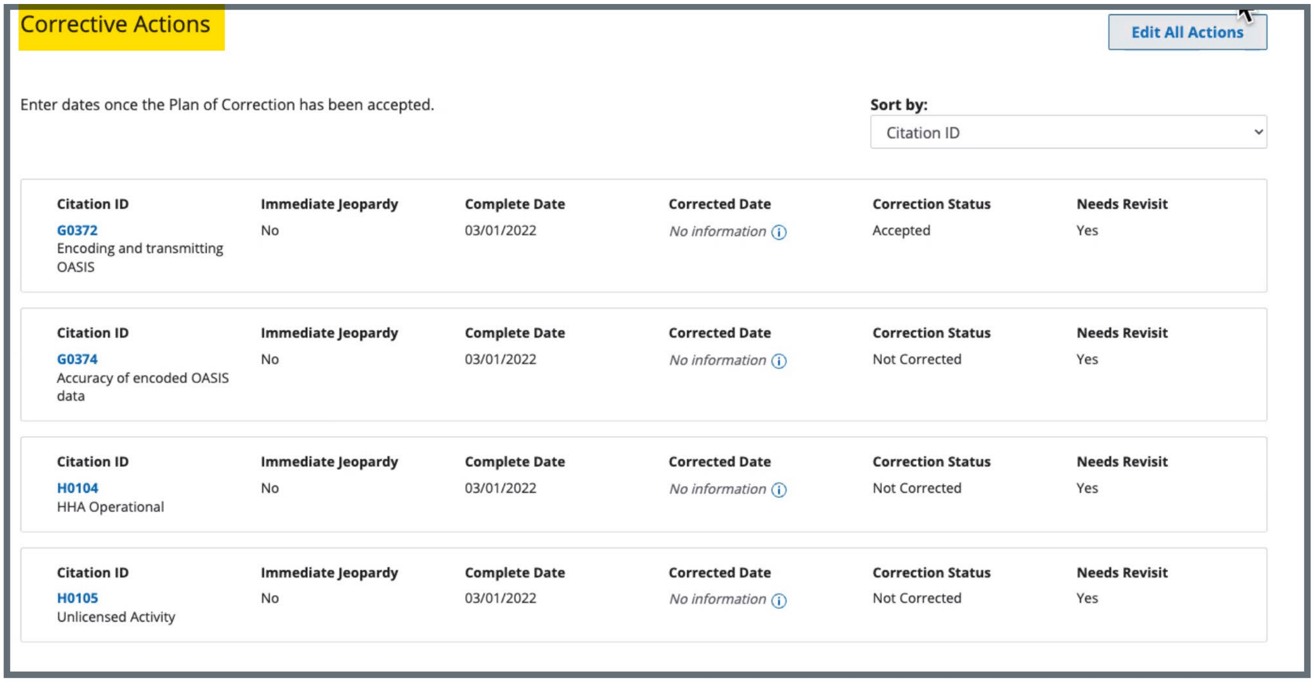


Figure 303: Revisits Corrective Actions

26.16.2 Click **Edit All Actions**.

26.16.3 Add the **Corrected Date** to any citations that have been corrected. See *Figure 304, Citation Corrected Dates.*

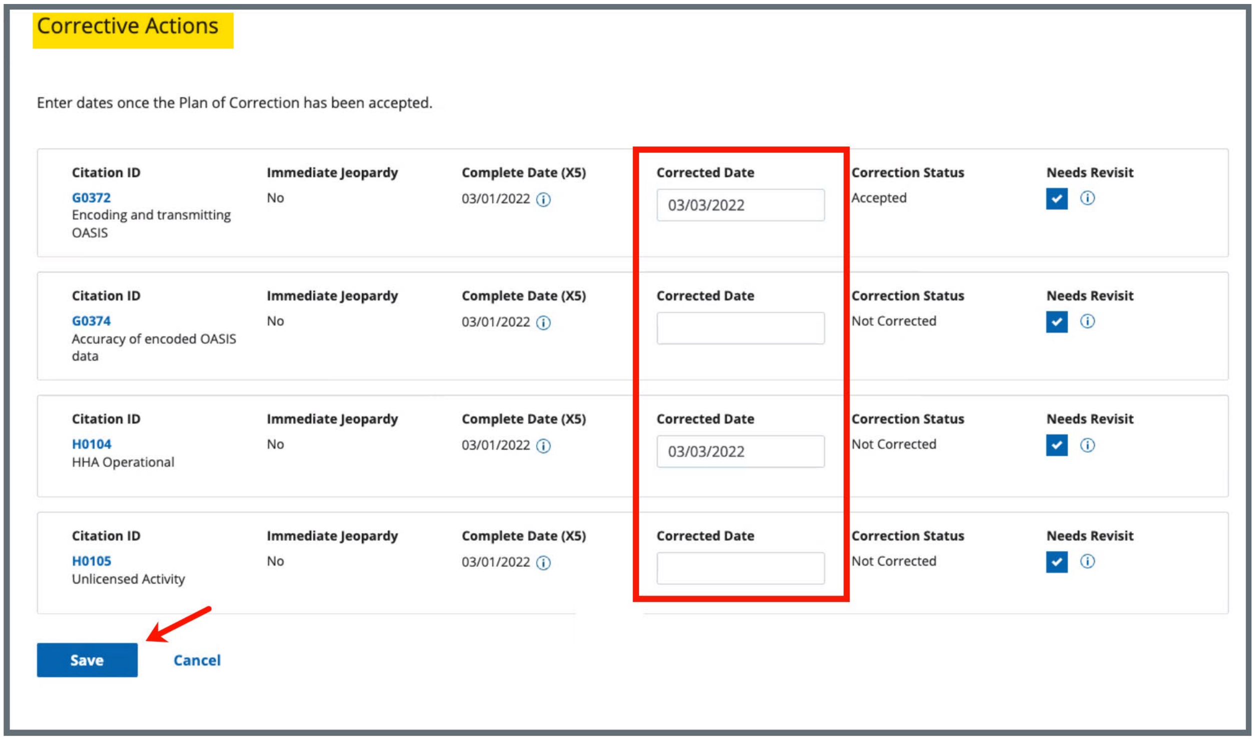


Figure 304: Citation Corrected Dates

26.16.4 Click **Save**. The **Corrective Actions** are updated with a link to the original survey. See *Figure 305, Revisits Linked in Corrective Actions.*

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

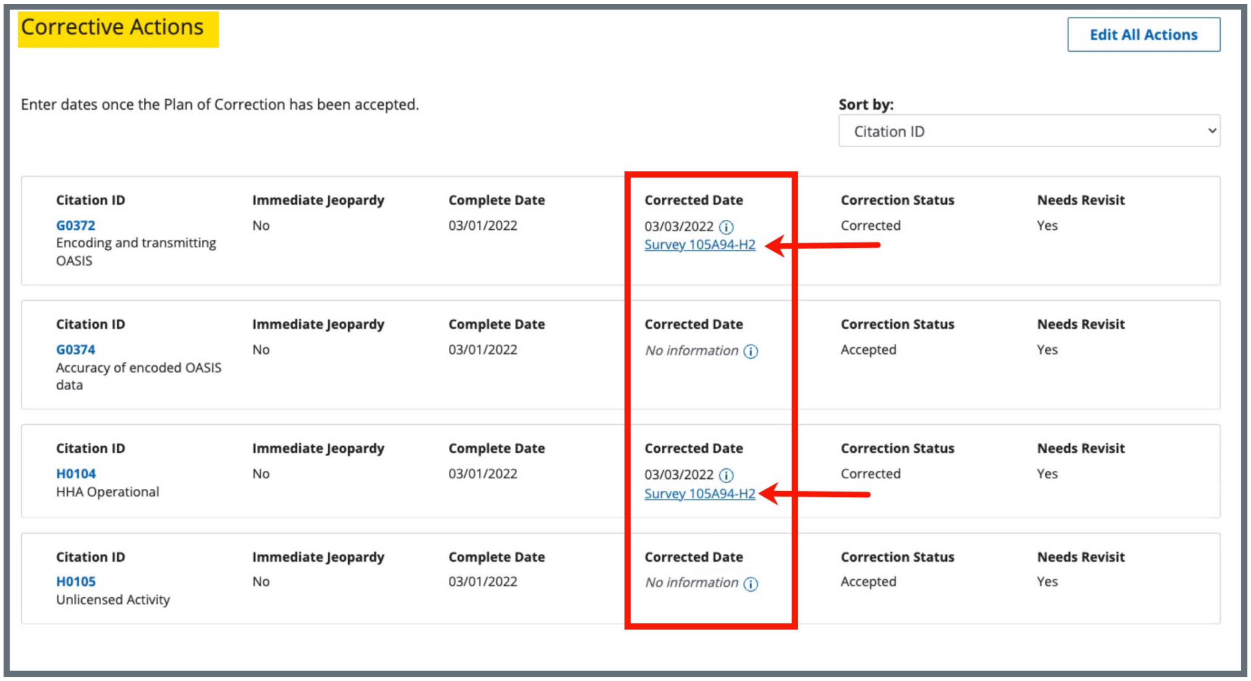


Figure 305: Revisits Linked in Corrective Actions

27. FMS Details

Purpose: Review details for FMS surveys.

Note: The **FMS Details** menu option is displayed only when an FMS is present.

27.1 Click **FMS Details** on the left menu. The **FMS Details** screen opens. See *Figure 306, FMS Details.*

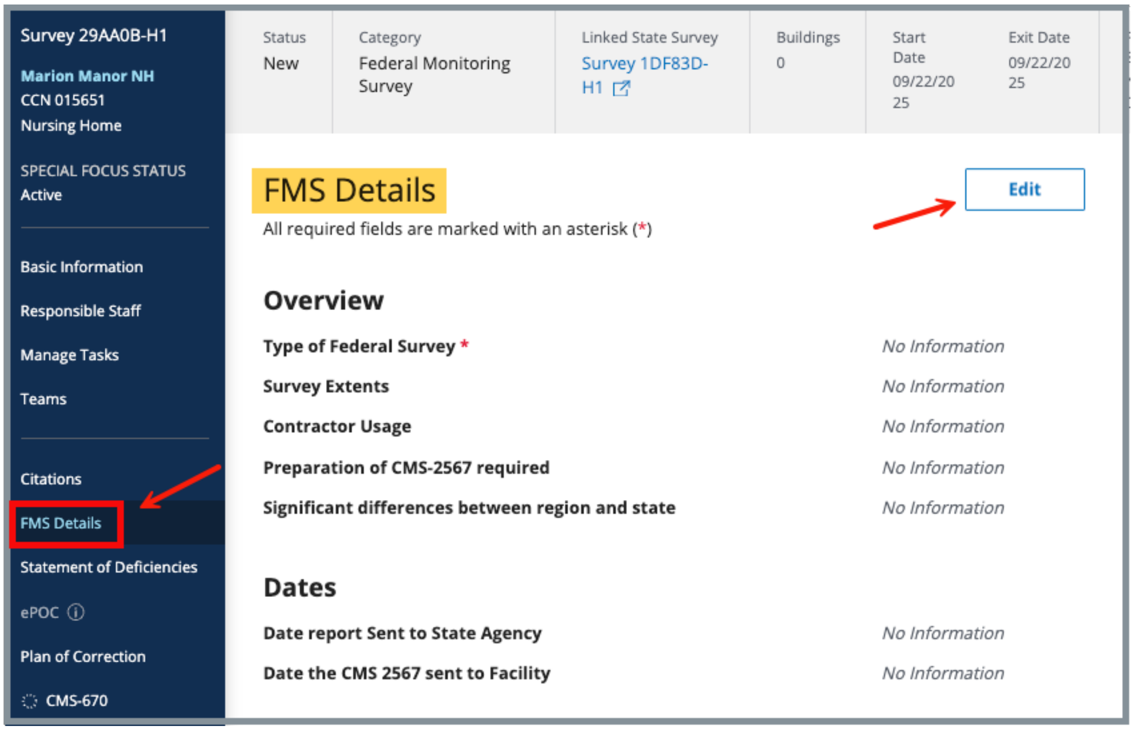


Figure 306: FMS Details

27.2 Click **Edit** to edit FMS details. See *Figure 307, Edit FMS Details.*

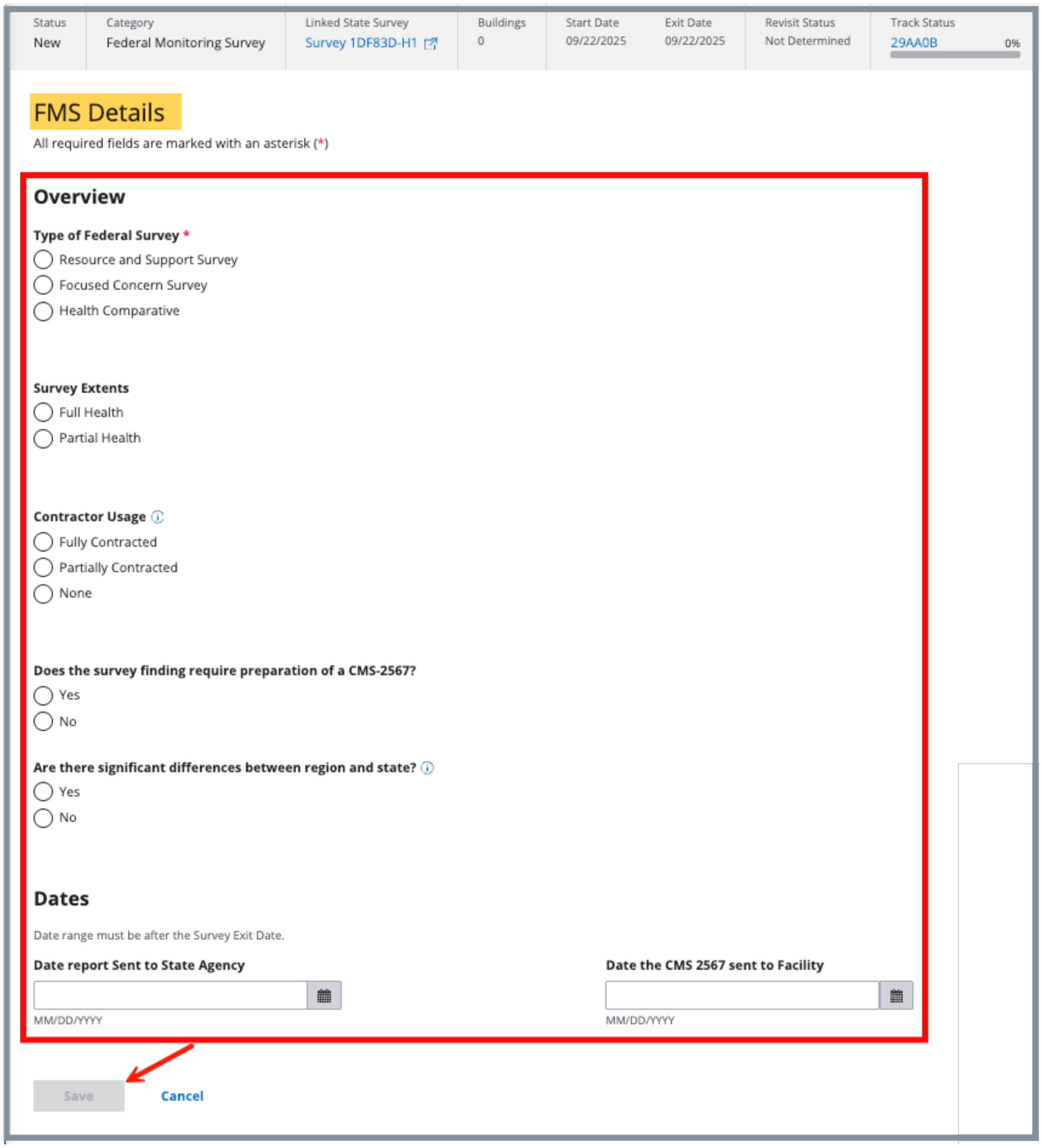


Figure 307: Edit FMS Details

27.3 Click **Save**. The **FMS Details** page opens with updated information.

Note: **Save** is disabled until required fields are completed.

28. 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.

28.1 Add IJ to a citation.

28.1.1 Add a citation. See Citations for more details.

28.1.2 Click the Scope/Severity grid. See *Figure 308, Add IJ to a Citation.*

Add IJ to a Citation

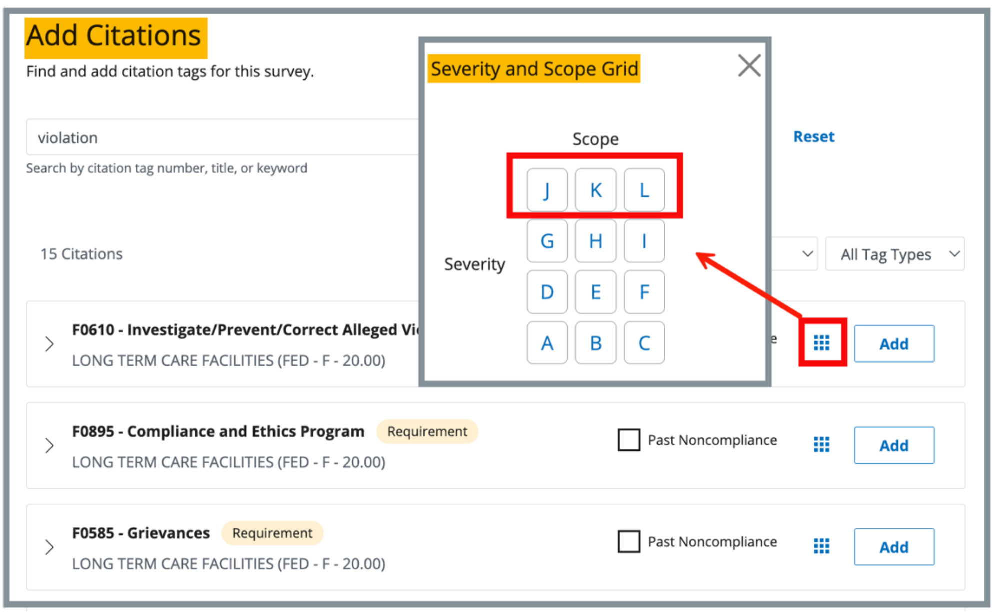


Figure 308: Add IJ to a Citation

28.1.3 Select **J**, **K**, or **L**.

28.1.4 Click **Add**.

28.1.5 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.

28.2 Update any citations not associated with IJ. See Add Findings, if necessary.

28.3 Click **Lock IJs**. See *Figure 309, Lock IJs*. The **Lock IJ Citations** pop-up 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**.

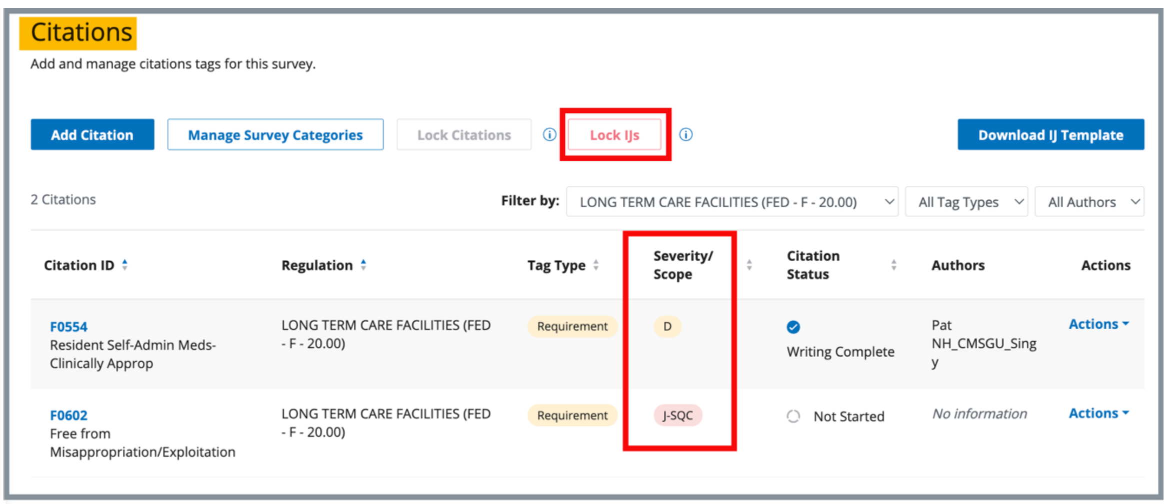


Figure 309: Lock IJs

28.4 Click **Lock as IJ**. See *Figure 310, Lock IJ Citations Popup Window*. The **Citations** page opens, and a Statement of Deficiencies can now be generated with **Date Sent**.

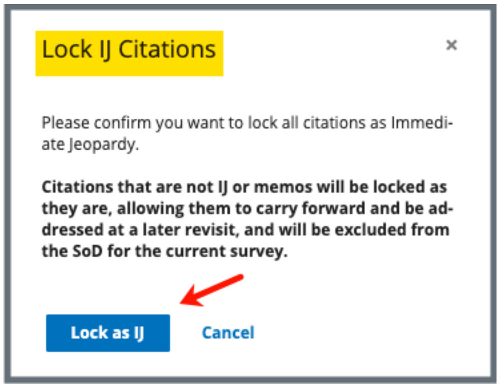


Figure 310: Lock IJ Citations Popup Window

28.5 Click **Statement of Deficiencies** on the left menu. The **Statement of Deficiencies** page opens.

28.6 Click **Generate Form**.

28.7 Check the **CMS-2567 – Federal Statement of Deficiencies** box. The **Statement of Deficiencies** page expands to show additional fields. See *Figure 311, IJ Citation Check Box*.

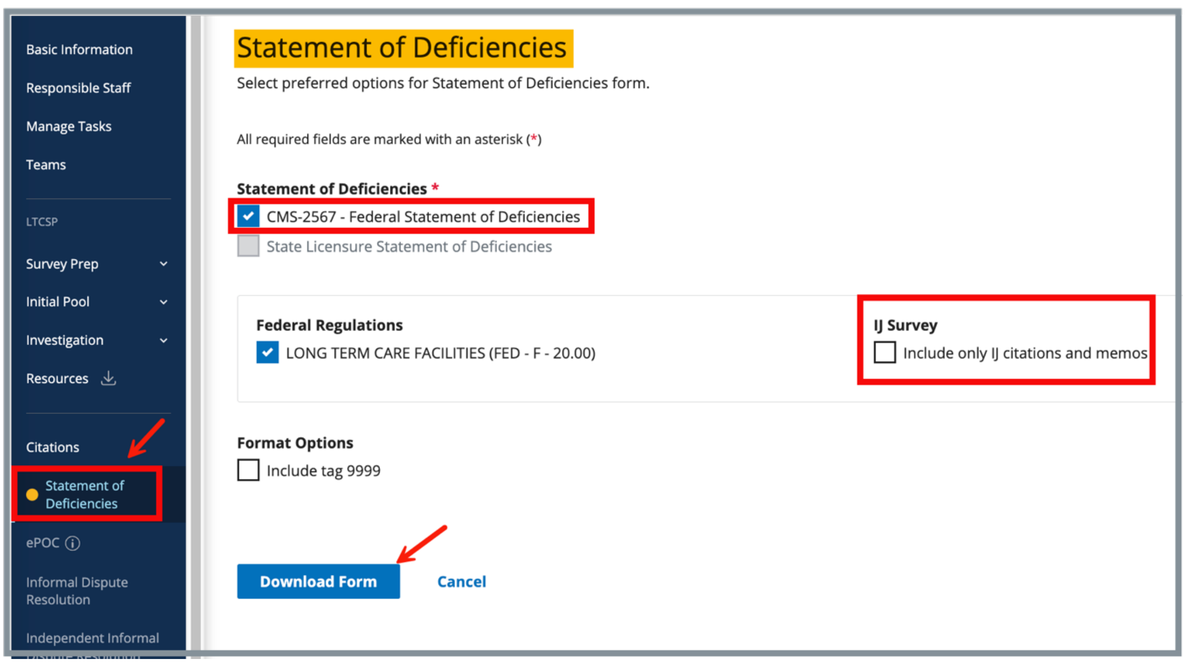


Figure 311: IJ Citation Check Box

28.8 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.

29. 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.

29.1 Create the CMS-2567 form.

29.1.1 Click **Statement of Deficiencies** on the left menu. The **Statement of Deficiencies** screen opens. See *Figure 312, Statement of Deficiencies*.

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

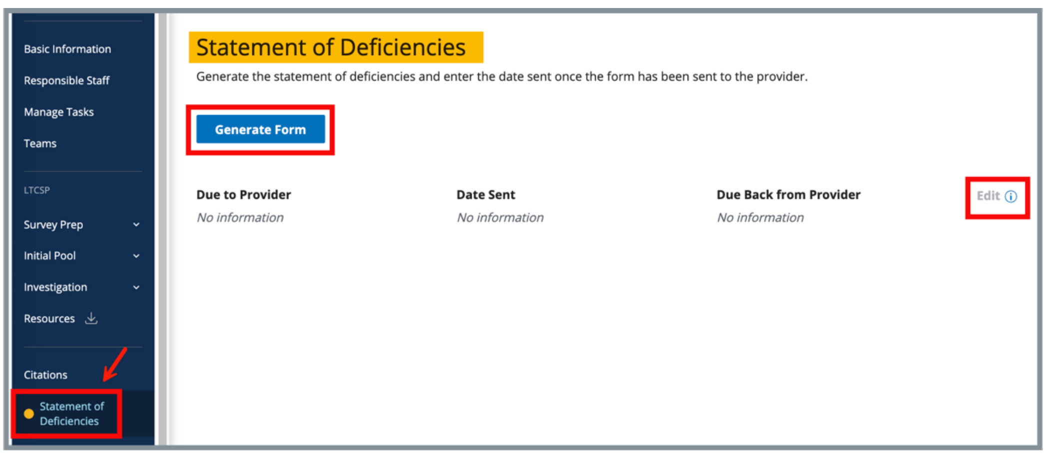


Figure 312: Statement of Deficiencies

29.1.2 Click **Generate Form**.

29.1.3 Check the **CMS-2567 – Federal Statement of Deficiencies** box**.** The **Statement of Deficiencies** page expands to show additional fields. See *Figure 313, 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.

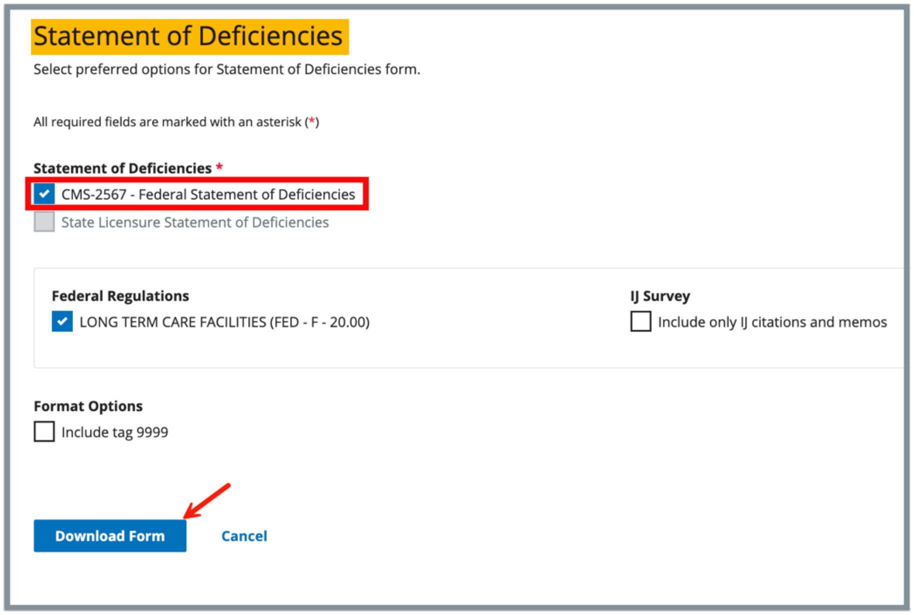


Figure 313: Statement of Deficiencies: Preferred Options

29.1.4 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.

29.2 Edit the statement of deficiencies dates.

Note: The **Statement of Deficiencies** can only be edited when a survey has an exit date.

29.2.1 Click **Edit**. See *Figure 314, Statement of Deficiencies*.

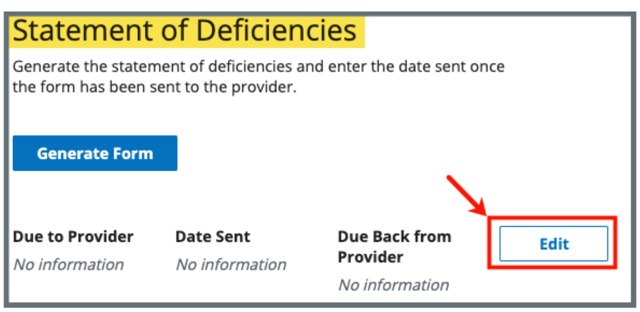


Figure 314: Statement of Deficiencies

29.2.2 Type dates under **Date Sent** and **Due Back from Provider**, in a **MM/DD/YYYY** format. See *Figure 315, Statement of Deficiencies Edit Screen*.

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

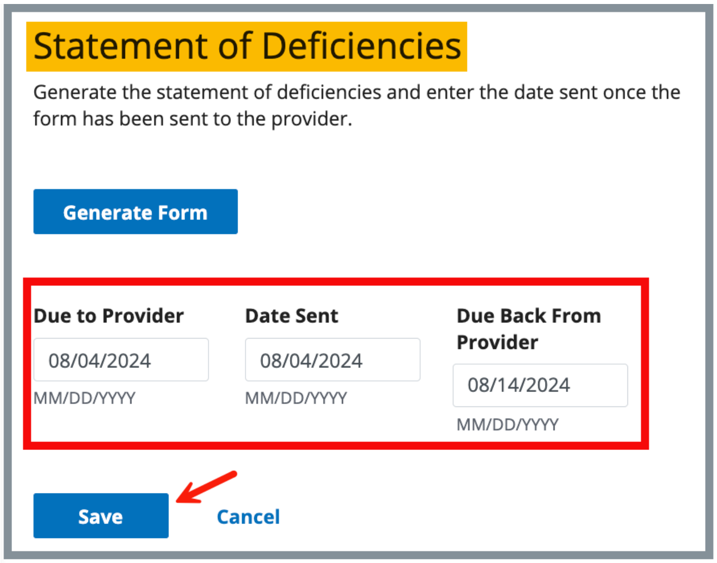


Figure 315: Statement of Deficiencies Edit Screen

29.2.3 Click **Save**.

PRINTED: 12/05/2025
FORM APPROVED
OMB NO. 0938-0391

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

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTIONS	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: **69K394**	(X2) MULTIPLE CONSTRUCTION A. BUILDING B. WING	(X3) DATE SURVEY COMPLETED **10/27/2021**

NAME OF PROVIDER OR SUPPLIER	STREET ADDRESS, CITY, STATE, ZIP CODE
House of the Rising Sun3	**1 Main St #305, 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
E0000	Initial Comments Bad stuff	E0000		
E0002	Establishment of the EP Program Transplant A transplant center must be included in the emergency preparedness planning and the emergency preparedness program as set forth in §482.15 for the hospital in which it is located. However, a transplant center is not individually responsible for the emergency preparedness requirements set forth in §482.15. This CONDITION is NOT MET as evidenced by: More bad stuff and more	E0002		

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: D2303-H1 Facility ID: IQ00000002521587 If continuation sheet Page 1 of 1

Figure 316: CMS-2567

30. 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.

Notes:

- To create an IDR, the survey must have a status of **Statement of Deficiencies Sent**.
- Not all provider areas have an IDR.

30.1 Click **Survey action** on the gray status bar and select **Create Informal Dispute Resolution** from the drop-down menu. See *Figure 317, Create Informal Dispute Resolution Drop-Down Menu*. The **Informal Dispute Resolution** page opens.

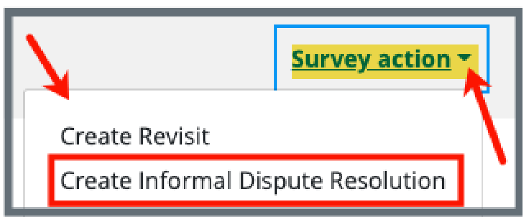


Figure 317: Create Informal Dispute Resolution Drop-Down Menu

30.2 Fill out the information. See *Figure 318, IDR.*

Note: Click **Select** under List of Attendees for attendees.

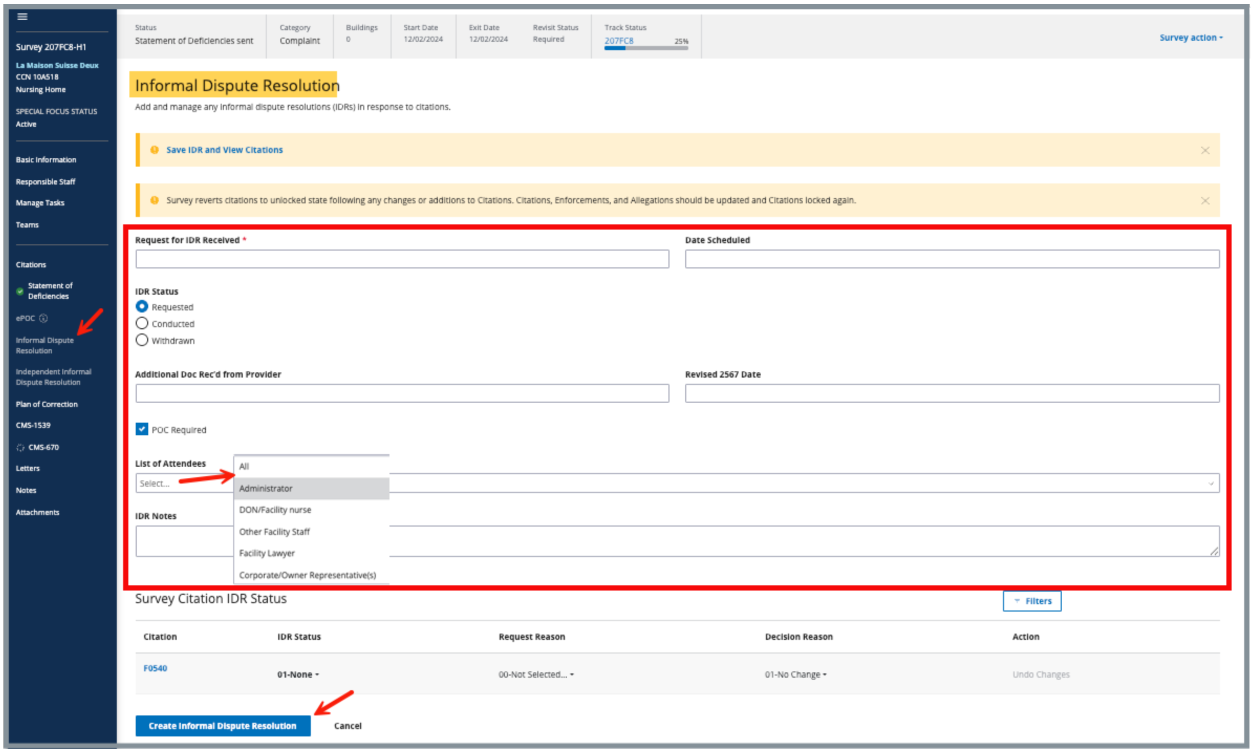


Figure 318: IDR

30.3 Click **Create Informal Dispute Resolution**. The **Informal Dispute Resolution page** updates.

31. 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
- CMP **Imposition Notice Date** must be within the last 30 days.

31.1 Click **Survey action** on the gray status bar and select **Create Independent Informal Dispute Resolution** from the drop-down menu. See *Figure 319, Create Independent Informal Dispute Resolution Drop-Down Menu*. The **Independent Informal Dispute Resolution** page opens. See *Figure 320, Independent Informal Dispute Resolution.*

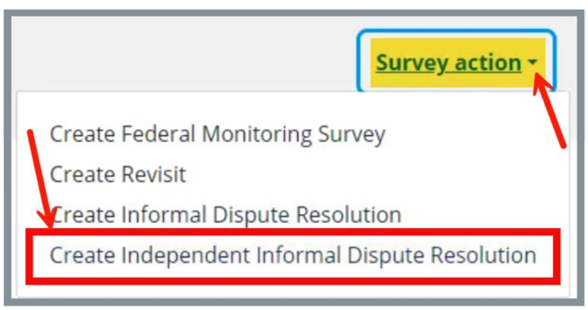


Figure 319: Create Independent Informal Dispute Resolution Drop-Down Menu

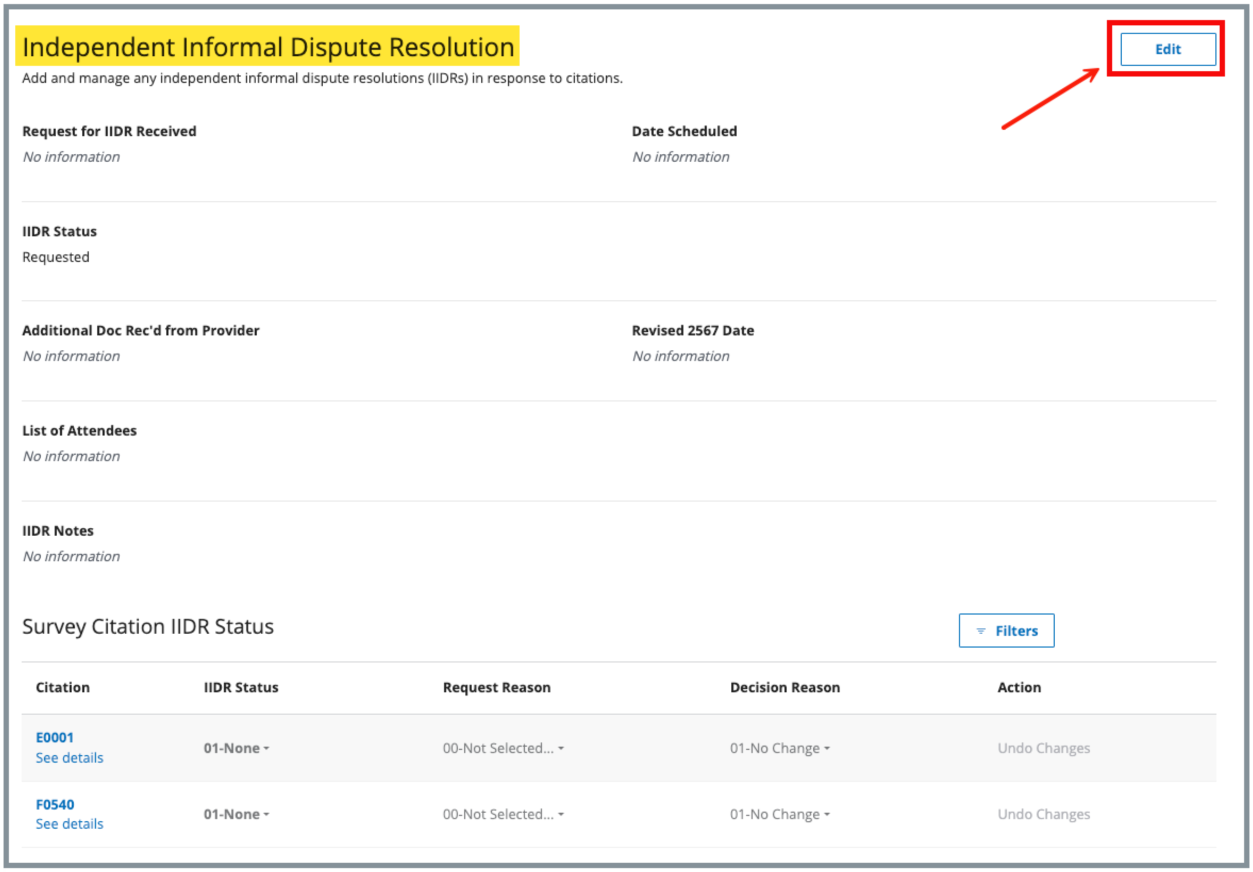


Figure 320: Independent Informal Dispute Resolution

31.2 Click **Edit** to update the information. The fields become editable. See *Figure 321, Independent Informal Dispute Resolution Editable Fields.*

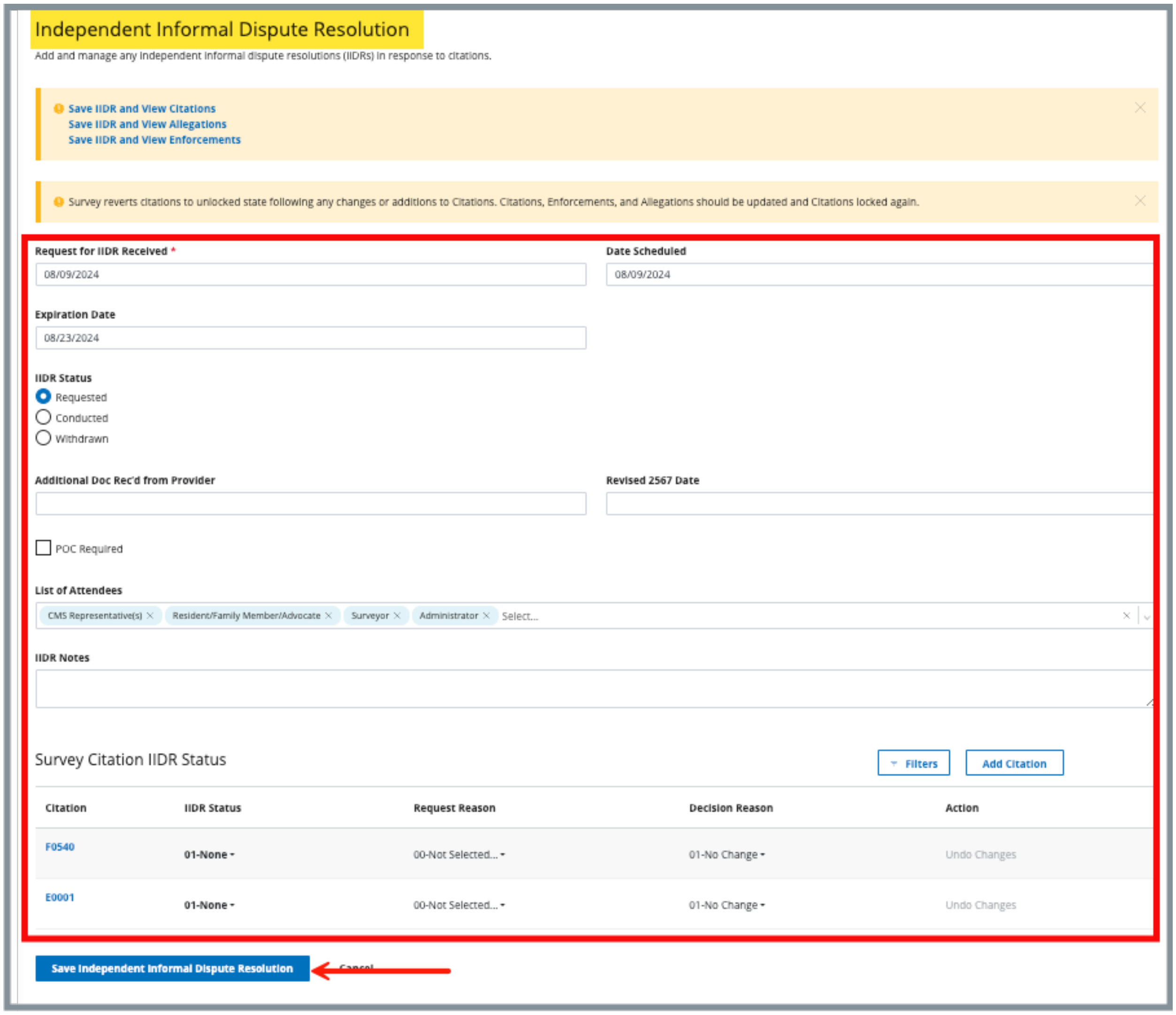


Figure 321: Independent Informal Dispute Resolution Editable Fields

31.3 Update the information.

Note: Click **Filters** to view IDR citation statuses by **None, IIDR Request, No Change**, **Citation Added** and **Citation Changed**. See *Figure 322, IIDR Citation Filter.*

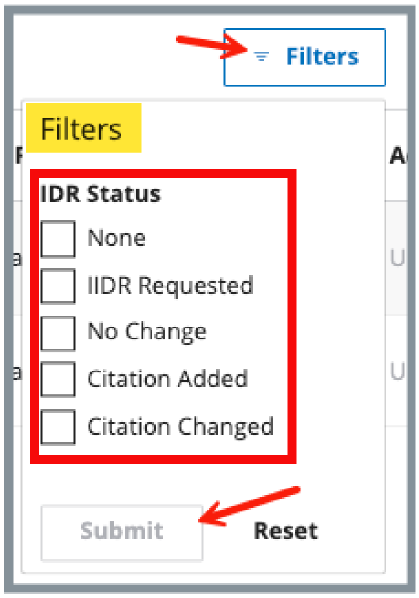


Figure 322: IIDR Citation Filter

31.4 Click **Save Independent Informal Dispute Resolution**. The **Independent Informal Dispute Resolution page** updates.

32. 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.

32.1 Plan of Correction

Note: Citations must be added and locked before a plan of correction can be added.

32.1.1 Click **Plan of Correction** on the left menu. The **Plan of Correction** screen opens. See *Figure 323, Plan of Correction*.

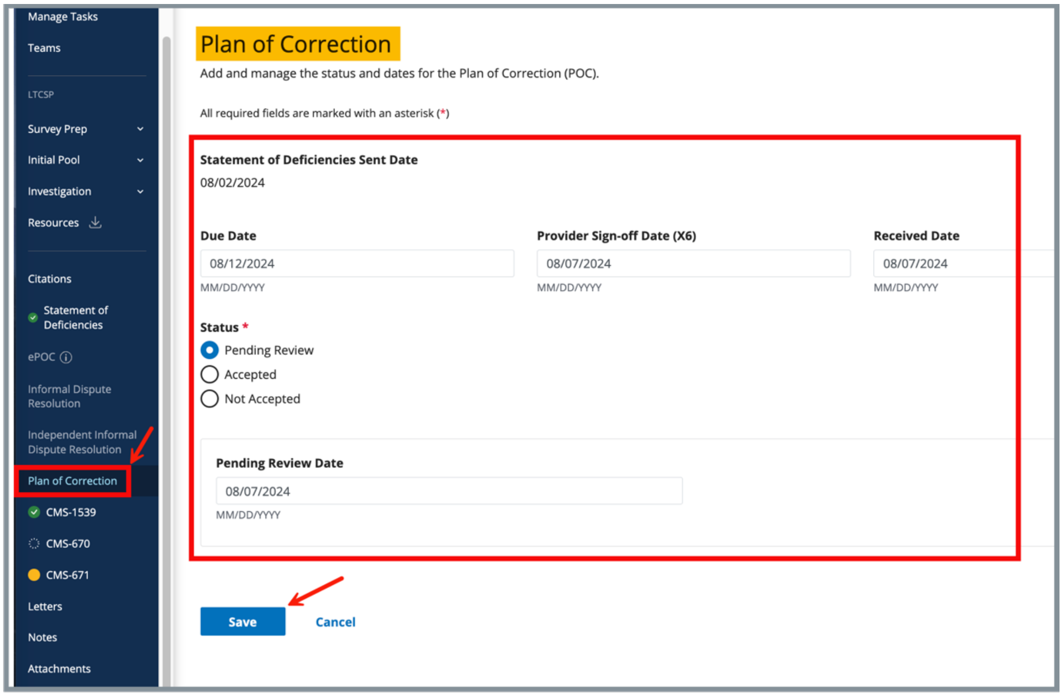


Figure 323: Plan of Correction

32.1.2 Fill out the information.

Notes:

- The **Provider Sign-off Date (X6)** and the **Received Date** are not required when the status is **Not Accepted**.
- The **Complete Date** can be any date. It is editable at any point.
- The **Corrected Date** can be any date prior to or equal to the **Exit Date** of the survey.

32.1.3 Click **Save**. The **Plan of Correction** page updates.

32.2 Waivers (Tag Level)

Notes:

- For detailed information on Waivers, review the Waivers Job Aid.
- 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.
- A **Complete Date** is not required (field is disabled) when the citation has a Continuing Waiver.
- A **Complete Date** is required when the Citation has a **Temporary Waiver.**

32.2.1 Click **Edit All Actions** on the **Plan of Correction** page under **Corrective Actions** to update waiver details. See *Figure 324, Edit All Actions.* The editable waivers open.

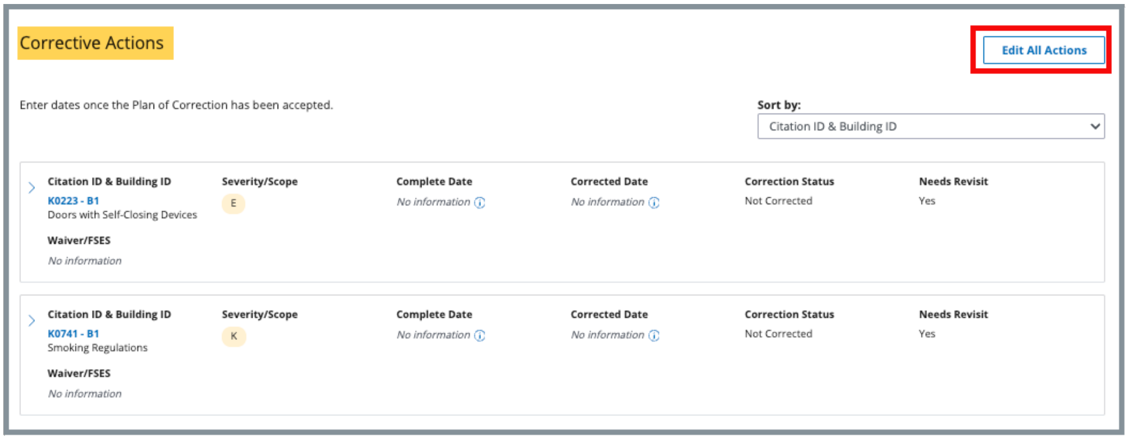


Figure 324: Edit All Actions

32.2.2 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 325, Citation ID & Building ID.*

Note: The waiver option is disabled when a citation is IJ or when the regulation letter is set to **E**. A citation is automatically designated as IJ when **J**, **K**, or **L** is selected.

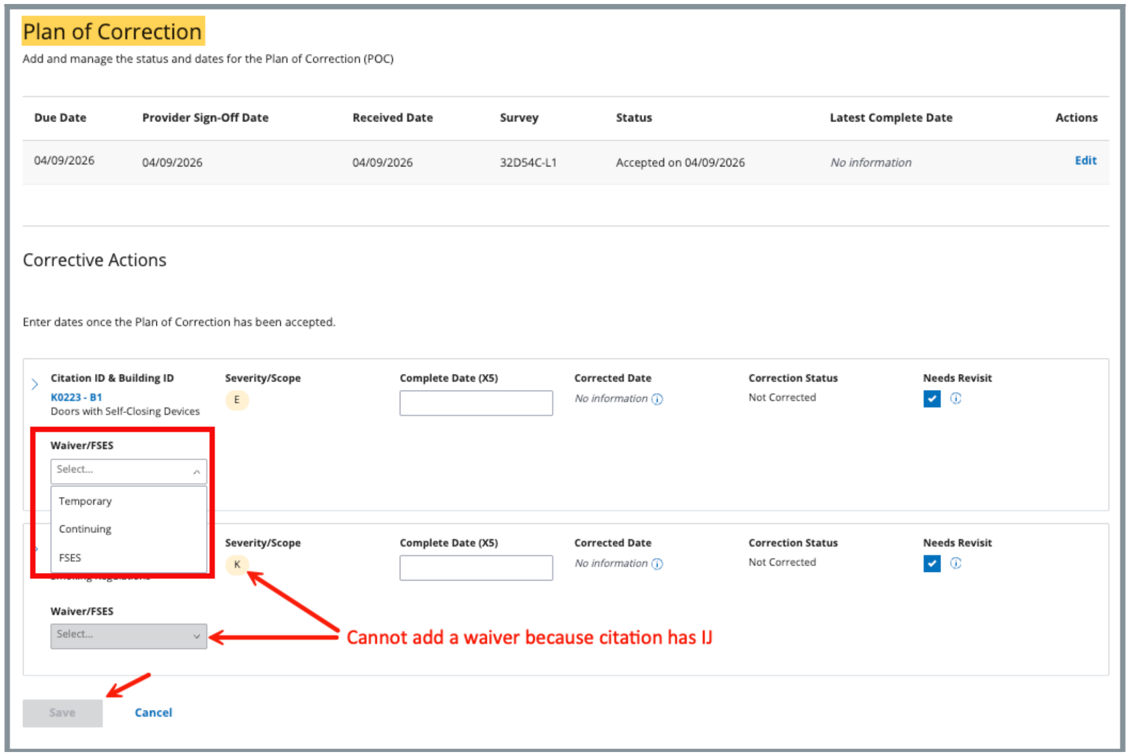


Figure 325: Citation ID & Building ID

32.2.3 Click the drop-down menu under **Waiver (Waiver/FSES** for waivers with an **FSES** tag) to change the waiver status.

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

32.2.4 Select **Temporary**, **Continuing**, or **FSES** (only when FSES is present). Each status opens additional fields below. See *Figure 326, Temporary Status.*

Notes:

- **FSES** and **Temporary** statuses can be combined.
- There are two tabs to select when **FSES** and **Temporary** statuses are combined.

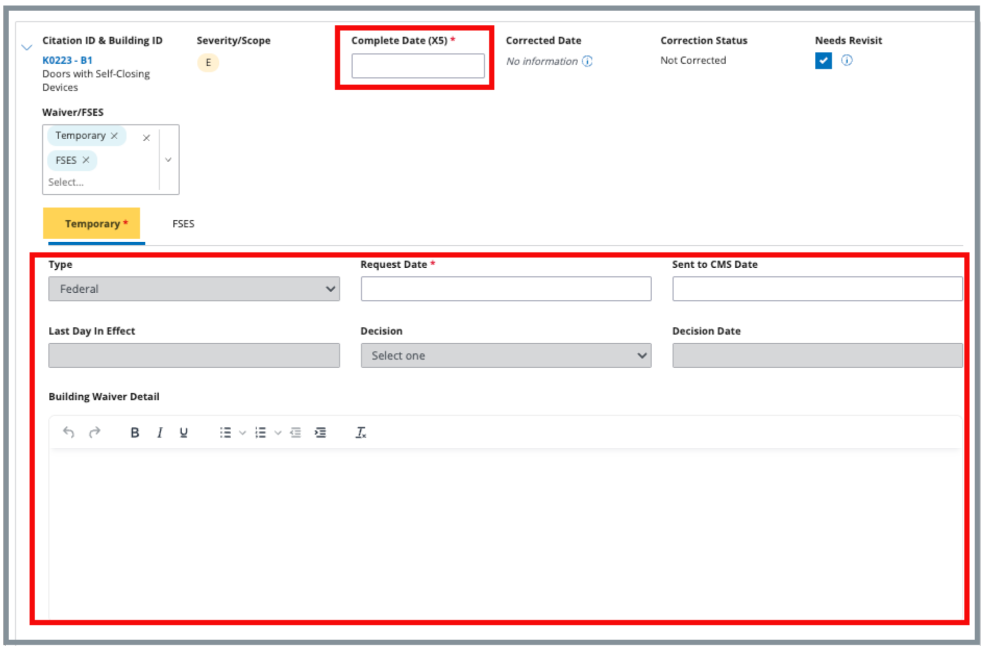


Figure 326: Temporary Status

32.2.5 Fill out information.

Note: Fields may vary or be disabled depending on the status chosen.

32.2.6 Click **Save**.

Note: A revisit survey can now be made for the LSC survey.

33. CMS-670

Purpose: To demonstrate how to add or manage time team members spent on the survey.

Notes:

- Only surveyors can enter CMS-670 information.
- QA team members can act on behalf of surveyors and have the same privileges as a team member does.
- CMS-670 can only be accessed from the survey record..

33.1 Add CMS-670 Time

33.1.1 Go to the survey record. For more information on searching for and accessing a survey, refer to the S&C User Manual, Manage a Survey, on QTSO.

33.1.2 Click **CMS-670** on the left menu of the survey record to go to Time Entries. See *Figure 327, CMS-670*.

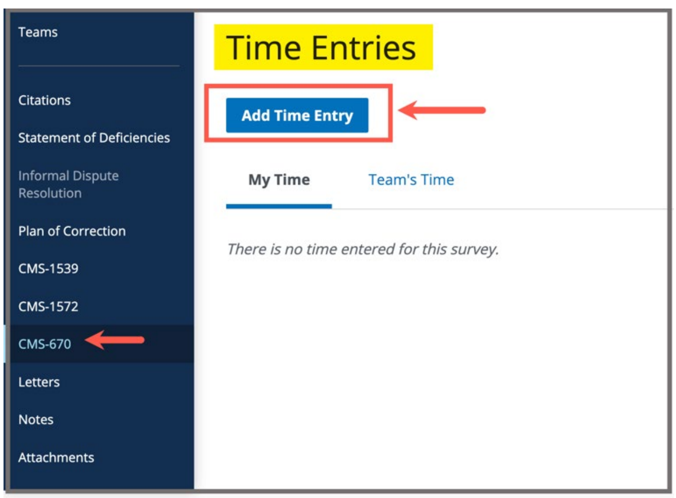


Figure 327: CMS-670

33.1.3 Click **Add Time Entry** to add time. The **Add Time Entry** window opens. See *Figure 328, Add Time Entry*.

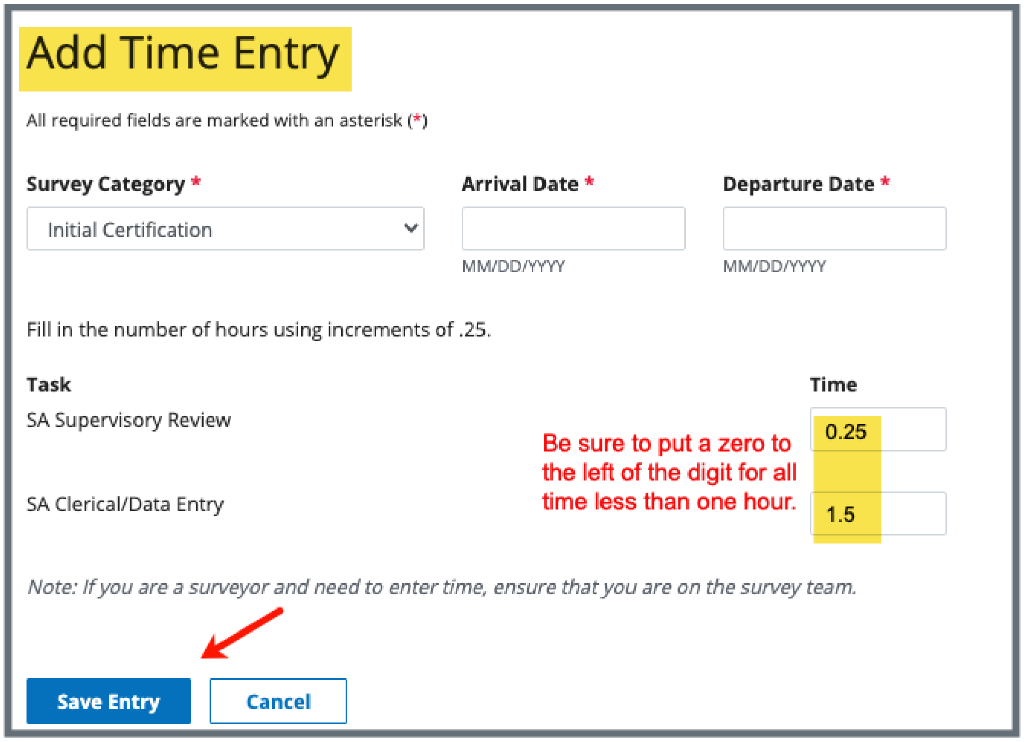


Figure 328: Add Time Entry

33.1.4 Fill out the information.

Notes:

- Fill out time in increments of .25. Time less than one (1) hour must have a zero to the left of the decimal point. For example, 30 minutes is written as **0.5**. Fifteen minutes is written as **0.25**.
- CMS-670 time entries cannot exceed the number of hours available in a day (for example, 8 AM to 6 PM)

33.1.5 Click **Save Entry**. Detailed combined time information is shown.

Note: The surveyor can view **My Time** or **Team's Time** on the **Time Entries** page.

33.1.6 Click **Edit** to edit information, if desired.

33.2 Edit or Delete CMS-670 Time

Notes:

- Hours can only be deleted by the surveyor who entered the time or the QA team member.
- If the QA team member or the surveyor is unavailable, any staff may be assigned as QA staff and edit or delete the time entry. Review the Manage a Provider User Manual for further information on how to add a QA team member.

33.2.1 Go to the survey record.

33.2.2 Click **CMS-670** on the left menu of the survey record to go to Time Entries.

33.2.3 Select the **Team's Time** tab to edit or delete time. See *Figure 329, Team's Time*.

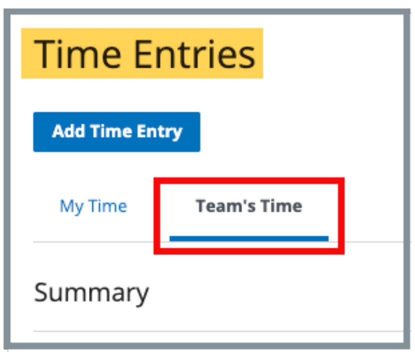


Figure 329: Team's Time

33.2.4 Click **Edit** next to the surveyor whose time needs to be edited or deleted. See *Figure 330, Edit or Delete Surveyor's Time.* The **Edit Time Entry** page opens.

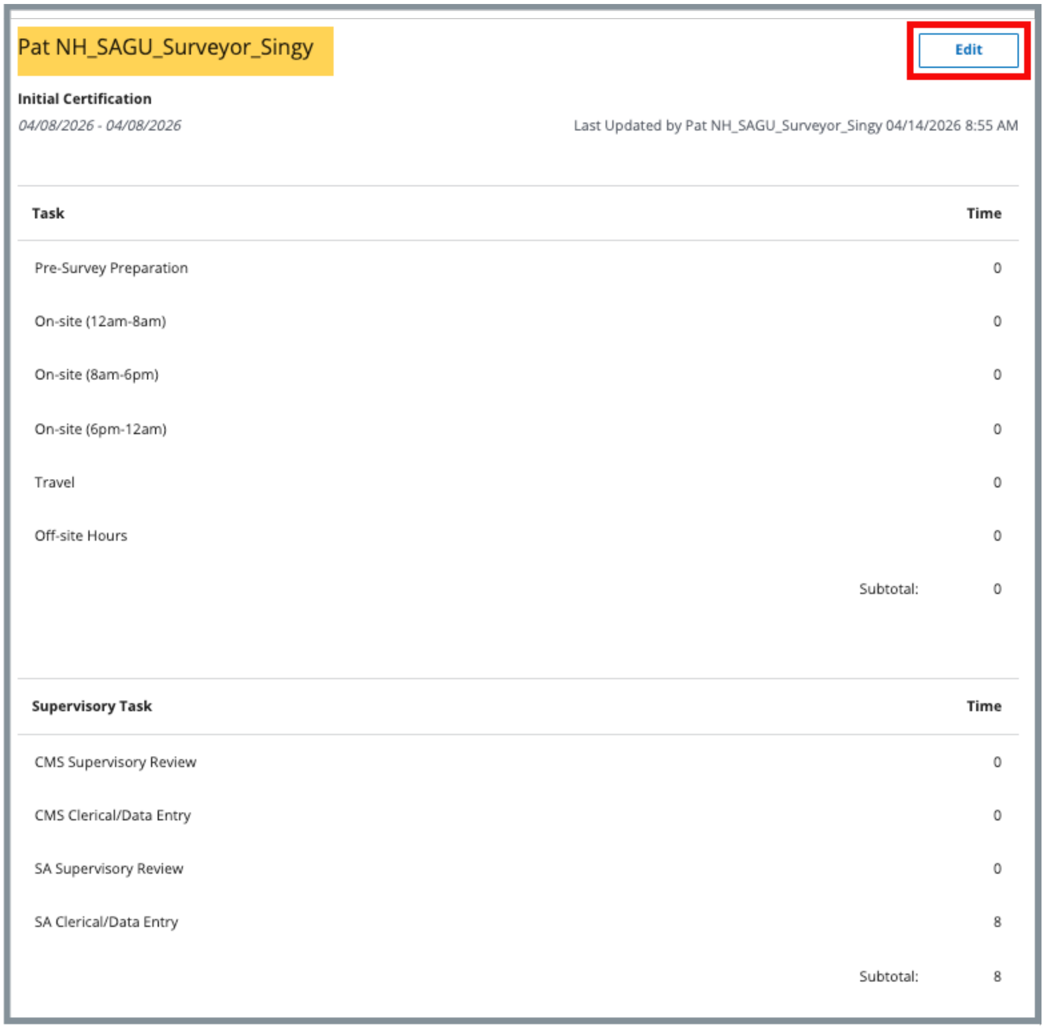


Figure 330: Edit or Delete Surveyor's Time

33.2.5 Update **Arrival/Departure Date** or **Time**. See *Figure 331, Edit Time Entry*.

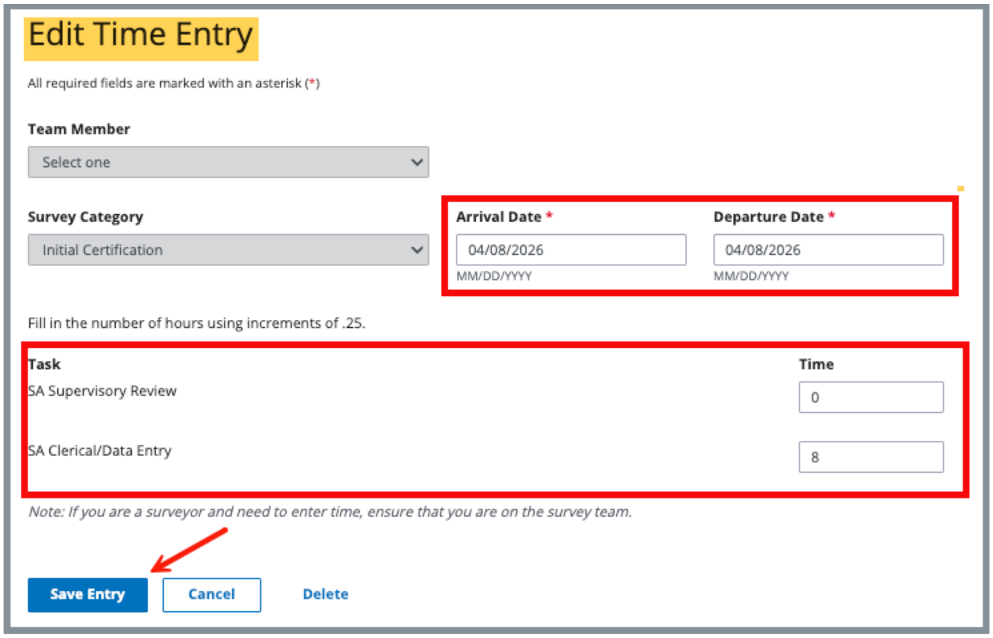


Figure 331: Edit Time Entry

33.2.6 Click **Save Entry**.

Notes:

- Repeat steps for as many time or date entries as needed.
- All time must be removed from the CMS-670 before a survey can be deleted.
- Hours can be added or deleted by the surveyor who entered the time or the QA team member. If the QA team member or the surveyor is unavailable, any staff may be assigned as QA staff and edit or delete the time entry. Refer to the Manage a Survey User Manual on QTSO for more information on assigning a new QA team member.

34. Letters, Notes, Attachments

Note: **Letters, Notes,** and **Attachments** information can be found in the S&C User Manual: **Letters, Notes, and Attachments** on QTSO.

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 332, Survey Status*.

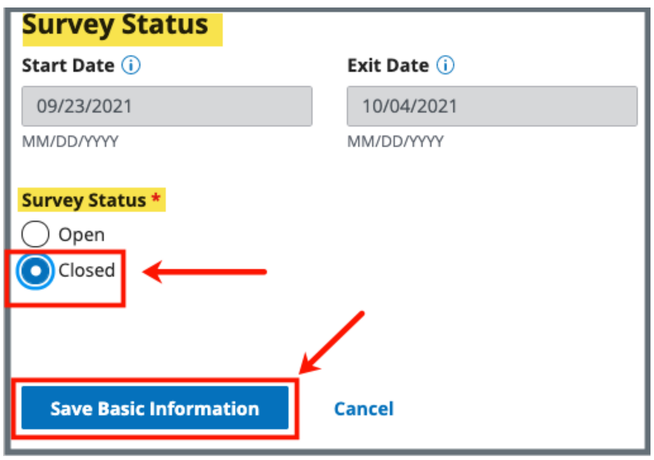


Figure 332: Survey Status

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**.