

QIS Checklist

QIS Checklist

TASK 1: OFFSITE SURVEY PREPARATION

Team Coordinator


1. Complete offsite preparation for the survey according to the instructions in CMS-20044, Offsite Survey Preparation Worksheet.


Survey Team

2. Create a facility folder on the flash drive to store QIS DCT data files.

Create a folder to store QIS DCT data files on the flash drive:


- A) Insert the flash drive into your laptop PC's Universal Serial Bus (USB) port. A Windows Explorer window containing the flash drive contents should appear after the tablet recognizes the flash drive.

(If the drive contents window does not appear, select the **start** button () on your desktop taskbar and go to **My Computer**. Locate the flash drive on the screen and double-click the listing to display its contents.)

- B) Right-click in the blank space, point to **New**, and select **Folder**. A new folder is displayed with the default name, **New Folder** () , selected.

Note: If you inadvertently leave the field and the folder name remains “New Folder”, right-click the folder, select **Rename**, and complete instructions in Step C).

Note: When naming folders, follow your State’s naming convention.

- C) Type the folder name to include the ASPEN event ID, facility name, exit date of survey, and surveyor ID; then press **Enter** () .

Example:  TU0J11 Goodcare 04252005 12345

Example:

- If you are not serving as the team coordinator for this survey, skip to Step 3.
- If you are serving as the team coordinator, continue to Step D) (create additional folders on the flash drive):

- D) Double-click the facility folder just created in Step C) to open it.

- E) Right click in the blank space, point to **New**, and select **Folder**. A new folder displays with the default name, **New Folder**, selected.

- F) Type **TC Data** and then press the **Enter** key () .

Example:  TC Data

Example:

- G) Create another folder (repeat Step E), type **2567** and then press the **Enter** key () .

Example:  2567

Example:






- H) Create another folder (repeat Step E), type the **Event ID**, the **Facility Name**, the **Exit Date**, “**Team Worksheets**” and then press the **Enter** key () .

Example:  TU0J11 Goodcare 04252005 Team Worksheets



Example:

The team coordinator’s flash drive should now contain a facility folder and three subfolders named **2567**, **TC Data**, and a **Team Worksheets** folder:

Example:

  TU0J11 Goodcare 04252005 12345
 2567
 TC Data
 TU0J11 Goodcare 04252005 Team Worksheets

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3. Create a folder in **My Documents** on your tablet PC to store your electronic worksheets:
- Open **My Documents** from the desktop icon on the tablet PC or from the start menu on the taskbar.
 - Right-click in the blank space, point to **New**, and select **Folder**. A new folder is displayed with the default name, **New Folder** (), selected.
 - Type the folder name to include the ASPEN event ID, facility name, exit date of the survey, **Worksheets**, and surveyor ID; then press **Enter** ().

Example:








4. Obtain the survey shell (including resident assessment information) from ACO, according to your State's procedures, and save it to the flash drive. The survey shell must be saved to the facility folder on the surveyor's flash drive.



Note: The person creating the survey shell must be a member of the QIS Security Group in ACO to include the required resident information in the survey. The survey shell from ACO must be saved to the facility folder on a flash drive and used in Step 5. Do not export the survey from ASE and give it to the team. The team must use the same survey shell as the team coordinator. If the team coordinator exports the survey information from ASE, resident information will not be included and the survey team will not have access to MDS Data on the secondary laptops.

5. Import the survey shell from the flash drive into ASPEN Survey Explorer (ASE) on the primary and secondary laptops. Ensure that the survey shell imported into ASE correctly by verifying the existence of resident MDS information.
- Open ASE by double-clicking the desktop icon ().
 - Double-click your surveyor name in the list to log in.
 - On the ASE menu bar, select **Import** ().
 - In the **Import From** section, select **Zip file**.
 - Select the binocular icon ().
 - Use the **Look in** drop list () to navigate to the flash drive.
 - Double-click the facility directory containing the survey shell zip file saved from ACO.
 - Select **Open** or double-click the survey shell zip file, and select **OK** on the **Import** window after confirming that you have selected the correct zip file.
 - On the **Select Survey(s) to Import** window, select the relevant survey (if more than one survey was extracted), and select **OK**.
 - Select **OK** at the **Transfer Info** message and **OK** again when the import information message displays that the file was successfully transferred.
 - Expand the facility listing (preceded by an NH symbol ) , the survey event (preceded by a red cross ) , and the residents listing (preceded by a wheelchair ).
 - Expand any of the alpha sections and confirm that residents are listed.

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Primary Laptop

6. Open QIS DCT and process the MDS data.
- A) Logon:
- i) From ASE, expand the listing to display the facility (preceded by an NH symbol ) , right-click the survey event (preceded by a red cross ) and select **Citation Manager** from the menu list.
 - ii) From the Citation Manager, select the **QIS Tool** button ().
 - iii) On the **Logon Screen**, select **Primary** as the Laptop Type, and select the **Select** button (). QIS DCT will draw the initial Stage I Sample.
- B) Process the MDS Data:
- i) On the **Process MDS Data** screen, select the **Process MDS Data Now** button ().
 - ii) Select **Yes** to the Lengthy Processing Time Required message. When the processing is complete, the Stage I – Sample screen will appear.

7. Print the following 3 forms needed upon entrance to the facility:
- New Admission Information form (to provide the facility upon arrival).
 - A) On the menu bar, select **Reports, New Admit Form**.
 - B) On the Reports screen, **Print** () , and select **OK**.
 - C) Close the report by selecting the **Close** button () on the report toolbar.
 - CMS-20045 Entrance Conference Worksheet (Facility Copy).
 - CMS-20046 Entrance Conference Worksheet (Team Copy).

TASK 2: ONSITE PREPARATION AND ENTRANCE CONFERENCE

Upon Entrance

Team Coordinator

8. Immediately upon entrance to the facility:
- Request that the person in charge be notified of the team's entrance.
 - Introduce the survey team.
 - Request an alphabetical resident list with room numbers/units (with facility note of residents who are not in the facility, such as, in the hospital, home visit, etc.)
Sample reconciliation cannot start without this list. Ask that it be printed and taken right away to the surveyor assigned to reconcile the sample in the designated work area.
 - Provide the New Admission Information form (MUST INCLUDE BIRTHDATES).
Sample reconciliation cannot start without this list. Ask that it be completed and taken right away to the surveyor assigned to reconcile the sample.
 - Request a workspace with electrical connections.
 - Provide signs announcing the survey.
 - Request a copy of the facility's floor plan.
 - Request a copy of the staffing schedules for licensed and registered nursing staff for the duration of the survey.
 - Provide the facility a copy of CMS-20045, Entrance Conference Worksheet.

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Entrance Conference	Onsite Preparation
Team Coordinator	Surveyor Assigned to Reconcile Sample
<input type="checkbox"/> 9. After provision of the facility's alphabetical resident list and New Admission Information form has been arranged, conduct the Entrance Conference with the administrator or designee. Use CMS-20046, the team copy of the Entrance Conference Worksheet, to guide discussion.	<input type="checkbox"/> 10. While the team coordinator conducts the Entrance Conference and the remainder of the survey team conducts an initial brief tour of the facility, the assigned surveyor (in the designated workspace): <ul style="list-style-type: none">• Sets up the tablet PC designated as the primary laptop; and• Begins the sample reconciliation (beginning at Step 13) on the tablet PC designated as the primary laptop as soon as the facility provides the resident list.
TASK 3: INITIAL TOUR	
Surveyors Assigned to Tour	
<input type="checkbox"/> 11. Conduct an initial brief tour of the facility as soon as possible after entry. <ul style="list-style-type: none">• Surveyors should introduce themselves to staff, residents, and family. Do not write down names and room numbers unless noting a concern.• Conduct the initial brief Kitchen/Food Service observation.• Document concerns regarding the general environment. <input type="checkbox"/> 12. Additional activities that could begin during onsite preparation. <ul style="list-style-type: none">• Meet with the Resident Council president/representative to announce the survey, request permission to review minutes, and set a time/place for the interview.• Dining Observation task if able to observe a meal from start to finish.• Medication Administration Observation task.	

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TASK 4: STAGE I SURVEY TASKS

Reconcile the Stage I Samples

Primary Laptop

13. Cross off on the New Admission Information form residents who are already in the Resident Pool.





- A) On the menu bar, select **View Screen, Stage I – Sample, Resident Pool** list.
- B) On the New Admission Information form, cross off any residents already listed in the Resident Pool of QIS DCT (it may be that MDS Data for newly admitted residents has already been transmitted and included in QIS DCT).
- C) Renumber the remaining residents on the list.

14. Update the residency status for residents in the QIS DCT Resident Pool using the facility's alphabetical resident list.

Note: The residency status in the Resident Pool must be updated to match the facility's resident list because:

1. Census Sample residents must currently reside in the facility, and
2. Stage II Sample selection prioritizes for in-depth investigation residents who are currently residing in the facility over discharged residents.

Note: Do not add a resident on the alphabetical resident list to the Resident Pool unless you intend to initiate him/her for a Stage II investigation.

- A) On the menu bar, select **View Screen, Stage I – Sample**.
- B) Display **Resident Pool**. The color of the residency status icon to the left of each resident name indicates whether the resident is considered to be residing in the facility (green icon ) or discharged (blue icon ). (A yellow icon  indicates residents who are in the facility and in both the Admission and the Census Sample).
- C) Select the resident to update, and select the **Discharge/Readmit Resident** button ().

To discharge a resident who is in the Census Sample:

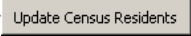
- i) Select OK for the series of messages warning you that the resident is in the Census Sample, requesting confirmation of the discharge, and indicating that the Census Sample has dropped below the required size.
 - The first time you discharge a Census Sample resident, the QIS DCT will prompt you to enter the number of new admits from the New Admission Information Form. Enter the number of admits and close the form.
 - For subsequent discharges of Census Sample residents, the QIS DCT will randomly select and display the line number for a resident listed on the New Admission Information form.
- i i) Enter the information for the New Admission Information form resident listed on the line number randomly selected and displayed by the QIS DCT and close the form.

Note: If there are more discharged Census Sample residents than newly admitted residents, the QIS DCT will ask you to confirm availability of a randomly selected resident from the Resident Pool who is marked as residing in the facility. Confirm that the resident is on the alphabetical resident list provided by the facility. Select **Yes** if the resident is available. Select **No** if the resident is not available; the QIS DCT will ask you to confirm availability of another randomly selected resident in the Resident Pool.

To discharge a resident who is not in the Census Sample:

- i) When QIS DCT prompts you to confirm the discharge or readmission, select **Yes**, and confirm that the residency status icon to the left of the resident name has changed to reflect the appropriate status.
- D) Repeat Step C) until all residents' status matches the facility's resident list.

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15. Enter Unit (if applicable) and Room Number for each Census Sample resident on the facility's resident list.
- A) Select the **Update Census Residents** button () on the **Stage I – Sample** screen.
 - B) Enter Unit/Room Numbers for all Census residents.
 - C) Select **Close** to exit the form.

16. The team coordinator assists the surveyor in assigning Census Sample residents.

Note: The Update Census Residents window is sorted by Unit (it defaults to sort by Room Number, if no Units are entered) to facilitate equal distribution of the workload/sample by location of the residents.

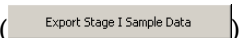


- A) On the **Update Census Residents** window sort the list by **Unit**
- B) Assign surveyors to each resident until surveyors are assigned an equal number of residents (typically 10 each).

Note: To quickly fill the field with the assigned surveyor name, enter the first letter (or more as necessary) of the last name of the surveyor and press the down arrow (↓) on the keyboard.

- C) Select **Close** to exit the form.

Primary Laptop

Secondary Laptops

17. Export the **Stage I Sample** to the facility folder on the flash drive after connecting to the flash drive.
- A) On the menu bar, select **Utilities, Export Data**.
 - B) On the Export Data screen, select the **Export Stage I Sample Data** button ().
 - C) Select the flash drive, select the facility folder, and select **OK**.
 - D) Select **OK** at the **Sample Data Exported Successfully** message.
 - E) Select **Close** on the Export Data screen. Give the flash drive to team members and complete Steps 19 and 20 while the team imports the Stage I Sample at the secondary laptops (Step 18).
18. Import the **Stage I Sample** from the facility folder after connecting to the team coordinator's flash drive.
- A) On the menu bar, select **Utilities, Import Data**.
 - B) On the Import Data screen, select the **Import Stage I Sample** button ().
 - C) Select the flash drive, select the facility folder, select [EVENTID]_sampdata1.zip, and select **Open**.
 - D) Select **OK** at the **Sample Data Successfully Imported** message.
 - E) Select **Close** on the Import Data screen.
 - F) On the menu bar, select **View Screen, Stage I – Data Entry**.
 - G) Select the plus sign ( **Census**) next to the Census listing to ensure that residents are listed.


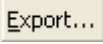


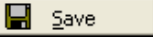
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Primary Laptop

19. The surveyor prints four (4) copies of the Census Sample report.

Note: After importing the Stage I Sample in QIS DCT (Step 18), surveyors at secondary laptops can view the Census Sample report, which contains the names of the sampled residents, unit/room numbers, and surveyor assignments.


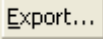

A) On the menu bar, select **Reports, Census Sample**.

- To print the report: On the Reports screen, select **Print** () , change the number of copies to 4, and select **OK**.
- To save the report as a Word document in Rich Text Format (.RTF):
 - i) On the Reports screen, select **Export** () .
 - ii) Use the **Files of type** drop list () to change the type to **Rich Text Format (*.rtf)**.
 - iii) Use the **Save in** drop list () to navigate to the facility folder on the flash drive.
 - iv) Select **Save** () .

B) Close the report by selecting the **Close** button () on the report toolbar.

20. Print two (2) copies of the Admission Sample report.

A) On the menu bar, select **Reports, Admission Sample**.

- To print the report: On the Reports screen, select **Print** () , change the number of copies to 2, and select **OK**.
- To save the report as a Word document in Rich Text Format (.RTF):
 - i) On the Reports screen, select **Export** () .
 - ii) Use the **Files of type** drop list () to change the type to **Rich Text Format (*.rtf)**.
 - iii) Use the **Save in** drop list () to navigate to the facility folder on the flash drive.
 - iv) Select **Save** () .

B) Close the report by selecting the **Close** button () on the report toolbar.

- Provide one copy of the Admission Sample report to the facility for retrieval and provision of closed clinical records (residents listed as Discharged) to the team within one hour.
- On the other copy of the Admission Sample report, write in the room number of residents who have no Census Surveyor ID next to their name and who are not listed as Discharged. Assign these residents to surveyors based on location of Census Sample assignments and convey the information to the surveyors. Leave this copy near the records once the facility provides them so that survey team members can initial/mark completed Admission Sample reviews.

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Initial Stage I Team Meeting

21. Hold the initial team meeting after completing the tour, the entrance conference, and assignments. Briefly discuss information gathered during the tour and entrance conference:
- Information about staff-resident interactions;
 - Availability of staff and staffing characteristics/patterns;
 - Activities in which residents were engaged;
 - Characteristics of the population;
 - Meal times, scheduled activities, medication pass times; and
 - Any observed situations of concern.

Note: Determine whether there are any egregious situations (i.e., Immediate Jeopardy) that need to be brought to the facility's attention. Anytime a surveyor suspects Immediate Jeopardy, he/she should alert the team and refer to Appendix Q procedures. The team coordinator should initiate the resident and Care Area of concern according to instructions in Step 42.

22. Compare the observed staff with the staffing schedule provided by the facility. If discrepancies exist between the duty roster and the staff observed onsite, ask the person in charge to explain the discrepancies. (Use this information in conjunction with information about the DON hours to help determine whether the facility is compliant with the requirements for licensed and registered nursing staff at 42 CFR 483.30(a)(2), F353, and 42 CFR 483.30(b)(1), F354.)
23. The team coordinator assigns dining observations based on the number and location of dining areas and for any residents who eat in their rooms.
24. The team coordinator communicates to the survey team a target day and time for completion of Stage I.



Stage I Review

Survey Team

25. Complete the Census Sample review (Observation, Interviews, and Clinical Record Review), and data enter findings at regular intervals to increase accuracy and avoid prolonged data entry at the end of Stage I.

Note: Because a question's applicability/availability may depend on the answer to a prior question, it is essential to answer the questions in the Stage I Admission and Stage I Census reviews in the sequence in which they appear. Failing to answer questions in the sequence in which they appear may cause delays in the review and potential conflicts in the software.

Note: When a Family Interview is not conducted for a resident, the surveyor must select the first question in the Family Interview section "Was a family interview conducted for this resident?" and mark it as "No".

- A) On the menu bar, select **View Screen, Stage I Data Entry**.
- B) On the Stage I – Data Entry screen, expand the Census listing and further expand the resident listing.
- C) Expand the review section (Resident Interview, Resident Observation, Staff Interview, Medical Record, or Family Interview) and the first item listed.
- D) Select the first question, and select the appropriate response in the Response pane.
- E) Select the **Relevant Findings** button () to add very short concise notes about observed problems or areas of concern and the sources of the findings. (The Relevant Findings screen lists "Date and Time" as a reminder to enter these facts for entered findings. Highlight the text to write over it.)
- F) Navigate to the next applicable question by selecting the navigation buttons () at the bottom right of the Response pane.

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Note: For a resident marked “Not Interviewable” who is subsequently ascertained as “Interviewable”: if you have completed the Activities observation, clear the Activities response before changing the resident’s interview status to “Interviewable”. If the response is not cleared, the surveyor’s observation of activities will be included in QCI calculations as will the resident’s activities interview response.

Note: Relevant Findings facilitate team discussion of potential problems and assist in Stage II analysis, decision-making, and deficiency writing. If the resident is included in the Stage II Sample and assigned to a different surveyor in Stage II, the Stage II surveyor can quickly target the details of the problem.

- 26.** Complete the Admission Sample Review (Clinical Record Review). This review is completed in QIS DCT – no paper forms.
- A) On the menu bar, select **View Screen, Stage I Data Entry**.
 - B) On the Stage I – Data Entry screen, expand the Admission listing and further expand the resident listing.
 - C) Expand the Medical Record listing and the first item listed, **Exclusions**.
 - D) Select the first question, select the appropriate response in the Response pane, and navigate to the next applicable question by selecting the navigation buttons (◀ ▶) at the bottom right of the Response pane.

Stage I Team Meeting at the End of the First Day

- 27.** At the end of the first day, hold a brief meeting to accomplish the following:
- Determine the workload remaining in Stage I.
 - Discuss team progress.
 - Determine whether any assignment adjustments are necessary.

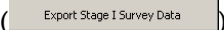
To make Stage I assignment adjustments in the QIS DCT:

- A) Determine whether any Stage I information has been entered for the resident:
 - If no Stage I data has been completed for the resident being reassigned, proceed to Step B).
 - If any Stage I data has been completed for the resident being reassigned:
 - i) Use the computer instructions in Step 31 to export the Stage I data from the secondary laptop containing the data entered; AND
 - ii) Use the instructions in Step 32 (skip Step F) to import the Stage I data to the primary laptop.
- B) At the primary laptop, on the QIS DCT menu bar, select **View Screen, Stage I Sample**.
- C) On the Stage I Sample screen, select the **Update Census Residents** button (Update Census Residents).
- D) Locate the resident in the list and in the **Assigned Surveyor** column select the newly assigned surveyor.
- E) Select **Close** to exit the form.
- F) Export the revised Stage I Sample to each secondary laptop as described in Steps 17 and 18.
- Determine whether any Census Sample resident has been discharged and needs to be replaced in the Stage I Sample.

To discharge and replace a Census Sample resident:

- A) Complete the instructions in Step 14C.
- B) Complete Steps 15 and 16 for the replacement Census Sample resident.
- C) Export the revised Stage I Sample to each secondary laptop as described in Steps 17 and 18.
- Discuss pertinent findings for both resident- and facility-level tasks.
- Determine how many family interviews have been completed, who has been interviewed, and who might be available for interview. Schedule family interviews for completion prior to the end of the Stage I.

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28. Each surveyor makes a daily backup copy of his/her QIS DCT Stage I Survey Data and electronic worksheets. The backups are saved to the surveyor's flash drive (one per surveyor).
- A) On the menu bar, select **Utilities, Export Data**.
 - B) On the Export Data screen, select the **Export Stage I Survey Data** button ().
 - C) Select the flash drive, the facility folder (if you are the team coordinator, select the **TC Data** subfolder within the facility folder), and select **OK**.
 - D) Select **OK** at the **Data was Successfully Exported** message.
 - E) Select **Close** to close the Export Data screen.
 - F) Go to **My Documents**
 - G) Right-click the facility folder.
 - H) Select **Send to** and select the **flash drive**.
 - I) Each day when you back up your work sheets on the flash drive, you will get a message asking if you would like to replace the existing files -select **Yes to all**.

TASK 5: FACILITY-LEVEL SURVEY TASKS

Note: Facility-level tasks can be data entered only in Stage II on the Stage II - Critical Elements screen after the team coordinator has assigned tasks to surveyors and surveyors have imported the Stage II Sample. Use the electronic worksheets to enter facility-level task findings.

29. Mandatory non-staged facility-level tasks to complete throughout the survey:
- Demand Billing Review
 - Dining Observation*
 - Infection Control & Immunizations*
 - Kitchen/Food Service Observation
 - Medication Administration Observation/Drug Storage: surveyor-initiated (a minimum of 10 residents observed for a combined total of at least 50 medications) by assigned surveyor(s) at their secondary laptops during Stage II (see Step 42 for instructions on initiating care areas and residents).
 - Quality Assessment and Assurance Review
 - Resident Council President/Representative Interview

*Although assigned to one surveyor for coordination of completion, Dining and Infection Control can be initiated at any secondary laptop during Stage II (see the last section of Step 49 for instructions on initiating Dining or Infection Control). A surveyor who initiates these tasks answers only critical element questions pertaining to his/her specific findings/observations; the surveyor assigned the task must answer all the questions on his/her laptop in relation to his/her own findings. The findings will be merged at the primary laptop with any negative results representing whether each regulation is met.

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30. Facility-level tasks to complete only in Stage II if triggered by offsite information (e.g., complaints) or by Stage I interviews, observations, or record review:
- Abuse Prohibition Review

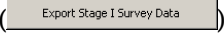
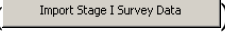
Note: Abuse Prohibition Review must be initiated in Stage II at the primary laptop if the resident-level Care Area, Abuse, is surveyor-initiated.
 - Admission, Transfer, and Discharge Review
 - Environmental Observations

Note: Environmental Observations should be initiated in Stage II at the primary laptop if there are random observations of concern, or information is provided to the team outside of the prescribed Stage I review. Environmental Observation is assigned to one surveyor responsible for completing data entry for the task. See Step 42 I) for instructions on initiating this task, selecting the "Facility" entry instead of a resident name in Step B) of the instructions. All team members communicate (during team meetings) any findings/observations to the assigned surveyor who completes data entry for the task.
 - Personal Funds Review
 - Sufficient Nursing Staff Review

TASK 6: TRANSITION FROM STAGE I TO STAGE II

All Laptops (including Primary)




Primary Laptop

31. After Stage I information gathering has been completed
- Verify completion (text color of the resident's name should be black) of all Census Sample and any Admission Sample reviews completed on each laptop.
 - Export the **Stage I Survey Data** from each laptop, including the primary laptop.
- Note:** The export from the primary laptop is solely to create a backup of the team coordinator's Stage I Data.
- A) On the menu bar, select **Utilities, Export Data**.
 - B) On the Export Data screen, select the **Export Stage I Survey Data** button ().
 - C) Select the flash drive, the facility folder (if you are the team coordinator, select the **TC Data** subfolder within the facility folder), and select **OK**.
 - D) Select **OK** at the **Data Successfully Exported** message.
 - E) Select **Close** on the Export Data screen.
- Give the flash drive to the team coordinator for import of the Stage I data.
32. Import (merge) the **Stage I Survey Data** from the facility folder on each team member's flash drive.
- Note:** Close the **Stage I – Data Entry** screen before importing the team's data to refresh the screen.
- A) Close the **Stage I – Survey Data** screen.
 - B) On the menu bar, select **Utilities, Import Data**.
 - C) On the Import Data screen, select the **Import Stage I Survey Data** button ().
 - D) Select the flash drive, select the facility folder, select [EVENTID]_survdata.zip, and select **Open**.
 - E) Select **OK** at the **Stage I Data Successfully Imported** message.
 - F) Repeat the import (Steps C–E) for each team member's flash drive.
 - G) Select **Close** on the Import Data screen.
 - H) On the menu bar, select **View Screen, Stage I – Data Entry**.

QIS Checklist

Team Stage I to Stage II Transition Meeting

Primary Laptop

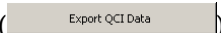
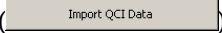
33. Verify the completion of Stage I: confirm that data from all secondary laptops imported correctly and is complete (black text) for both the Admission & Census Sample.
- A) On the **Stage I Data Entry** screen, display residents assigned to **All Surveyors**.
- B) Confirm that the Admission and Census listings display in black text ( Admission  Census).
- If either of the Admission or Census listings display in red text:
 - i) Select the plus sign () next to the red listing to determine which resident's review appears to be incomplete. It may be that the item or section is actually complete but the software is not recognizing it as such. Sometimes selecting the red item causes it to display in black text.
 - ii) If a resident listing remains red, expand the listing and select each red item. Expanding the listing may cause the software to recognize that the response(s) are complete and update the text color to black. If red items do not turn black, continue to expand the listing to confirm that the data is actually present and complete. If the data is present and complete but will not turn black, continue to the next step since you have confirmed that the work is complete.
 - iii) If any data entry is not complete, complete the data entry on the secondary laptop and repeat Steps 31 through 33.
 - If the Admission and Census listings display in black text, proceed to Step 34.

34. Process Stage I survey results on the QCI Results screen.

On the menu bar, select **View Screen, QCI Results**.

Primary Laptop

Secondary Laptops


35. Export the **QCI Results**.
- A) On the menu bar, select **Utilities, Export Data**.
- B) On the Export Data screen, select the **Export QCI Data** button ().
- C) Select the flash drive, select the facility folder, and select **OK**.
- D) Select **OK** at the **QCI Data Exported Successfully** message.
- E) Select **Close** on the Export Data screen.
- Give the flash drive to team members for import of the QCI data at the secondary laptops.
36. Import the **QCI Results** from the facility folder on the team coordinator's flash drive.
- A) On the menu bar, select **Utilities, Import Data**.
- B) On the Import Data screen, select the **Import QCI Data** button ().
- C) Select the flash drive, select the facility folder, select [EVENTID]_qcidata.zip, and select **Open**.
- D) Select **OK** at the **QCI Data Successfully Imported** message.
- E) Select **Close** on the Import Data screen.

QIS Checklist


Primary Laptop

37. Print the QCI Results Report.

A) On the menu bar, select **Reports, QCI Results Report**.


- To print the report: On the Reports screen, select **Print** () , and select **OK**.
- To save the report as a Word document in Rich Text Format (.RTF):

i) On the Reports screen, select **Export** () .

ii) Use the **Files of type** drop list () to change the type to **Rich Text Format (*.rtf)**.

iii) Use the **Save in** drop list () to navigate to the facility folder on the flash drive.

iv) Select **Save** () .

B) Close the report by selecting the **Close** button () on the report toolbar to return to the QCI Results screen.

C) Review the printed report for any conspicuous discrepancies.

Survey Team (Each Surveyor at His/Her Laptop)

38. The primary objective of the transition meeting is to review the combined Stage I preliminary findings that will drive the Stage II investigation. The team coordinator may use the QCI Results Report as the agenda for the team review of the QCI Results. Each surveyor accesses the QCI Results screen on his/her own computer, using Stage I Relevant Findings as necessary. The following agenda items should be covered in the team meeting:

- Identify Care Areas and associated QCIs that exceeded the threshold.
- Discuss which residents met the QCI Criteria within those Care Areas.
- Review resident-specific questions and responses, as necessary. Include brief discussion of team concerns related to QCIs that did not exceed thresholds and/or reasons specific residents were excluded or failed to meet QCI Criteria.
- Make note of Care Areas related to the regulatory groupings **Resident Behavior and Facility Practices, Quality of Life, and Quality of Care**, that may need sample supplementation in Stage II to determine whether substandard quality of care exists.
- Make note of resident(s) and associated Care Area(s) of concern that did not trigger as a result of the prescribed Stage I Review (examples: offsite complaints, resident(s) with potential concerns based on PASRR information review, or concerns resulting from random observation and/or interview, etc.). Determine which of these concerns require initiation into the Stage II Sample for an in-depth investigation.
- Note any Stage I data entry errors. List the surveyor, resident, review area, and question to be corrected.

Note: Make data entry corrections after reviewing all Care Areas with exceeded thresholds (see instructions below in the section “To Correct Data Entry Errors make corrections on the Primary Laptop”).

To Review QCI Results:

A) On the menu bar, select **View Screen, QCI Results**.

B) On the QCI Results screen, select **Care Area List**. The **Care Area List** displays for each Care Area the QCIs that exceeded and did not exceed the threshold.






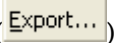


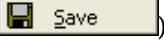

C) Expand items on the list to view **QCIs Exceeded Threshold**. Selecting a resident/QCI will display the Stage I responses in the pane on the right side of the screen.

D) Discuss the QCIs that exceeded the threshold, the facility rate (numerator/denominator) and the residents listed under **QCI Criteria Met**.

QIS Checklist

To Access Stage I Relevant Findings:


Note: Only the primary laptop is able to see all of the surveyors' Stage I Relevant Findings on the QCI Results screen at this point. Users of secondary laptops are only able to see the Relevant Findings they entered. All Relevant Findings can be seen on the Relevant Findings report printed from the primary laptop.

- A) On the menu bar, select **Reports, Stage I Relevant Findings**.
- B) On the Select Residents screen, select **All**, highlight all residents listed in the **Select Residents to Appear on Relevant Findings Report** section, select a **Sort Order**, and select **Preview Report**.
- C) View the report onscreen and/or print it:
 - To view the report onscreen: Toggle between the **Relevant Findings Report** and the **QCI Results screen** using the **minimize** () / **maximize** () buttons in the top right corner of both screens, or by holding down the **Alt** key () and pressing the **Tab** key () on the keyboard.
 - To print the report: On the Reports screen, select **Print** (), enter the number of copies, if more than one, and select **OK**.
 - To save the report as a Word document in Rich Text Format (.RTF):
 - i) On the Reports screen, select **Export** ().
 - ii) Use the **Files of type** drop list () to change the type to **Rich Text Format (*.rtf)**.
 - iii) Use the **Save in** drop list () to navigate to the facility folder on the flash drive.
 - iv) Select **Save** ().
- D) Close the report by selecting the **Close** button () on the report toolbar.
- E) Select **Cancel** to close the Select Residents screen.

Primary Laptop

To Correct Data Entry Errors after having calculated the QCI Results, make corrections on the Primary Laptop:

Note: Data entry corrections must be made on the primary laptop once the Stage I data has already been imported. The primary laptop's Stage I data are used for the QCI calculations; Stage I data at a secondary laptop cannot be changed and successfully re-imported to the primary laptop after having already been imported once. Each surveyor correcting data entry errors may make the changes at the secondary laptop, but do not re-import the corrected data to the primary laptop.

- A) Close the QCI Results screen.
- B) On the menu bar, select **Utilities, Change Active Surveyor**.
- C) On the Change Active Surveyor screen, select the name of the surveyor who has responses to correct and select the **Select** button (). Laptop Type should be the default, **Secondary**.
- D) On the menu bar, select **View Screen, Stage I – Data Entry**.
- E) On the Stage I – Data Entry screen, expand the list (Census or Admission as appropriate) to view resident, review section, and questions, selecting the question that requires a response correction.
- F) Correct the erroneously entered response, and enter Relevant Findings as appropriate.
- G) Repeat Steps E) and F) until the surveyor's corrections are completed.
- H) Repeat Steps B) through F) for each surveyor who needs to correct responses.
- I) When all surveyors have corrected data entry errors on the Primary Laptop, change **Active Surveyor** back to the surveyor acting as team coordinator, and log in as **Primary**.

QIS Checklist

- J) Reprocess the QCI Results (repeat Step 34).
- K) Review only residents/Care Areas with changed responses.
- L) Reprint the QCI Results Report (repeat Step 37). Review the QCI Results Report to confirm only that the report reflects the corrections.
- M) Re-export the QCI data from the primary laptop (repeat Step 35), and re-import the QCI data at the secondary laptops (repeat Step 36).

- 39.** Make a backup copy of the merged Stage I Survey Data.
- A) Close the QCI Results screen.
 - B) On the menu bar, select **Utilities, Export Data**.
 - C) On the Export Data screen, select the **Export Stage I Survey Data**.
 - D) Select the flash drive, select the facility folder, and select **OK**.
 - E) Select **OK** at the **Data was Successfully Exported** message.
 - F) Select **Close** to close the Export Data screen.

TASK 7: STAGE II SURVEY TASKS

Stage II Sample Selection

Primary Laptop

- 40.** Create the Stage II Sample.
- A) On the menu bar, select **View Screen, Stage II – Sample**.
 - B) On the Stage II – Sample screen, select the **Create Stage II Sample** button.
- 41.** Discuss Care Areas and residents selected for Stage II in-depth investigation to identify which residents were sampled for each Care Area investigation, and to determine whether additional residents/areas of concern should be surveyor-initiated.
- A) On the Stage II – Sample screen, select View Sample By **Care Area**.
 - B) Expand each Care Area to view residents selected for the Stage II in-depth investigations.
- 42.** Surveyor-initiate the following:
- One resident each, as available, for the three Care Areas (**Dialysis, Hospice and End of Life, or Ventilator**) from the Ventilator, Dialysis, and Certified-Medicare Hospice, End of Life services list completed by the facility (a resident could possibly meet criteria, and be initiated, for more than one of the three categories).
 - Any Stage I resident(s) who met QCI Criteria for a Care Area(s), has a potentially egregious concern, and the QIS DCT, because of the random selection process, did not select for the Stage II Sample.
 - Any resident(s) and associated Care Area(s) of concern (discovered outside of the prescribed Stage I Review, such as from random observation or an offsite complaint) that the team ascertained as requiring an in-depth investigation.
 - Any resident(s) already observed or designated for Medication Administration Observation.

To surveyor-initiate a Care Area for a resident:

Determine whether the resident is included in the Stage II Sample, the Stage I Sample, or is not included in the QIS DCT Resident Pool, and complete the applicable instructions: either Step I), Step II), or Step III):

Note: Step I) and Step II) can be completed on secondary laptops as necessary throughout the survey; however, Step III) can be done only on the primary laptop. If Step III) is completed after the Stage II Sample has been imported at the secondary laptops, the Stage II Sample must be re-exported to the secondary laptops (see Steps 46 and 47).

QIS Checklist

- I) If the Resident Requiring Investigation is Already in the Stage II Sample:
- A) On the menu bar, select **View Screen, Stage II – Sample**.
 - B) On the Stage II – Sample screen, highlight/select the resident from the Sample List, and select the **Initiate Care Area** button.
 - C) Select the Care Area in the Available Care Areas pane, and select the **Include** button.
 - D) Complete **Relevant Findings**, as applicable, and select the **Close** button.
- II) If the Resident Requiring Investigation is Not in the Stage II Sample (but is in the Resident Pool):
- A) On the menu bar, select **View Screen, Stage I – Sample**.
 - B) On the Stage I – Sample screen, highlight/select the resident from the Resident Pool Listing, and select the **Initiate/Remove Care Area** button.
 - C) Select the Care Area in the Available Care Areas pane, and select the **Include** button.
 - D) Complete **Relevant Findings**, as applicable, and select the **Close** button.
- III) If the Resident Requiring Investigation is Not in the Resident Pool:

Note: If there were more newly admitted residents on the New Admission Information form than there were discharged Census Sample residents, not all newly admitted residents would have been added to the QIS DCT during Stage I Sample Reconciliation to replace discharged Census Sample residents.

- A) On the menu bar, select **View Screen, Stage I – Sample**.
- B) On the Stage I – Sample screen, after checking to be sure that the resident is not in the Resident Pool Listing, select the **Add New Resident** button ().
- C) Enter the Admit Date, Last Name, First Name, Date of Birth, Gender, Unit and Room Number, and select the **Close Form** button ()(Admit Date and Unit/Room Number are not required).
- D) Highlight/select the resident from the Resident Pool Listing, and select the **Initiate/Remove Care Area** button ().
- E) Select the Care Area in the Available Care Areas pane, and select the **Include** button ().
- F) Complete **Relevant Findings**, as applicable, and select the **Close** button ().

-
- 43.** Enter unit and room numbers for Stage II residents:
- A) On the menu bar, select **View Screen, Stage II – Sample**.
 - B) On the right pane in **Add Unit Information**, place your cursor in the Unit# box for a resident and enter the unit number.
 - C) Tab to the Room# and enter the room number.
-

QIS Checklist

Stage II Staff Assignments

Primary Laptop

44. Assign a surveyor to each Stage II resident and/or Care Area using the following workload distribution guidelines:
- Assign Stage I residents to their Stage I assigned surveyors to allow review continuity from Stage I. Consider adjusting assignment of Care Areas based on surveyor expertise in specific areas, the number of Care Areas triggered, and the number of residents assigned to each surveyor.
 - Assign facility-level tasks according to offsite assignments. Adjust the assignments as necessary to accommodate already gathered findings and to balance workload for each surveyor.
 - Assign remaining residents/tasks to balance workload. The Auto Assign function of the QIS DCT may be used to distribute equally the remaining workload at this point. Since the QIS DCT Auto Assign function assigns an equal number of Care Areas to each surveyor but does not utilize the workload distribution guidelines, this option is inadvisable for making all assignments but can be used for equally distributing any remaining unassigned residents.
 - Reassign surveyor-initiated residents as needed. The QIS DCT automatically assigns a surveyor-initiated resident and/or Care Area to the surveyor who initiated the Care Area.

To Make Surveyor Assignments:







- A) On the menu bar, select **View Screen, Stage II – Assignment**.
- B) In the left pane, expand the surveyor and resident tree nodes, select the row containing the **Resident** or **Care Area** in the **Unassigned** pane.
- C) Select the appropriate surveyor name in the **Assigned** pane.
- D) Make the assignment by selecting the **Assign** button.
- E) Assign facility-level tasks according to the assignments made offsite and recorded on the Offsite Preparation Worksheet.

Note: Residents listed under **No Stage I Surveyor** come solely from MDS calculations.

To Change Surveyor Assignment for Care Areas Surveyor-initiated at the Primary Laptop:

- A) On the menu bar, select **View Screen, Stage II – Assignment**.
- B) In the right pane, expand the name of the surveyor who initiated the resident, expand the name of the resident, and select the **Care Area/F tag**.
- C) Select the **Unassign** button.
- D) Reassign the Care Area/F tag, and close the Stage II – Assignment screen.

QIS Checklist

- 45.** Print the Stage II Report (sort by Stage II Surveyor) after assigning all residents and Care Areas. Distribute the applicable pages of the report to each surveyor (pages break so that when the last of one surveyor's assignments is listed, a new page begins with the next surveyor's assignments).
- A) On the menu bar, select **Reports, Stage II Report**.
- B) On the Sort Selection screen, select **Stage II Surveyor**, and select the **Preview the Report** button.
- To print the report: On the Reports screen, select **Print** () , and select **OK**.
 - To save the report as a Word document in Rich Text Format (.RTF):
 - i) On the Reports screen, select **Export** ().
 - ii) Use the **Files of type** drop list () to change the type to **Rich Text Format (*.rtf)**.
 - iii) Use the **Save in** drop list () to navigate to the facility folder on the flash drive.
 - iv) Select **Save** ().
- C) Close the report by selecting the **Close** button () on the report toolbar.

Primary Laptop

Secondary Laptops

- 46.** Export the **Stage II Sample** to the facility folder on the flash drive.
- A) On the menu bar, select **Utilities, Export Data**.
- B) On the Export Data screen, select **Export Stage II Sample Data**.
- C) Select the flash drive, select the facility folder, and select **OK**.
- D) Select **OK** at the **Stage 2 Sample Data Exported Successfully** message.
- E) Select **Close** on the Export Data screen.
- Give the flash drive to team members to import the Stage II Sample at the secondary laptops.
- 47.** Import the **Stage II Sample** from the facility folder on the team coordinator's flash drive.
- A) On the menu bar, select **Utilities, Import Data**.
- B) On the Import Data screen, select the **Import Stage II Sample**.
- C) Select the flash drive, select the facility folder, select [EVENTID]_sampdata2.zip, and select **Open**.
- D) Select **OK** at the **Sample Data Successfully Imported** message.
- E) Select **Close** on the Import Data screen.

Stage II In-depth Investigation - Critical Element (CE) Pathways

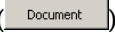

Survey Team

- 48.** Begin the in-depth investigation
- Review any notes written during Stage I, including the Stage I Relevant Findings Report, for assigned residents.
 - As necessary, review the QCI Results screen for pertinent information related to the admission date and the reason for the review.
 - Use the applicable facility-level worksheets, CE Pathways, and/or the Guidance to Surveyors to gather, organize, analyze information, and make compliance decisions.
 - Consult the Stage II Investigation Key for information about whether to investigate using a CE Pathway, a facility-level worksheet, or Guidance to Surveyors.
- Note:** The Stage II Report shows Care Areas to be investigated using the General Critical Elements Pathway.
- Refer to the instructions in "Electronic Documentation" for setting up electronic worksheets for documentation.





QIS Checklist

49. Record the CE compliance decisions on the CE Pathway or Surveyor Notes, as applicable, and then in the QIS DCT, or record the decisions directly into the QIS DCT. A compliance decision should be made for each Critical Element. When noncompliance is found (Critical Element is marked No), documentation should be specific enough so compliance decisions can be made and supportable deficiencies written, if it is determined the facility is noncompliant.



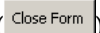



To Record Critical Element Compliance in the QIS DCT:

- A) On the menu bar, select **View Screen, Stage II – Critical Elements**.
- B) Select the resident and Care Area in the Stage II resident assignment listing.
- C) Complete the Critical Element compliance decisions in the Response pane.
- D) If a Critical Element is met, select **Yes** and move to the next Critical Element.
- E) If a Critical Element is not met, select **No**. The **Possible FTag Citations for Selected Care Area** pane displays the applicable F tag(s) as determined by CMS and the associated Critical Element Number.
- F) Select the first F tag in the list.
- If the provided F tag addresses the noncompliance, select the **Document** button () and proceed to Step G).
 - Some Critical Elements (for Provision of Care in combined Care Area reviews, such as ADL, ROM, Cleanliness, and Grooming, and for Process of Care in many Care Area reviews) provide more than one F tag to select from to address a specific noncompliant practice. Any of the F tags that do not address the noncompliance should be marked **Not Applicable** by selecting the **Not Applicable** button ().
- G) On the upper pane of the Documentation form, enter findings utilizing Principles of Documentation (POD). The information will be used during the team's Stage II decision-making meeting and, if cited, subsequent documentation review in ASE.

Note: Any of the information provided in the following Supporting Information windows can be copied and pasted into the Documentation form. To copy and paste:

1. Place the cursor in the Supporting Information window at the starting point of the text you want to copy, and drag to the end of the text to highlight/select the text to be copied.
2. Right-click and select **Copy**.
3. Place the cursor in the Documentation form and right-click and select **Paste**.
 - To view the federal regulation text associated with the F tag, on the Documentation form, select the **Reg** button (.
 - To view interpretive guidelines associated with the F tag, on the Documentation form, select the **IG** button (.
 - To view resident history information, such as the resident's age and admission date in addition to Stage I questions and any Stage I surveyor-entered relevant findings that triggered the Care Area for review, on the Documentation form, select the **Resident History** button (.
 - To view the Critical Elements and probes for the associated Care Area, on the Documentation form, select the **CE Probe/Text** button (.

QIS Checklist

- To spell check your documentation, on the Documentation form, select the **ABC** button (). The external text editor (Total Access Memo) launches, containing your documentation entry window text. If you have any misspelled words, a Spelling window displays. Make the necessary corrections. If there were not any spelling errors, or after the corrections have been made, the Spelling check completed message displays. Select **OK**. The external text editor window still displays. Close the Total Access Memo window. The spell check changes you made are recorded in the Documentation Entry window.
 - H) Select the **Close** (arrow pointing to an open door) button (.
 - I) When the Severity form displays, you must select severity for the potential citation for the resident and Care Area deficiency being documented and select the **Close Form** button () to return to the Stage II – Critical Elements screen. (The QIS DCT requires you to select a severity only if you have entered any documentation.)
- Note:** To review/change severity for a potential citation:
1. Select the F tag and select the **Document** button (.
 2. Select the **Review Severity** button () on the Documentation form.
 3. Select the Severity, and select the **Close Form** button (.

To Initiate an Additional Care Area or an F tag for a Resident in the Stage II Sample:

- A) On the menu bar, select **View Screen, Stage II – Critical Elements**.
- B) On the Stage II – Critical Elements screen, highlight/select the resident and select the **Initiate Care Area** button.
- C) Select **QCI Based** or **Ftag Direct Cite**, as applicable, in the **Available Care Areas** pane, and select the relevant Care Area or F tag from the list.
- D) Select the **Include** button; complete **Relevant Findings**, as applicable; and select the **Close** button.
- E) Record compliance according to items A) – I) listed above.

To Initiate a Care Area or an F tag for a Resident Not in the Stage II Sample:

Complete the instructions in Step 42 II) or III).

To Document Resident-Specific Findings for a Facility-Level Task:

When documenting noncompliance related to the facility-level survey tasks, there may be a need to document resident-specific findings.

- If the resident is already in the Stage I or Stage II Sample, use the resident identifier provided on the sample reports.
- If the resident was not included in either the Stage I or Stage II Sample:
 - A) Surveyor initiate the resident for the F tag applicable to the noncompliant facility-level CE according to instructions in Step 42 II) or III). In that way, the resident’s identifier will be reported on the Stage II Sample Resident List and retained in the QIS DCT database.
 - B) In the Documentation window for the F tag, write “*see CE #[applicable CE] for [facility-level task]*” and enter the findings in the Documentation window for the facility-level CE.

To Initiate Medication Administration for a minimum of 10 Residents (even if no errors were observed):

Complete the instructions in Step 42 I), II) or III).

QIS Checklist

To Initiate Dining or Infection Control at a Secondary Laptop:

Note: The surveyor(s) assigned these tasks answers all Critical Element questions according to his/her own findings. If other members of the team have contrary findings, the surveyor with the relevant observations/findings should initiate the applicable task for the facility at his/her secondary laptop. The surveyor initiating the task should answer only those critical element questions for which he/she has findings.

- If you are already assigned a facility-level task, complete the instructions, "To Initiate an Additional Care Area or an F tag for a Resident in the Stage II Sample" (above), selecting the "Facility" entry instead of a resident name in Step B) of the instructions.
- If you are not assigned any facility-level tasks:
 - A) On the menu bar, select **View Screen, Stage II – Sample**.
 - B) On the Stage II – Sample screen, highlight/select **Facility**, and select the **Initiate Care Area** button.
 - C) Select the Care Area in the Available Care Areas pane, and select the **Include** button.
 - D) Complete **Relevant Findings**, as applicable, and select the **Close** button.
 - E) On the menu bar, select **View Screen, Stage II – Critical Elements**, and complete critical element compliance decisions ONLY for critical elements for which you have findings.

To Remove a Mandatory Facility-level Task that is inapplicable to the facility being surveyed (such as Demand Billing in a Medicaid-only facility, or Resident Council President/Representative Interview in a facility that has no resident council):

- A) On the menu bar, select **View Screen, Stage II – Critical Elements**.
- B) Select/expand the facility listing and select the Care Area to be removed.
- C) Select the **Remove Care Area** button.
- D) On the Remove Care Area window, select **Other (specify)** as the **Reason for Care Area Removal**.
- E) Provide the reason for removing a mandatory facility-level task, and select **Close**. The removed care area now displays in gray italics.

- 50.** Each surveyor makes a daily backup copy of his/her QIS DCT Stage II Survey Data and electronic worksheets. The backups are saved to the surveyor's flash drive (one per surveyor).
- A) On the menu bar, select **Utilities, Export Data**.
 - B) On the Export Data screen, select the **Export Stage II Survey Data**.
 - C) Select the flash drive, select the facility folder (if you are using the primary laptop, select the **TC Data** subfolder within the facility folder), and select **OK**.
 - D) Select **OK** at the **Stage II Data Exported Successfully** message.
 - E) Select **Close** on the Export Data screen.
 - F) Go to **My Documents**
 - G) Right-click the facility folder.
 - H) Select **Send to** and select the **flash drive**.
 - I) Each day when you back up your work sheets on the flash drive, you will get a message asking if you would like to replace the existing files –select **Yes to all**.

Stage II Team Meetings

Team Coordinator (Primary Laptop)

- 51.** The team should meet daily to assess and discuss progress towards completing their Stage II assignments and findings and to accomplish Steps 52 - 54. Make workload adjustments as necessary only after discussing progress of completing facility-level tasks (Step 52 and Step 53) and the need to substitute sample residents or supplement the sample (Step 54).

QIS Checklist

To make workload adjustments in the QIS DCT:

- A) Determine whether any Critical Elements have been data entered for the task being reassigned:
 - If no Stage II Critical Elements have been completed for the task being reassigned, proceed to Step B).
 - If any Stage II Critical Elements have been completed for the task being reassigned:
 - iii) Use the computer instructions in Step 55 to export the Stage II data from the secondary laptop containing the data entered; AND
 - iv) Use the instructions in Step 56 (skip Step F) to import the Stage II data to the primary laptop.
- B) At the primary laptop, on the QIS DCT menu bar, select **View Screen, Stage II Assignment**.
- C) On the Stage II – Assignment screen's **Assigned** pane, expand the relevant surveyor and resident tree nodes, and select the row containing the resident or Care Area to reassign.
- D) Select the **Unassign** button.
- E) Expand the unassigned resident or Care Area in the **Assigned** pane, and select the row containing the resident or Care Area.
- F) Select the surveyor in the **Assigned** pane, and make the assignment by selecting the **Assign** button.
- G) To re-export the Stage II Sample, use the instructions in Step 46 at the primary laptop; AND
- H) Use the instructions in Step 47 at all secondary laptops (not just the laptop of surveyors whose assignments were changed).

Note: If surveyor-initiated residents do not display in the QIS DCT at a secondary laptop after the Stage II Sample has been re-imported: at the secondary laptop, go to View Screen, Stage II Sample, and select the **Create Stage II Sample** button.

- 52.** Discuss the progress and concerns/results of the facility-level tasks, which will be at various levels of completion, to determine which issues may need further review in Stage II. Any currently identified potential concerns/issues should be shared with the team.

- 53.** Determine what information should be shared with the facility to allow staff an opportunity to provide additional information before the team makes compliance decisions.

Note: Do not share information if information gathering needs to occur over time to determine a trend. However, the team should consider the seriousness of the information gathered, and appropriately inform the facility of situations putting residents at immediate risk of harm. Immediate Jeopardy determinations require immediate facility notification and appropriate action by the survey team to ensure the Immediate Jeopardy is abated.

- 54.** Discuss the need to substitute a sampled resident and/or supplement the Stage II Sample.
- If a Stage II Sample resident is hospitalized/discharged and necessary observations have not been made, substitute the resident with another resident who meets the criteria for the QCI that exceeded the threshold and triggered the Care Area review (see instructions below).
 - If all three resident Care Area reviews demonstrate facility noncompliance and the team establishes the need to further investigate to determine whether “substandard quality of care” exists, supplement the Stage II Sample with residents who meet the criteria for the QCI that exceeded the threshold (see Step 42 for instructions on initiating residents/ Care Areas into the Stage II Sample).

QIS Checklist

If a Stage II Sample resident is hospitalized/discharged and necessary observations have not been made:

- A) Discharge the Resident:
 - i) On the menu bar, select View Screen, Stage II – Sample.
 - ii) Highlight/select the resident name.
 - iii) Select the **Discharge/Readmt Resident** button.
 - iv) Select **Yes** at the **Confirm Resident Discharge** message. The residency status icon will change from green to blue.
- B) Remove the Care Area for the Discharged Resident:
 - i) On the menu bar, select **View Screen, Stage II – Critical Elements**.
 - ii) If the resident is not assigned to the team coordinator, select **All Surveyors**.
 - iii) Select/expand the resident listing to show all of the resident's Care Areas.
 - iv) Write down the resident's Care Areas that are being removed (Care Areas not requiring resident interview and observation do not need to be removed).
 - v) Select the resident's first Care Area and select the **Remove Care Area** button.
 - vi) On the Remove Care Area window, select **Resident Transferred/Discharged from facility** as the **Reason for Care Area Removal**, and select **Close**. The removed care area now displays in gray italics.
 - vii) Continue this process until all Care Areas are removed for the resident. The resident name will change to black, and all Care Areas for the resident will be display in gray italics.
- C) Locate a Substitute Resident:
 - i) Look at the Stage II Report showing Stage II Surveyor assignments and find the hospitalized/discharged resident's QCI's associated with each of the Care Areas removed. (The resident's Care Area reviews may have been assigned to more than one surveyor.)
 - ii) On the QIS DCT menu bar, select **View Screen, QCI Results**.
 - iii) On the QCI Results screen, select to display the **Care Area List**.
 - iv) Expand the Care Area, the **QCIs Exceeded Threshold** list, and the **QCI Criteria Met** list.
 - v) Select the first resident in the list who is not already sampled for the Stage II Care Area review requiring a substitute resident.
- D) Initiate the Care Area for the Substitute Resident: Complete the instructions, "If the Resident Requiring Investigation is Not in the Stage II Sample (but is in the Resident Pool)" in Step 42 II).
- E) Change the Assignment and Redistribute the Changed Stage II Sample: Change the assignment of the resident's Care Area review by completing the instructions, "To Make Workload Adjustments in the QIS DCT", Step 51.

Note: If a Stage I data entry error is discovered during Stage II in-depth investigation, remove the Care Area for the resident.

- A) On the menu bar, select **View Screen, Stage II – Critical Elements**.
- B) Highlight/select the resident and expand the listing to show all of the resident's Care Areas.
- C) Select the relevant Care Area and select the **Remove Care Area** button.
- D) On the Remove Care Area window, select **Stage I Data Entry Error** as the **Reason for Care Area Removal**, and select **Close**. The removed care area now displays in gray italics.

QIS Checklist

TASK 8: STAGE II ANALYSIS AND DECISION MAKING: INTEGRATION OF INFORMATION

All Laptops (including Primary)

55. After the Stage II investigation has been completed:
- Verify completion (text color should be black) of Care Area reviews for all Stage II residents and applicable facility-level tasks.
 - Export the **Stage II Survey Data** from each laptop, including the primary laptop.

Note: The export from the primary laptop is solely to create a backup of the team coordinator's Stage II Data.

- A) On the menu bar, select **Utilities, Export Data**.
- B) On the Export Data screen, select **Export Stage II Survey Data**.
- C) Select the flash drive, select the facility folder (if you are using the primary laptop, select the **TC Data** subfolder of the facility folder), and select **OK**.
- D) Select **OK** at the **Stage II Data Exported Successfully** message.
- E) Select **Close** on the Export Data screen.
- Give the flash drive to the team coordinator for import of the Stage II Data.

Primary Laptop

56. Import (merge) the **Stage II Survey Data** from the facility folder on each team member's flash drive.
- A) Close the **Stage II – Critical Elements** screen.
 - B) On the menu bar, select **Utilities, Import Data**.
 - C) On the Import Data screen, select **Import Stage II Survey Data**.
 - D) Select the flash drive, select the facility folder, select [EVENTID]_stg2data.zip, and select **Open**.
 - E) Select **OK** at the **Stage II Data Successfully Imported** message.
 - F) Repeat the import (Steps C) –E)) for each secondary laptop.
 - G) Select **Close** on the Import Data screen.
 - H) On the menu bar, select **View Screen, Stage II – Critical Elements**.

Primary Laptop

57. Verify the completion of Stage II on the Stage II – Critical Elements screen.
- Confirm that all secondary laptops' data imported correctly.
 - A) On the Stage II – Critical Elements screen, select the option to view Stage II Residents Assigned To **All Surveyors**.
 - B) Confirm that all residents' text is displayed in black. If any listings display in red, expand the list to determine whether any information remains to be completed.
 - If any resident listings or the facility display in red text:
 - i) Select the plus sign (+) next to the red listing to determine which section of the resident's review appears to be incomplete. It may be that the item or section is actually complete but the software is not recognizing it as such. Sometimes selecting the red item causes it to display in black text.
 - ii) If a resident listing remains red, expand the listing and select each red item. Expanding the listing may cause the software to recognize that the response(s) are complete and update the text color to black. If red items do not turn black, continue to expand the listing to confirm that the data is actually present and complete. If the data is present and complete but will not turn black, continue to the next step since you have confirmed that the work is complete.
 - iii) If any data entry is not complete, complete the data entry on the secondary laptop and repeat Steps 55 –57.

QIS Checklist

- If all resident listings (except the facility listing) display in black text, proceed to Step C).
- c) Confirm that the **Facility** tasks have been completed. The following facility-level tasks contain questions that may remain red (appropriately unanswered/inapplicable) because facility-level skip patterns are not programmed in the QIS DCT:

Admission, Transfer, and Discharge Review	Personal Funds Review
Demand Billing Review	Quality Assurance and Assessment Review
Environmental Observations	Resident Council Pres./Representative Interview
Infection Control & Immunizations	

- i) Expand the **Facility** listing.
- ii) Expand each facility-level task that can remain appropriately incomplete (red text) and confirm completion of applicable questions.
- iii) If any facility-level task that should display in black text remains red, use the instructions in Steps B) i) through iii) above to confirm the information is complete.

Survey Team (at the Primary Laptop)

- 58. The team reviews merged potential citations and accompanying documentation resulting from Stage II investigations to determine whether noncompliance exists based on the gathered evidence. The team determines which documentation will be included on the draft CMS 2567, and decides scope and severity for each citation. During this team review, one member of the team should make notes of citations and associated residents for use in the exit conference. Additionally, during this meeting, if not sooner, the team may determine whether they have substandard quality of care, which means an extended survey will need to be conducted.
 - A) On the menu bar, select **View Screen**, select **Potential Citation**.
 - B) On the Potential Citation screen, expand the first F tag and Care Area listed. (The list displays residents who have critical elements unmet. The right-side pane displays the F tag, title, and information for each of the applicable residents [Resident Name, Care Area, Investigator, Severity, and any entered documentation]).
 - To Cite an F tag:
 - i) Place a checkmark (☑) in the checkbox (☐) next to each resident's name to be included in the associated F tag and Care Area deficiency documentation to be loaded to the Citation Manager.

Note: At least one resident (or the facility, as applicable) must be marked for inclusion in the documentation loaded to the Citation Manager or the F tag will not be carried forward to the Citation Manager.



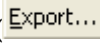


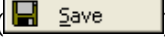

Note: In the case of residents initiated into the sample only to obtain a resident identifier for documentation of a facility-level CE, mark the facility for inclusion in the citation and leave blank the checkbox next to the resident's name.
 - ii) Select the first Care Area listed, and select **Cite FTag**.
 - iii) Assign **Scope and Severity**; add documentation, as necessary; and close the Scope/Severity Matrix form.
 - iv) Be sure that there is a "✓" symbol next to the F tag listing when you return to the Potential Citation screen.

QIS Checklist


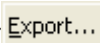




- To NOT Cite an F tag:
 - i) If the team determines that the F tag should not be cited, select **Don't Cite FTag**.
 - ii) Document the reason for not citing the F tag in the documentation form that appears.
 - iii) Be sure that there is an “X” symbol next to the F tag listing when you return to the Potential Citation screen.
- C) Continue to determine whether to cite each aggregated potential citation and whether to include residents in the CMS–2567 documentation, until all listed potential citations have been reviewed.

Note: Stage II survey data should be imported only once to the primary’s laptop. If during citation review the team determines a different F tag should be cited, or a finding should be moved to a different F tag, do not make the changes on a secondary laptop and re-import Stage II survey data. Cite the listed F tag and use the **Document** button on the screen containing the scope and severity grid to provide a narrative explanation of specific changes to make in ASE. Select the appropriate scope and severity, and close the screen. This approach allows the citation documentation and the associated note to be loaded with the other citations and makes it available for necessary correction once in ASE.





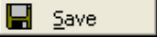

59. After all citation decisions have been made, review the Potential Citation Report screen to ensure that all intended citations are listed, and print the Potential Citation Report.

- A) On the menu bar, select **Reports, Potential Citation Report**.
- B) On the Reports screen, review the list of citations.
- C) If an intended citation is not listed, close the report by selecting the **Close** button () on the report toolbar to return to the Potential Citation screen.
- D) Make sure the intended F tag was cited and all intended residents (or the facility) were marked for inclusion of his/her documentation in the upload of the citations to the Citation Manager.
- E) On the menu bar, select **Reports, Potential Citation Report**.
 - To print the report: On the Reports screen, select **Print** () , and select **OK**.
 - To save the report as a Word document in Rich Text Format (.rtf):
 - i) On the Reports screen, select **Export** () .
 - ii) Use the **Files of type** drop list () to change the type to **Rich Text Format (*.rtf)**.
 - iii) Use the **Save in** drop list () to navigate to the facility folder on the flash drive.
 - iv) Select **Save** () .
- F) Close the report by selecting the **Close** button () on the report toolbar.





60. Print Stage II reports:

- Stage II Sample Resident List (includes Resident IDs) can be provided to the facility during the exit conference.
 - A) On the menu bar, select **Reports, Stage II Sample**.
 - To print the report: On the Reports screen, select **Print** () , and select **OK**.
 - To save the report as a Word document in Rich Text Format (.RTF):
 - i) On the Reports screen, select **Export** () .
 - ii) Use the **Files of type** drop list () to change the type to **Rich Text Format (*.rtf)**.
 - iii) Use the **Save in** drop list () to navigate to the facility folder on the flash drive.
 - iv) Select **Save** () .
 - B) Close the report by selecting the **Close** button () on the report toolbar.

QIS Checklist

- **Optional:** Print the Stage II Care Area List (a listing of Care Areas triggered for Stage II review).
 - A) On the menu bar, select **Reports, Stage II Care Area List**.
 - To print the report: On the Reports screen, select **Print** () , and select **OK**.
 - To save the report as a Word document in Rich Text Format (.RTF):
 - i) On the Reports screen, select **Export** ().
 - ii) Use the **Files of type** drop list () to change the type to **Rich Text Format (*.rtf)**.
 - iii) Use the **Save in** drop list () to navigate to the facility folder on the flash drive.
 - iv) Select **Save** ().
 - B) Close the report by selecting the **Close** button () on the report toolbar.

Primary Laptop

- 61.** Export the merged Stage II Survey Data to flash drive (this will be the back up of the citation decisions).
 - A) On the menu bar, select **Utilities, Export Data**.
 - B) On the Export Data screen, select **Export Stage II Survey Data**.
 - C) Select the flash drive, select the facility folder, and select **OK**. The file is named [EVENTID]_stg2data.zip.
 - D) Select **OK** at the **Stage II Data Exported Successfully** message.
 - E) Select **Close** on the Export Data screen.
- 62.** Close the QIS DCT software. Load citation(s) in ASE.
 - A) Close the uppermost X ( or ) , depending on the Windows Theme) in the top right corner of the screen to exit the QIS DCT.
 - B) On the **Citation Manager** screen, select the **Load Cites** button () in the bottom right corner.
 - C) Verify that all cited F tags loaded into the Citation Manager/ASE.
 - If all cited F tags are listed, continue to Step D).
 - If not all cited F tags loaded:
 - i) Return to the QIS DCT Potential Citation screen, expand the F tag that did not load into the Citation Manager/ASE, and confirm that at least one resident's (or the Facility's) checkbox was marked.
 - ii) Repeats Step 59 through 62.
 - D) Close the Citation Manager by selecting the **Done** button ().

TASK 9: EXIT CONFERENCE

- 63.** Conduct the exit conference with facility personnel. The survey team may provide a separate abbreviated exit conference specifically for residents after completion of the normal facility exit conference, if the organized residents group and/or additional residents expressed interest in attending the exit conference. You may invite the ombudsman and an officer of the organized residents group, if one exists, and additional residents who expressed interest in attending the exit conference.

QIS Checklist





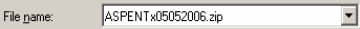

AFTER THE SURVEY (Completion of the CMS-2567)





Team Coordinator (at the Primary Laptop)

Secondary Laptops

64. Export the survey (it contains the potential citations from QIS DCT) to the CMS-2567 subfolder of the facility folder on the flash drive, and give it to each team member for import in ASE.

Note: When the survey is exported from ASE, it does not include the QIS resident information. To complete the CMS-2567 from ASE in a computer other than a laptop used during the survey, the survey shell obtained from ACO in Step 4 must be imported on the computer you intend to use to complete the CMS-2567 (see Step 5 for instructions on importing the survey shell to ASE).

- A) From ASE, expand the facility entry and select the survey event (preceded by a red cross .
- B) On the ASE menu bar, select **Export** .
- C) In the **Export to** window, select **Other Location**.
- D) Select the binocular icon () to locate and use the **Look in** drop list () to navigate to the flash drive.
- E) Double-click the facility folder.
- F) Double-click the CMS2567 directory.
- G) In the **File name** field, place the cursor after the "x" in the highlighted default file name "ASPENTx.zip" and type the end date of the survey (according to your State's QIS procedures). Example:
ASPENTx05052006.zip.
- 
- H) Select the **Open** button (.
- I) Select **OK** on the **Export to** window. When the transfer process is complete, a message appears that the "Survey export is complete".
- J) Select **OK**.

65. In ASPEN, import the team coordinator's survey that was exported from the primary laptop in Step 64 for final editing of the CMS-2567 according to your State's procedures and recommendations from Alpine Technology Group.
- A) In ASE, enable decryption by going to **System, System Configuration, Enable Decryption...** Set the decryption to **Enable**, select **OK**, enter the decryption password, and select **OK**. Select **OK** at the **Decryption successfully enabled** message.
- 
- B) On the ASE menu bar, select **Import** .
- C) In the **Import** window, select **Zip File**.
- D) Select the binocular icon () to locate and use the **Look in** drop list () to navigate to the flash drive.
- E) Double-click the facility folder.
- F) Double-click the CMS2567 directory.
- G) Double-click the zip file, and select **OK** on the **Import** window after confirming that you have selected the correct zip file.
- H) On the **Select Survey(s) to Import** window, select **OK**.
- I) Select **OK** at the **Aspen transfer file was successfully imported** message.

Survey Team

66. Complete the final editing of the CMS-2567 according to your State's QIS procedures.





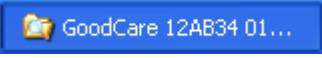


QIS Checklist

ASPEN Non-networked Survey Completion at QIS Laptops

Secondary Laptops




67. Each survey team member exports his/her final edited version of the survey from ASE according to instructions in Step 64 with two exceptions: skip Step F) and in Step G), type your surveyor ID at the end of the file name rather than the date.

All Laptops (including Primary Laptop)

68. Each surveyor copies his/her **Worksheets** folder to the **Team Worksheets** folder within the team coordinator's flash drive facility folder.
- Insert your flash drive into one of the tablet PC's USB ports. A Windows **Explorer** window displaying the flash drive contents should appear; if not, open an Explorer window.
 - Navigate to the flash drive's **Team Worksheets** folder within the facility folder, and double click the folder to open it.
 - Minimize the **Explorer** window by clicking the minimize button ( or ) in the top right corner of the screen.
 - Open the **My Documents** folder.
 - Right-click the **surveyor's Worksheets** folder and select **Copy**.
 - Maximize the flash drive's **facility** folder window by pressing **Alt + Tab** ( + ) or by selecting the facility folder icon () on the taskbar.
 - Right-click in the blank space in the right pane of the folder window and select **Paste**.
 - Close the **Explorer** window by clicking the close button ( or ) in the top right corner of the screen.
 - Safely remove the flash drive.
 - Repeat Steps A – I for each survey team member. At the end of the survey, the team coordinator's facility folder of the flash drive will contain all survey team members' electronic documentation folders, and the ASE and QIS DCT data files.

Note: The TC should delete his/her daily worksheets folder backup from the root of the flash drive now that the final version has been copied to the **Team Worksheets** folder.


Primary Laptop

69. The team coordinator Imports (merges) each surveyor's final edited version of the survey in ASE on the primary laptop.
- On the ASE menu bar, select **Import** ().
 - In the **Import** window, select **Zip File**.
 - Select the binocular icon () to locate and use the **Look in** drop list () to navigate to the flash drive.
 - Double-click the facility folder.
 - Double-click the zip file, and select **OK** on the **Import** window after confirming that you have selected the correct zip file.
 - On the **Select Survey(s) to Import** window, select **OK**.
 - On the Compare screen:
 - Select to **Use Source** to replace the surveyor's text in the primary laptop with the modified text provided by the surveyor in the zip file.

QIS Checklist

- Select **Use Destination** to retain the current text in the primary laptop rather than importing the modified text provided by the surveyor in the zip file.

H) Select **OK** at the **Aspen transfer file was successfully imported** message.

- 70.** Save (export) a final copy of the survey to flash drive by completing the instructions in Step 64.
- 71.** Export the final version of the survey to ACO from the team coordinator's primary laptop according to your State's protocol.
- A) Locate the survey Event ID in ASE.
- B) Select/highlight the survey (preceded by a red cross **+**) (not the facility).
- C) On the Menu Bar select **Export** () or right-click and select **Send To, Export**.
- D) Export to the **2567** folder of the facility folder on the flash drive. This will be the Aspen survey file used for import into ACO.
- 72.** Copy the facility folder from the team coordinator's flash drive to the designated QIS directory on the State's network according to your State's QIS procedures.

All Laptops (after the survey is exported to ACO according to your State's protocol)

- 73.** Delete residents and the survey from ASE.
- A) From ASE, expand the facility listing, the survey listing, and further expand to display the Residents listing.
- B) Right-click the Residents listing and select **Delete Residents**.
- C) Select **Yes** at the message, "**This will delete all residents in the facility and their assessments. Are you sure?**".
- D) Right-click the survey listing and select **Send To, Recycler**.
- E) Select **Yes** at the message, "**Are you sure you want to send this survey (Event ID) to the ASPEN Recycler?**".
- 74.** Delete the survey from the ASE Recycler
- A) From ASE, expand the **Recycle** listing.
- B) Right-click the Survey listing and select **Delete**.
- C) Select **Yes** at the message, "**Are you sure you want to permanently remove this facility's recycled surveys?**".
- 75.** Begin preparations for the next survey.