



**State of Florida**  
**Agency for Persons with Disabilities**

Harmony for iConnect  
QA – Alert Remediation Training Manual – Updated July 2024

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## Chapter 17 | QA- Alert Remediation



When the Qlarant reviewer identifies an issue during the Provider Discovery, Person Centered Review, Health, Safety, Right, or Abuse/Neglect/Exploitation or the Abuse Hotline is contacted, they will email the specific region that the Provider reports to prior to leaving the site to inform the region of the Alert findings.

The QA Workstream Worker or appropriate person will call the Provider to immediately discuss the Alert.

**IMPORTANT:** APD will complete and review the CAP in the Provider record to ensure it is correct. APD will then contact the Provider with the appropriate letter according to the plan of remediation type. The provider can begin working on the CAP once this letter has been received.

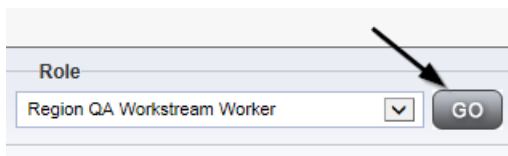
**Do not work on any CAP within your record before the APD QA Liaison has contacted you as this may result in additional items being added to your CAP.**

### Add CAP Record for Alert

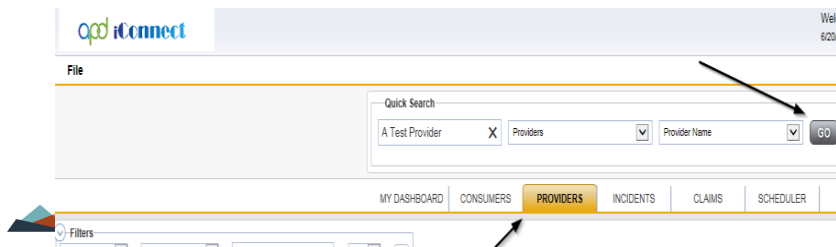


The QA Workstream Worker will create the CAP record for the Alert.

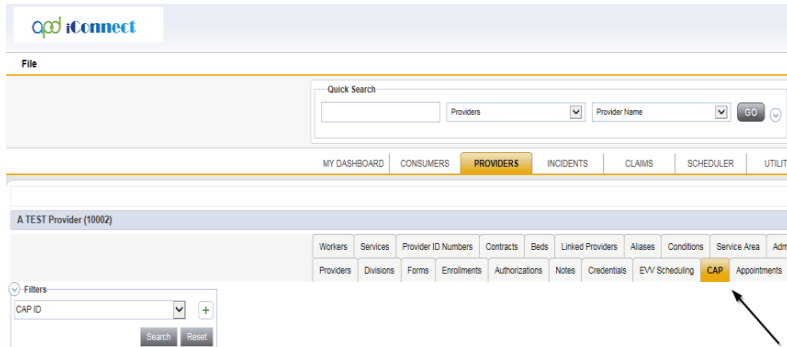
1. Set "Role" = Region QA Workstream Worker then click **Go**



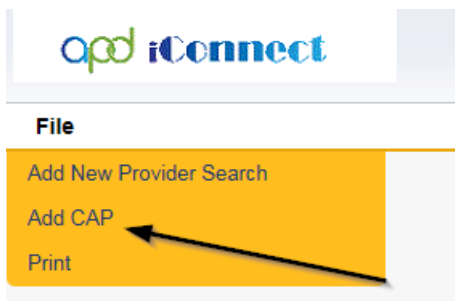
2. Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click go.



3. Navigate to the **Providers > CAP** tab



4. Select **File > Add CAP**



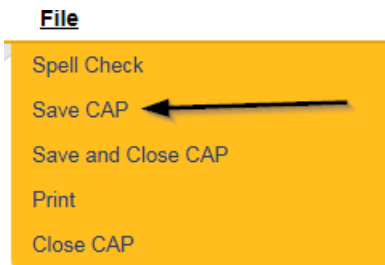
5. Update the following fields:

- a. "CAP Type" = Plan of Remediation - Alert
- b. "Date of CAP" = Enter Date
- c. "Associated Form ID#" = Enter Form ID if applicable
- d. "Date Provider Notified" = Enter Date
- e. "CAP Due Date" = Enter Date
- f. "Status" = Pending
- g. "Comments" = Enter if applicable
- h. "QA Workstream Worker" = Click the Lookup button to add the appropriate worker

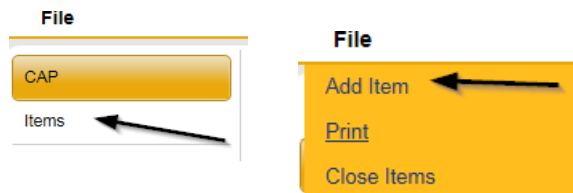
The screenshot shows the 'CAP' form in the iConnect system. The form includes the following fields with arrows pointing to them:

- CAP ID: 152
- CAP Type: Plan of Remediation - Alert
- Review Type\*
- Date of CAP\*: 11/01/2023
- Region\*
- Associated Form ID#
- Date Provider Notified\*: 11/01/2023
- CAP Due Date\*: 11/08/2023
- Status: Pending
- Date Verified Complete by APD Staff
- Comments
- QA Workstream Worker
- QA Workstream Lead

6. When finished, select **File > Save CAP**



7. Click "Items" on the left-hand navigation menu and then **File > Add Item**



8. Update the following fields:
- "Action Type" = Alert
  - "Discovery Source" = QIO Report
  - "Remediation Type" = POR
  - "Employee Involved" = Enter Name if applicable

- e. "Standard Not Met Description" = Click the ellipsis to add the appropriate Standard Not Met. Findings not specific to a standard should be listed in the Comments field.
- f. "Comments" = Enter Comments
- g. "Item Status" = Pending
- h. "Due Date" = Enter Date
- i. "Provider Worker" = Click the Lookup button to add the worker if applicable



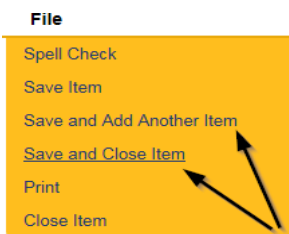
*Pro-Tip: Uncheck box next to "Limit search results to my provider workers" to see all workers*

- j. "Corrective Action Required" = Enter Information



If additional items need to be added, then repeat steps 7 and 8 as necessary by selecting **File > Save and Add Another Item** for each new item.

9. When finished, select **File > Save and Close Item**



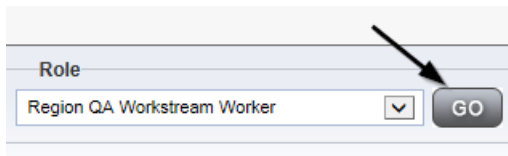
If a PAARF is needed, proceed to Chapter 13, and follow the PAARF process.

### Generate Initial Alert Contact Letter

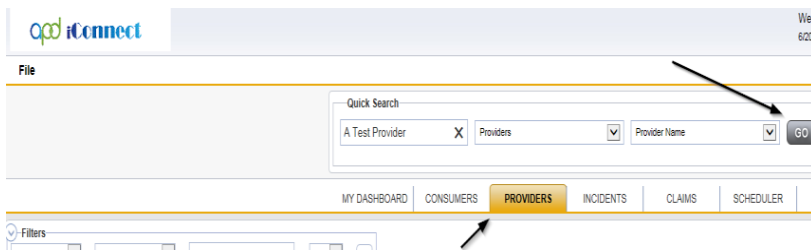


The QA Workstream Worker will generate the Initial Alert Contact Letter and include the CAP ID# in the documentation.

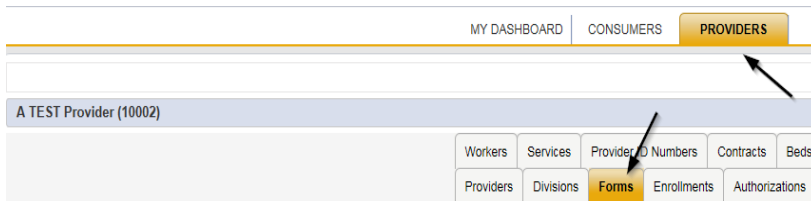
1. Set “Role” = Region QA Workstream Worker then click **Go**



2. Navigate to the **Providers** chapter and enter the Provider’s name in the Quick Search filter and click go.

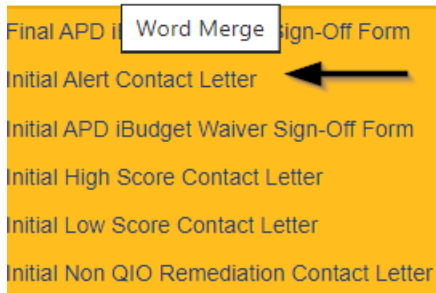


3. The Provider’s record will display. Navigate to the **Providers > Forms** tab



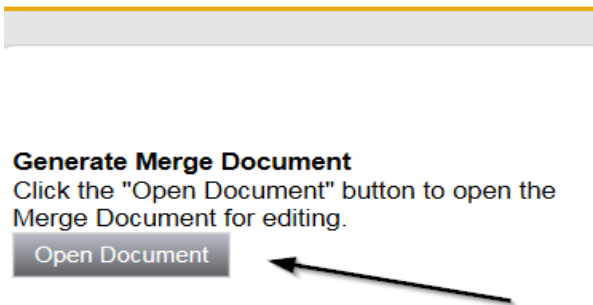
4. Select **Word Merge > Initial Alert Contact Letter**

**Word Merge**



5. Select **Open Document** to open the Word Merge document for editing

**File**



6. Save the Word Merge Document to the computer desktop by clicking the **Save** button and then **Open**





Ron DeSantis  
Governor

■■■

Taylor Hatch  
Director

■■■

State Office  
4030 Esplanade Way  
Suite 380  
Tallahassee, FL 32399-0950

■■■

Northwest Region  
4030 Esplanade Way  
Suite 280  
Tallahassee, FL 32399-2949

■■■

Northeast Region  
3631 Hodges Boulevard  
Jacksonville, FL 32224

■■■

Central Region  
400 West Robinson Street

Click here to enter a date.

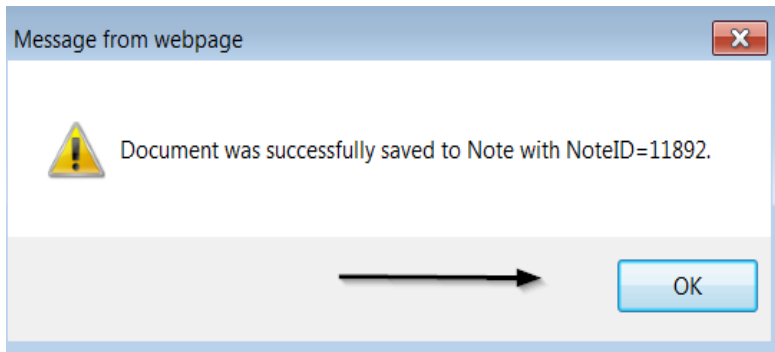
Test Provider  
John Test  
9125 Branchwater Ct,  
Jacksonville, FL 32244

Re: Alert Plan of Remediation

Dear John Test:

The Agency for Persons with Disabilities (APD) is in receipt of an Alert reported by the Quality Improvement Organization. This letter is a follow-up to our initial contact on [Click here to enter a date](#). Identified Alerts are issues related to health, safety, rights, abuse, neglect or exploitation. Per the APD Quality Management System Operating Procedure #4-0007 (Section A), a Plan of Remediation (POR) is required to ensure immediate action and substantial improvement has occurred on the part of the responsible service provider.

7. **Edit** the Word Merge Document as necessary
8. When finished with editing the Word Merge Document, click **File > Save as** to save the updated Word Merge to a specified folder on the user’s desktop
9. In iConnect, Click **Upload and Save to Note** after saving the word document
10. Select the file name on the computer desktop and then Click **Open** to open the word document and then click **OK** on the pop-up message box



11. Update the following fields on the Notes Detail Screen

- a. "Division" = APD
- b. "Associated Form ID#" = Enter ID if applicable
- c. "Note Type" = Alert Notification
- d. "Note Subtype" = Alert Contact Letter
- e. "Description" = Alert Contact Letter
- f. "Note" = Enter notes
- g. "Status" = Complete
- h. Click the Lookup button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient (*Note: The user can reference the contact name on Provider demographics to know who to send the note to if needed*)
- i. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

**Notes Details**

Division \*

Note By \*

Note Date \*

Note Type \*

Note Sub-Type

Associated Form ID#

Description

Note 

B I U 16px A

Status \*

Date Completed

---

**Attachments**

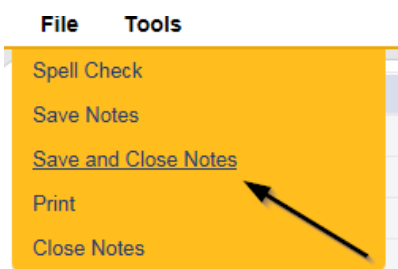
[Add Attachment](#)

Document	Description	Category	Action
<a href="#">alert contact letter</a>			<a href="#">Remove</a>

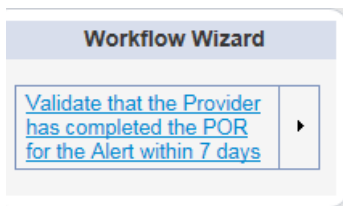
**Note Recipients**

Add Note Recipient:

5. When finished click **File > Save and Close Notes**

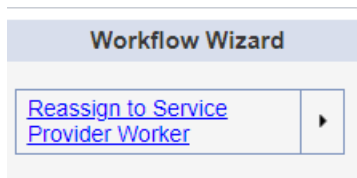


13. Upon saving the note, a Workflow Wizard triggered the reminder tickler that is due in 7 calendar days



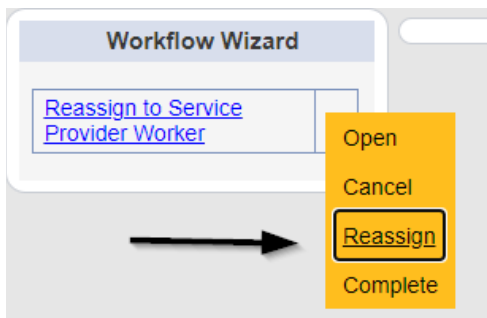
- a. Tickler - “Validate the Provider has completed the POR for the Alert within 7 days”
- b. Assigned to Self (whoever created the note will get the tickler)
- c. Due on the **7<sup>th</sup>** calendar day from the “Plan of Remediation/Alert Contact Letter” completed note

14. Additionally, a second tickler was triggered that needs to be reassigned to a Service Provider Worker immediately.



- a. Tickler - “Reassign to Service Provider Worker”
- b. Assigned to Self (whoever created the note will get the tickler) and they will reassign
- c. Due immediately

15. Click the tickler flyout menu on the “Reassign to Service Provider Worker” and select Reassign.



- Search for and select the Service Provider Worker. Once the worker’s name has been selected, the tickler has been reassigned and will disappear from the QA Workstream Workers tickler list view. The Service Provider worker will retrieve the tickler from their My Dashboard > Provider > Ticklers when they log in to the application.

MEMBERID	Worker	Title	User ID Active
2496	Buck, Jennifer		Yes
1230	Buck, Sarah	Support Coordinator	Yes
15942	Buck, Timothy		Yes
15347	Buckley, Silvia		Yes
21332	BUCKNER, LAVANYA		Yes
21809	Buckner, Shambra		Yes
24156	BUCKNOR, SEAN		Yes

### Access Ticklers



The QA Workstream Worker will login to the application and navigate to the My Dashboard > Provider > Ticklers to review any ticklers.

- Set “Role” = Region QA Workstream Worker then click **Go**.

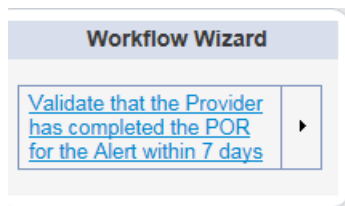
- Navigate to **My Dashboard > Provider > Ticklers** and click on the hyperlink for the Ticklers

3. Change the Sort Order on the Date Created column by clicking the column name once so that the most recent ticklers are displayed first.

75 My Dashboard Ticklers record(s) returned - now viewing 1 through 15

Ticker Name	Provider Name	Date Created	Date Due	Date Completed	Status
Reassign to Supervisor to initiate FSN search on licensee	Test Provider	10/18/2023	10/18/2023		New
Notify Licensing Provider Applicant of any Errors or Omissions	Test Provider	09/27/2023	10/27/2023		New

4. When the Plan of Remediation/Alert Contact Letter note was saved, a Workflow Wizard was triggered to remind the QA Workstream Worker to review in 7 calendar days



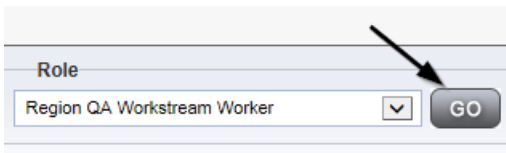
- a. Tickler - “Validate the Provider has completed the POR for the Alert within 7 days”
  - b. Assigned to Self (whoever created the note will get the tickler)
  - c. Due on the **7th** calendar day from the “Plan of Remediation/Alert Contact Letter” completed note
5. The user has visibility to see all ticklers that are due now or in the future.

**As Needed: Conduct Meeting**

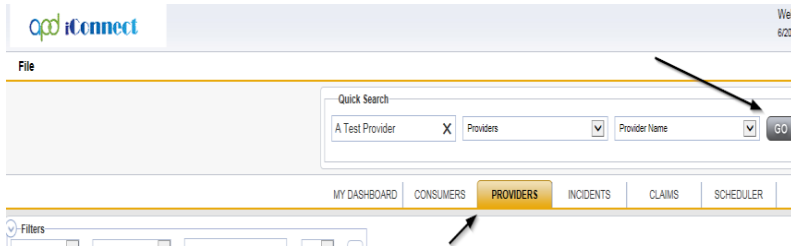


The QA Workstream Worker may conduct a virtual or in person meeting to discuss the incomplete items prior to a Supervisor Review. The QA Workstream Worker will document the meeting specifics in a note.

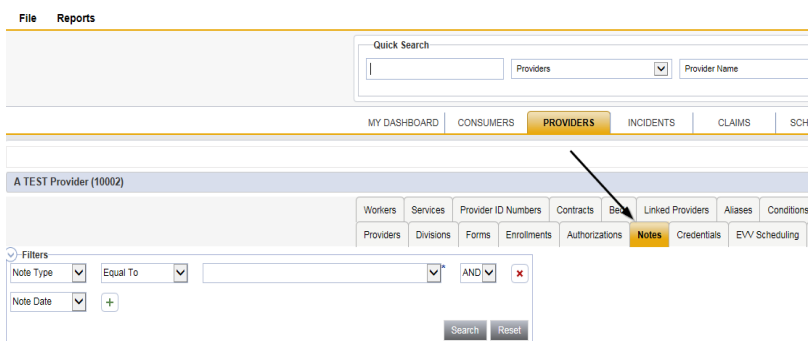
1. Set “Role” = Region QA Workstream Worker then click **Go**



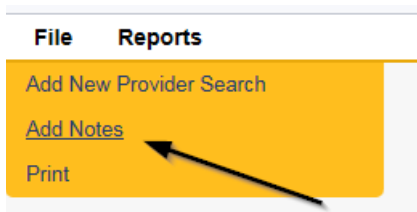
2. Navigate to the **Providers** chapter and enter the Provider’s name in the Quick Search filter and click go.



3. The Provider’s record will display. Navigate to the **Providers > Notes** tab



4. Click **File > Add Notes**



5. In the new Note record, update the following fields:
  - a. "Division" = APD
  - b. "Associated Form ID#" = Enter Form ID if applicable
  - c. "Note Type" = Plan of Remediation
  - d. "Note Subtype" = Visit to Provider
  - e. "Description" = Visit to Provider
  - f. "Enter Note" = Enter notes
  - f. "Status" = Complete

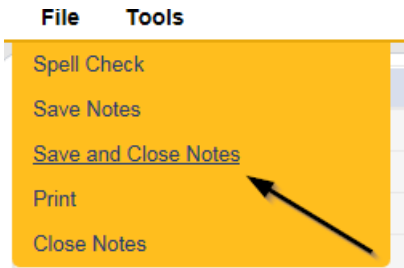
- g. Click the Lookup button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
- h. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

The screenshot shows the 'Notes Details' form in the QoD iConnect application. The form is divided into several sections:

- Notes Details:**
  - Division: APD (dropdown menu)
  - Note By: Reed, Monica (dropdown menu)
  - Note Date: 11/06/2023 (calendar icon)
  - Associated Form ID#: (empty text box)
  - Note Type: Plan of Remediation (dropdown menu)
  - Note Sub-Type: Visit to Provider (dropdown menu)
  - Description: Visit to Provider (text box)
- Note:**
  - Text: Document on site visit meeting with the Provider
- Status:** Complete (dropdown menu)
- Date Completed:** 11/06/2023
- Attachments:** Add Attachment (link)
- Document:** There are no attachments to display
- Note Recipients:** Add Note Recipient (text box), Lookup (button), Clear (button)

6. When finished click **File > Save and Close Notes**





### Update Plan of Remediation

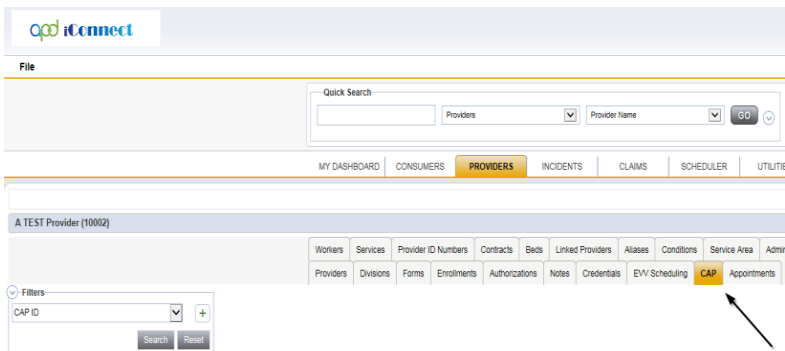


The Service Provider will receive notification of the Alert Contact Letter note and tickler on My Dashboard. They will review the CAP record and item details and enter the corrective action taken for each item.

1. Set "Role" = Service Provider then click **Go**



2. The Provider's record will display. Navigate to the **Providers > CAP** tab



3. Select the appropriate CAP record via the hyperlink

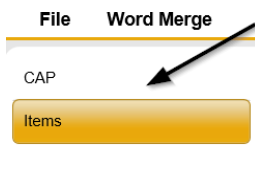
Filters

CAP ID

19 CAP record(s) returned - now viewing 1 through 15

CAP ID	QIO Report Number	Date Provider Notified	Status	Number of Alerts	Number of Items	Licensing Worker	POR Worker	Overall Corporate PDR Score
1	<a href="#">↗</a>	02/05/2018	Pending	5	2		Reed, Monica	
2		02/05/2018	Complete		2			
3		02/09/2018	Pending		2			

4. Click the Items link on the left-hand navigation menu



5. Select an Item via the hyperlink in the list view grid

Item Number	QIO Category	Remediation Type	Standard Not Met	Item Status	Due Date	Complete Date	Worker	Action Type
4455		<a href="#">↗</a>	8,010 (3)	Pending	02/01/2018	02/05/2018	Buck, Jennifer	Regional QA
		Licensing	1	Pending			Reed, Monica	Licensing
	Rights	POR		Complete	10/10/2018	10/12/2018		Alert

6. Enter the Corrective Action Required information and Click Append to Text to Note

**Summary**

Item ID: 691

Action Type: Alert \*

Discovery Source\*: QIO Report

Remediation Type\*: POR \*

Employee Involved\*:

Standard Not Met Description\*: 1 Complete and signed Participant/Representative Agreement is available for review.

Comments:

Item Status: Pending

Potential Billing Discrepancy Amount:

Due Date: 08/01/2023

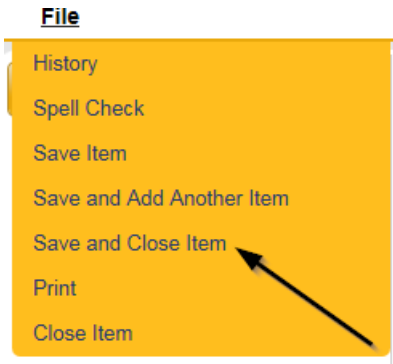
Provider Worker:

Corrective actions listed here  
On 12/20/2023 at 3:43 PM, Jennifer Buck wrote: Corrective actions provided

Corrective Action Required:

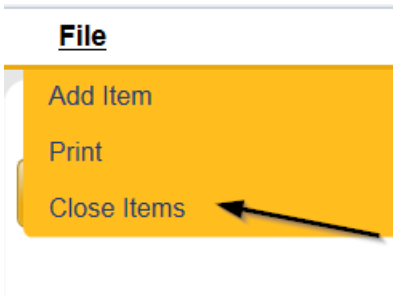
Evidence of Completion:

7. When finished, Click **File > Save and Close Item**

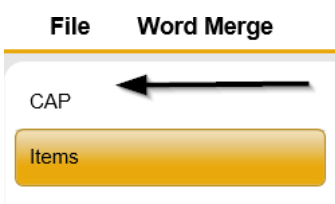


Repeat steps 4-7 for each item that needs to be updated

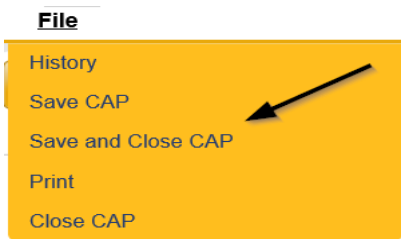
8. Click **File > Close Items**



9. Click **File > CAP** on the left-hand navigation menu



10. Select **File > Save and Close CAP**

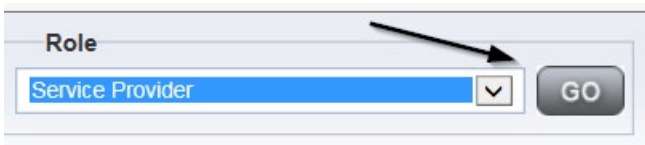


### CAP Submitted

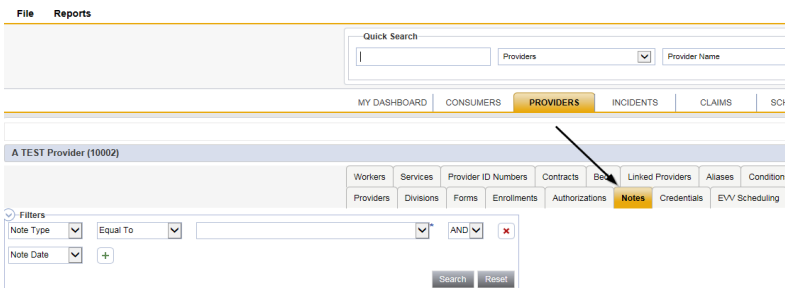


The Service Provider will add a new note to advise the QA Workstream worker that the CAP items have been updated and attach any supporting documents.

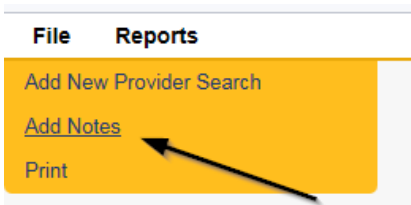
1. Set "Role" = Service Provider then click **Go**



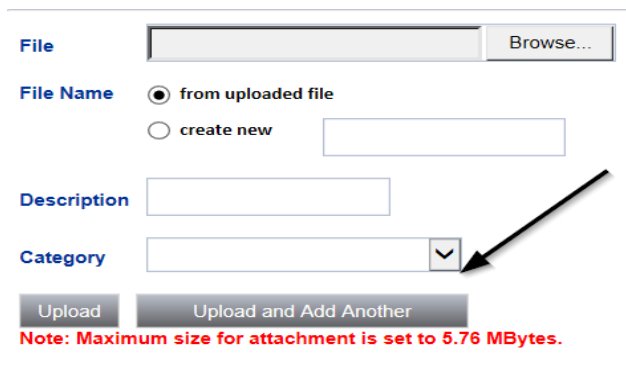
2. Navigate to the **Providers > Notes** tab



3. Click **File > Add Notes**



4. In the new Note record, update the following fields:
  - a. "Division" = APD
  - b. "Note Type" = Plan of Remediation
  - c. "Note Subtype" = CAP Submitted
  - d. "Description" = CAP Submitted
  - e. "Enter Note" = Enter notes
  - f. "Status" = Complete
  - g. Click "Add Attachment" and search for the copy of the supporting documentation on the user's computer. Click Upload and Add Another until finished



- h. Click the Lookup button on the "Add Note Recipient" to add the [QA Workstream Worker](#) as the Note Recipient
- i. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

**opd iConnect**

File Tools

**Notes Details**

Division \* APD

Note By \* Reed, Monica

Note Date \* 11/06/2023

Note Type \* Plan of Remediation

Note Sub-Type \* CAP Submitted

Description CAP Submitted

Note

Status \* Complete

Date Completed 11/06/2023

Attachments

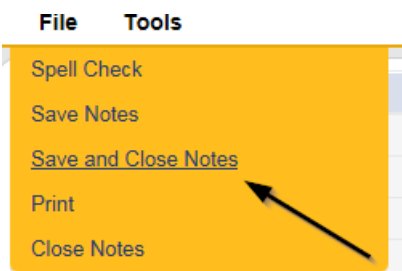
[Add Attachment](#)

Document	Description
There are no attachments to display	

Note Recipients

Add Note Recipient:

5. When finished click **File > Save and Close Notes**

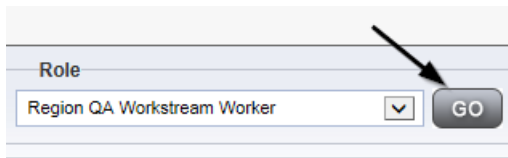


### Submit for Supervisor Review

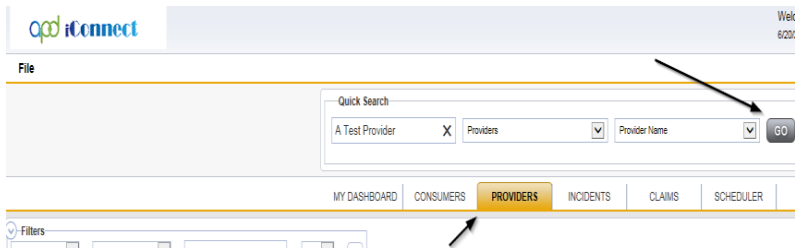


The QA Workstream Worker will receive notification of the CAP submitted/revised or further documentation note on My Dashboard. They will review the documentation for completeness and send a note for the QA lead to review the CAP record.

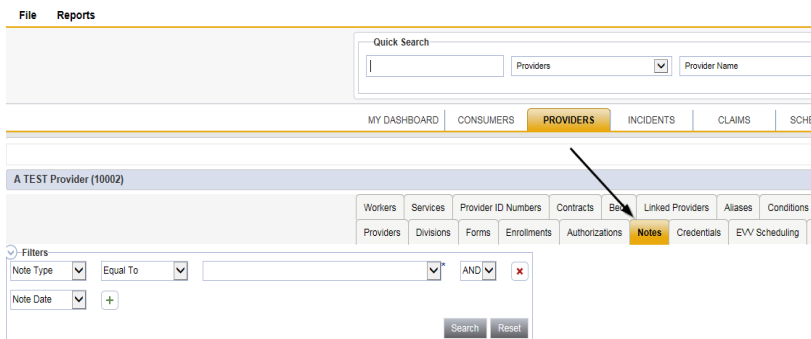
1. Set “Role” = Region QA Workstream Worker then click **Go**



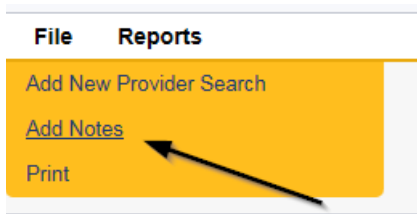
2. Navigate to the **Providers** chapter and enter the Provider’s name in the Quick Search filter and click go.



3. The Provider’s record will display. Navigate to the **Providers > Notes** tab



4. Click **File > Add Notes**

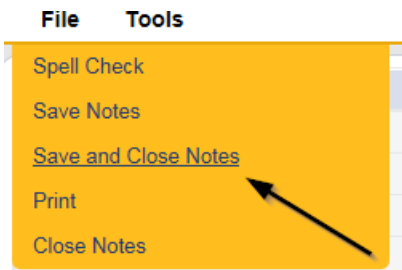


5. In the new Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID if applicable
  - b. "Note Type" = Plan of Remediation/Supervisor Review
  - c. "Note" = Enter notes
  - d. "Status" = Pending
  - e. Click the Lookup button on the "Add Note Recipient" to add the *QA Workstream Worker/Lead* as the Note Recipient

- f. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note



- When finished click **File > Save and Close Notes**

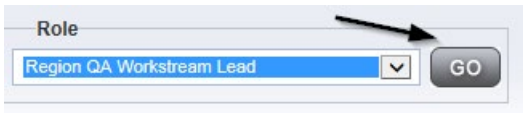


### Supervisor Approval

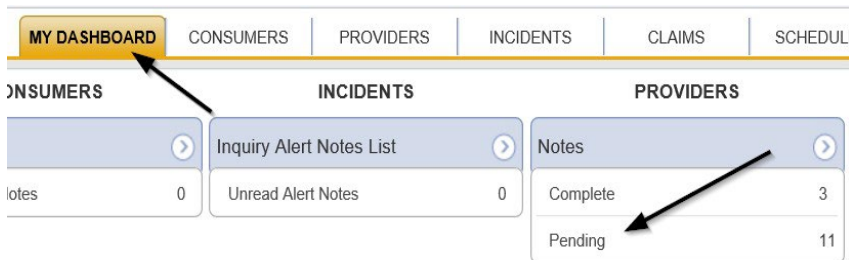


The QA Workstream Supervisor OR Lead will respond to the pending note from the QA Workstream Worker with approval. If denied, proceed to [CAP Rejected](#) or [Further Documentation Required](#)

- Set "Role" = Region QA Workstream Worker/Lead then click **Go**



- Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.



- Select the **Note Type = Plan of Remediation/Supervisor Review** and select the pending record via the hyperlink.



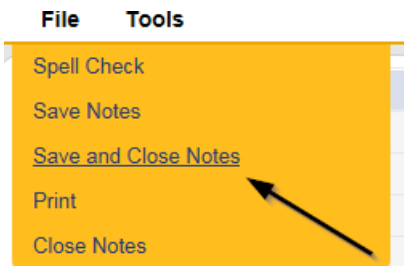
4. In the pending Note record, update the following fields:
  - a. "Note Type" = Plan of Remediation/Supervisor Approval
  - b. "Append Text to Notes" = Enter notes to indicate review complete and approved and then click Append Text to Note
  - c. "Status" = Update to Complete
  - d. Click the Lookup button on the "Add Note Recipient" to add the [QA Workstream Worker](#) as the Note Recipient
  - e. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

The screenshot shows the 'Notes Details' form. Key fields include:
 

- Division: APD
- Note By: Reed, Monica
- Note Date: 11/08/2023
- Note Type: Plan of Remediation/Supervisor Approval
- Status: Complete
- Date Completed: 11/08/2023

 A 'New Text' editor is open, showing the text 'Enter notes to indicate review complete and approved'. Arrows point to the 'Note Type', 'Status', and 'Date Completed' fields.

5. When finished click **File > Save and Close Notes**

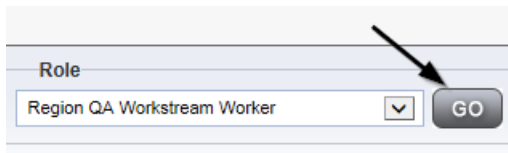


### Update CAP Item

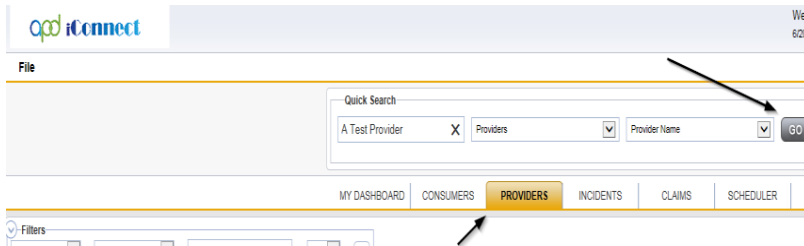


The QA Workstream Worker/Lead will review the CAP record and then close out each CAP item as either Complete, CAP Rejected, CAP Late or CAP Not Compliant.

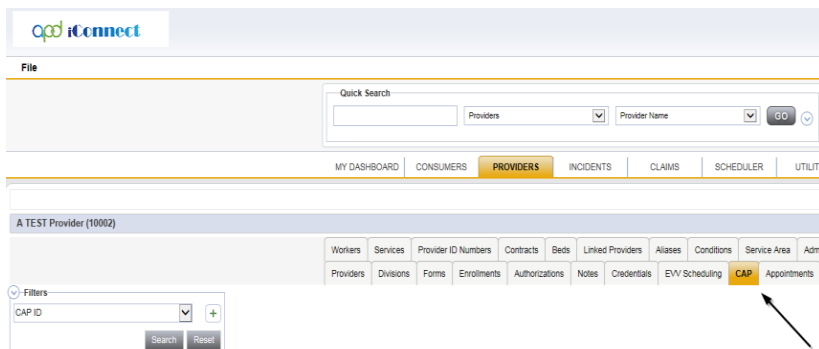
1. Set "Role" = Region QA Workstream Worker then click **Go**



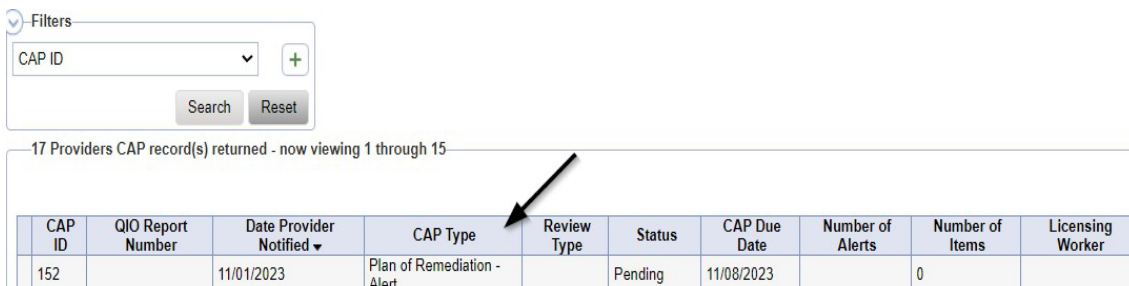
2. Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click go.



3. The Provider's record will display. Navigate to the **Providers > CAP** tab



4. Select the appropriate CAP record via the hyperlink



5. Click the Items link on the left-hand navigation menu

File Reports

CAP

← Items

CAP

CAP ID

CAP Type

6. Select an Item via the hyperlink in the list view grid

Item Number	QIO Category	Remediation Type	Standard Not Met	Item Status	Due Date	Complete Date	Worker	Action Type
4455		POR	8.010 (3)	Pending	02/01/2018	02/05/2018	Buck, Jennifer	Regional QA
		Licensing	1	Pending			Reed, Monica	Licensing
	Rights	POR		Complete	10/10/2018	10/12/2018		Alert

7. In the Item Detail, update the following fields:

If the **Item is Complete**:

- a. "Item Status" = Complete
- b. "Complete Date" = Enter Date
- c. "Evidence of Completion" = Document that the item was reviewed/approved for the corrective action noted. "Click Append Text to Note."

**Summary**

Item ID

Item Number

Action Type

Discovery Source

Remediation Type

QIO Category

Employee Involved

Standard Not Met Description

Reason Not Met

Item Status  ←

Due Date  ←

Complete Date  ←

Worker

Corrective Action Required

Evidence of Completion

On 10/12/2018 at 5:06 PM, Monica Reed wrote: Append text

New Text

Append Text to Note

New Text

**If the Item is Rejected:**

- a. "Comments" = Enter comments as to why CAP item is being rejected. Select Append Text to Note.
- b. "Item Status" = CAP Rejected

Summary	
Item ID	691
Action Type	Alert
Discovery Source*	QIO Report
Remediation Type*	POR
Employee Involved*	
Client Reviewed*	
Standard Not Met Description	1 Complete and signed Participant/Representative Agreemer ... Clear
Comments	New Text Comments why it was rejected
	Append Text to Note
Item Status	CAP Rejected
Due Date	08/01/2023
Provider Worker	Lookup Clear
Corrective Action Required	corrective actions listed here On 12/20/2023 at 3:43 PM, Jennifer Buck wrote: Corrective actions provided
	New Text Append Text to Note
Evidence of Completion	New Text
	Append Text to Note

**If the Item is Late:**

- a. "Item Status" = CAP Late

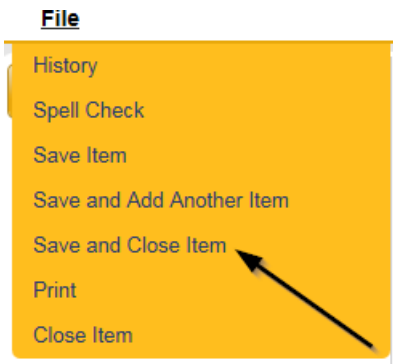
Summary	
Item ID	691
Action Type	Alert
Discovery Source*	QIO Report
Remediation Type*	POR
Employee Involved*	
Client Reviewed*	
Standard Not Met Description	1 Complete and signed Participant/Representative Agreement <span>Clear</span>
Comments	New Text
	Append Text to Note
Item Status	CAP Late
Due Date	08/01/2023
Provider Worker	<span>Lookup</span> <span>Clear</span>
Corrective Action Required	corrective actions listed here On 12/20/2023 at 3:43 PM, Jennifer Buck wrote: Corrective actions provided
	New Text
	Append Text to Note
Evidence of Completion	New Text
	Append Text to Note

**If the Item is Not Compliant:**

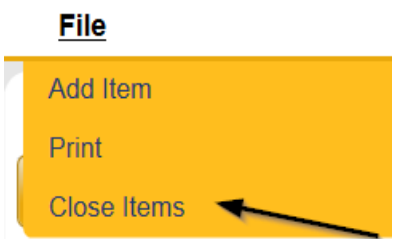
- a. "Item Status" = CAP Not Compliant

Summary	
Item ID	688
Action Type	Alert
Discovery Source*	APD Audit
Remediation Type*	POR
Employee Involved*	John Smith
Client Reviewed*	
Standard Not Met Description	<span>Clear</span>
Comments	Alert Comment
	New Text
	Append Text to Note
Item Status	CAP Not Compliant
Due Date	
Provider Worker	<span>Lookup</span> <span>Clear</span>
Corrective Action Required	New Text
	Append Text to Note
Evidence of Completion	New Text
	Append Text to Note

- When finished, Click **File > Save and Close Item**



- Click **File > Close Items**

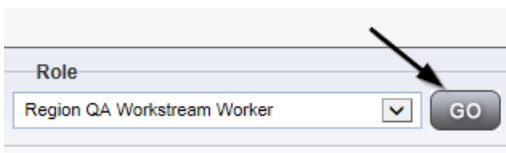


**As Needed: Update CAP Detail Record**



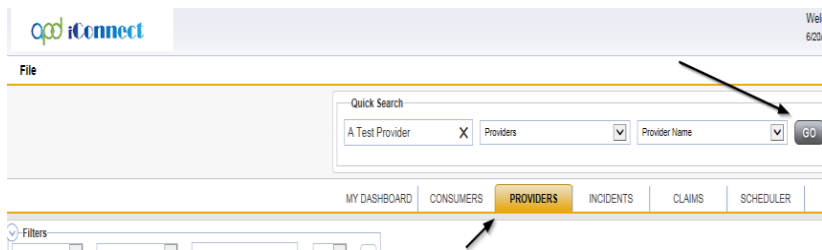
Once all items are Complete, CAP Late, CAP Not Compliant or CAP Rejected, the QA Workstream Worker/Lead will update the CAP Detail Record status.

- Set "Role" = Region QA Workstream Worker then click **Go**

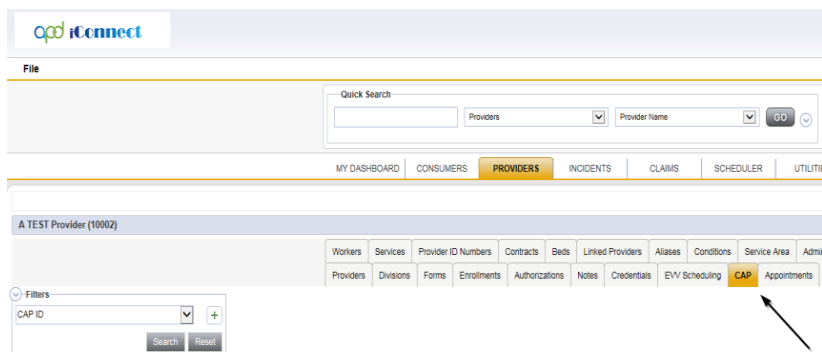


- Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click go.

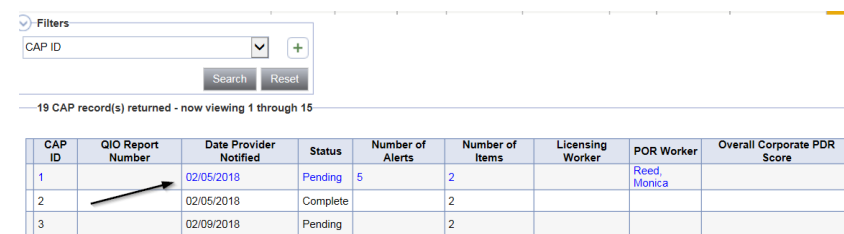




3. The Provider’s record will display. Navigate to the **Providers > CAP** tab



4. Select the appropriate CAP record via the hyperlink



5. **If all CAP items are Complete**, then update the CAP record status to Complete.

On the CAP Detail page, update the following fields:

- a. "Status" = Complete
- b. "Date Verified Complete by APD Staff" = Enter Date
- c. "Comments" = Enter comments if applicable
- d. "QA Workstream Worker" = Select worker
- e. "QA Workstream Lead" = Select worker

The screenshot shows a CAP form with the following fields and values:

- CAP ID: 152
- CAP Type: Plan of Remediation - Alert
- Review Type\*: (empty)
- Date of CAP\*: 11/01/2023
- Region\*: (empty)
- Associated Form ID#: (empty)
- Date Provider Notified\*: 11/01/2023
- CAP Due Date\*: 11/08/2023
- Status: Complete
- Date Verified Complete by APD Staff: (empty)
- Comments: (empty text area)
- QA Workstream Worker: (empty)
- QA Workstream Lead: (empty)

Arrows in the image point to the CAP Type, Status, Date Verified Complete by APD Staff, and Comments fields.

If all CAP items are Rejected, then update the CAP record status to CAP Rejected.

- "Status" = CAP Rejected
- "Comments" = Enter Comments if applicable
- "QA Workstream Worker" = Select Worker
- "QA Workstream Lead" = Select Worker

The screenshot shows the CAP form with the following fields and values:

- CAP ID: 152
- CAP Type: Plan of Remediation - Alert
- Review Type\*: (empty)
- Date of CAP\*: 11/01/2023
- Region\*: (empty)
- Associated Form ID#: (empty)
- Date Provider Notified\*: 11/01/2023
- CAP Due Date\*: 11/08/2023
- Status: CAP Rejected
- Date Verified Complete by APD Staff: (empty)
- Comments: (empty text area)
- QA Workstream Worker: (empty)
- QA Workstream Lead: (empty)

Arrows in the image point to the Status, Comments, QA Workstream Worker, and QA Workstream Lead fields.



Proceed to [CAP Revision Note](#)

**If all CAP items are Late**, then update the CAP record status to CAP Late.

- a. "Status" = CAP Late
- b. "Comments" = Enter Comments if applicable
- c. "QA Workstream Worker" = Select Worker
- d. "QA Workstream Lead" = Select Worker

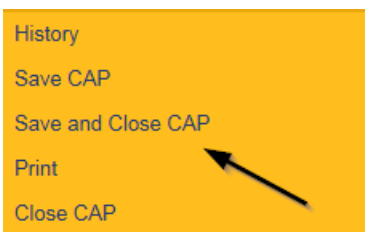
CAP	
CAP ID	152
CAP Type	Plan of Remediation - Alert
Review Type*	
Date of CAP*	11/01/2023
Region*	
Associated Form ID#	
Date Provider Notified *	11/01/2023
CAP Due Date *	11/08/2023
Status	CAP Late
Date Verified Complete by APD Staff	
Comments	<div style="border: 1px solid #ccc; padding: 5px;"> <div style="border-bottom: 1px solid #ccc; margin-bottom: 5px;"> <span>B</span> <span>I</span> <span>U</span> <span>16px</span> <span>A</span> </div> </div>
QA Workstream Worker	<input type="text"/> <span>Lookup</span> <span>Clear</span>
QA Workstream Lead	<input type="text"/> <span>Lookup</span> <span>Clear</span>

**If all CAP items are Not Compliant**, then update the CAP record status to CAP Not Compliant.

- a. "Status" = CAP Not Compliant
- b. "Date Submitted by Provider" = Enter Date

CAP	
CAP ID	152
CAP Type	Plan of Remediation - Alert
Review Type*	
Date of CAP*	11/01/2023
Region*	
Associated Form ID#	
Date Provider Notified *	11/01/2023
CAP Due Date *	11/08/2023
Status	CAP Not Compliant
Date Verified Complete by APD Staff	
Comments	<div style="border: 1px solid gray; padding: 5px;"> <div style="border-bottom: 1px solid gray; padding-bottom: 5px;"> <span style="font-weight: bold;">B</span> <span style="font-style: italic;">I</span> <span style="border-bottom: 1px solid black; display: inline-block; width: 1em;"></span> 16px <span style="font-weight: bold;">A</span> </div> <div style="height: 100px;"></div> </div>
QA Workstream Worker	<input type="text"/> <span>Lookup</span> <span>Clear</span>
QA Workstream Lead	<input type="text"/> <span>Lookup</span> <span>Clear</span>

6. When finished, Click **File > Save and Close CAP**

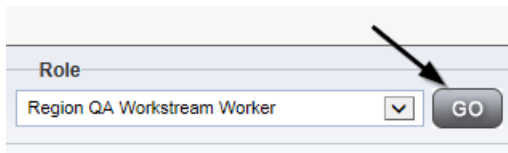


### Service Provider Notification

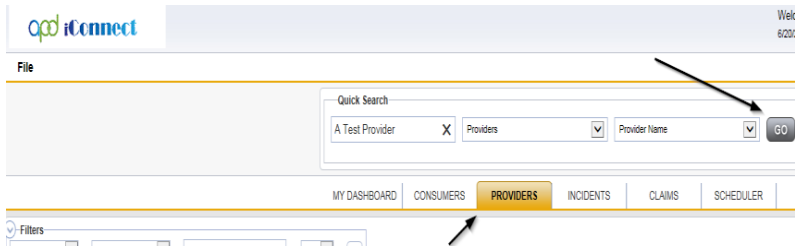


The QA Workstream Worker will receive notification of the Supervisor Approval on My Dashboard. They will then add a new note to notify the Service Provider.

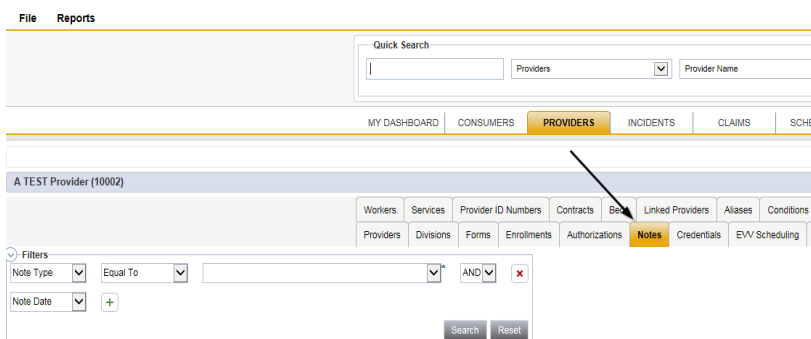
1. Set “Role” = Region QA Workstream Worker then click **Go**



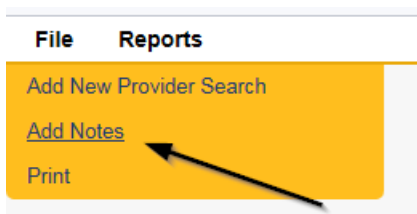
2. Navigate to the **Providers** chapter and enter the Provider’s name in the Quick Search filter and click go.



3. The Provider’s record will display. Navigate to the **Providers > Notes** tab



4. Click **File > Add Notes**



5. In the new Note record, update the following fields:
  - a. “Associated Form ID#” = Enter Form ID if applicable
  - b. “Note Type” = Plan of Remediation
  - c. “Note Subtype” = CAP Accepted

- d. "Description" = CAP Accepted
- e. "Note" = Enter notes
- f. "Status" = Complete
- g. Click the Lookup button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
- h. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

**Notes Details**

Division \* APD

Note By \* Reed, Monica

Note Date \* 11/28/2023

Associated Form ID# 352

Note Type \* Plan of Remediation

Note Sub-Type CAP Accepted

Description CAP Accepted

Note

Status \* Complete

Date Completed 11/28/2023

**Attachments**

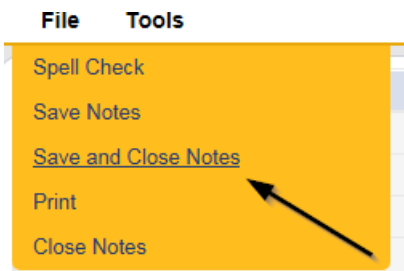
[Add Attachment](#)

Document	Description
There are no attachments to display	

**Note Recipients**

Add Note Recipient:

6. When finished click **File > Save and Close Notes**

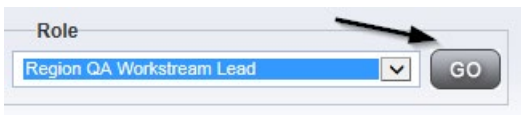


**As Needed: Further Documentation Required**

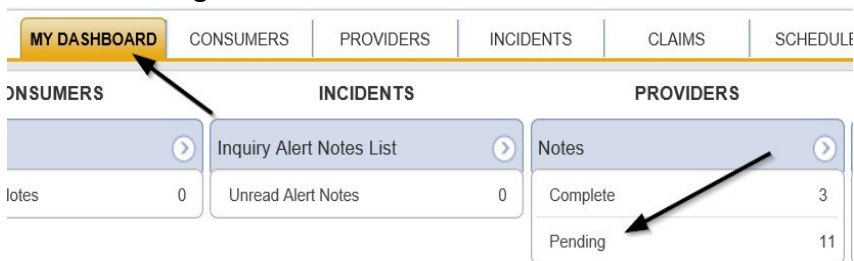


If the QA Workstream Worker/Lead determines that not all POR components are complete and further documentation is required, they will update the pending note.

1. Set "Role" = Region QA Workstream Worker/Lead then click **Go**



2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.



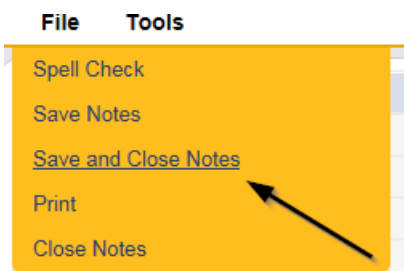
3. Select the **Note Type = Plan of Remediation/Supervisor Review** and select the pending record via the hyperlink.



4. In the pending Note record, update the following fields:
  - a. "Note Type" = Leave as Plan of Remediation/Supervisor Review
  - b. "Note Subtype" = Update to Further Documentation Required
  - c. "Description" = Update to Further Documentation Required
  - d. "Note" = Enter notes as to what evidence is required
  - e. "Status" = Update to Complete
  - f. Click the Lookup button on the "Add Note Recipient" to add the *QA Workstream Worker* as the Note Recipient
  - g. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note



5. When finished click **File > Save and Close Notes**

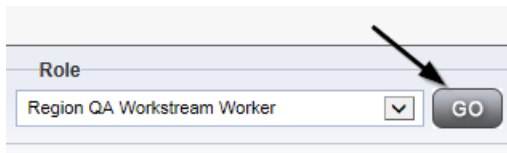


**As Needed: Notify Service Provider**

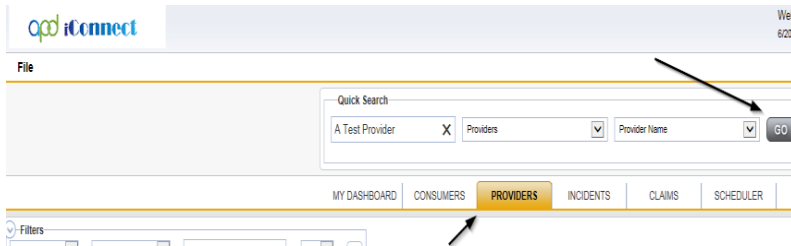


The QA Workstream Worker will receive notification of the Further Documentation Required note on My Dashboard. They will then add a new note to notify the Service Provider.

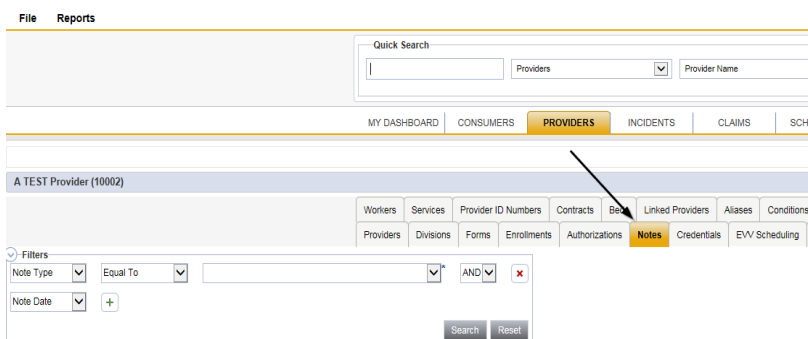
1. Set "Role" = Region QA Workstream Worker then click **Go**



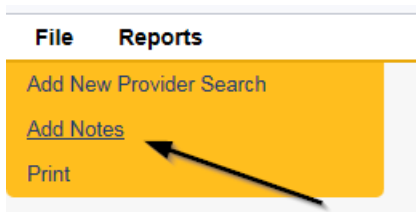
2. Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click go.



3. The Provider's record will display. Navigate to the **Providers > Notes** tab



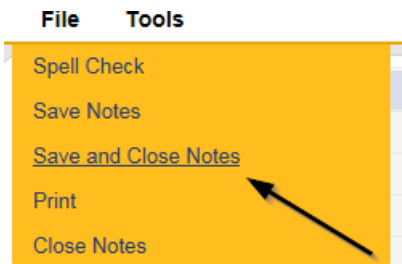
4. Click **File > Add Notes**



5. In the new Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID if applicable
  - b. "Note Type" = Plan of Remediation
  - c. "Note Subtype" = Further Documentation Required

- d. "Description" = Further Documentation Required
- e. "Note" = Enter notes
- f. "Status" = Pending
- g. Click the Lookup button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
- h. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

6. When finished click **File > Save and Close Notes**



**As Needed: Service Provider Response**



The Service Provider will receive notification of the Further Documentation Required Note and will respond by entering notes and attaching the requested documentation.

1. Set "Role" = Service Provider then click **Go**

2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.

3. Select the **Note Type = Plan of Remediation** and **Note Subtype = Further Documentation Required** and select the pending record via the hyperlink.

Provider	Note Type	Note Date	Description	Author	Status
Test Provider	Plan of Remediation	11/08/2023	Further Documentation Required	Reed, Monica	Pending

4. In the pending Note record, update the following fields:
  - a. "Append Text to Note" = Enter Notes as to what is being provided
  - b. Click "Add Attachment" and search for the copy of the supporting documentation on the user's computer. Click Upload and Add Another until finished

**File**

**File Name**  from uploaded file  
 create new

**Description**

**Category**

**Note: Maximum size for attachment is set to 5.76 MBytes.**

- c. Click the Lookup button on the "Add Note Recipient" to add the *QA Workstream Worker* as the Note Recipient
- d. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

**Notes Details**

Division \*

Note By \*

Note Date \*

Associated Form ID#

Note Type \*

Note Sub-Type

Description

Note

**New Text**

10pt

Status \*

Date Completed

**Attachments**

[Add Attachment](#)

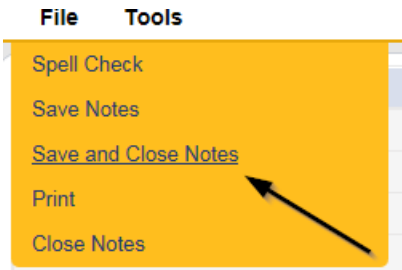
Document Description

There are no attachments to display

**Note Recipients**

Add Note Recipient:

5. When finished click **File > Save and Close Notes**



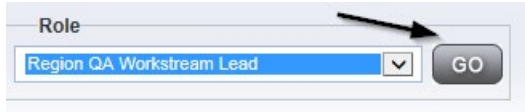
**As Needed: Further Documentation Provided**



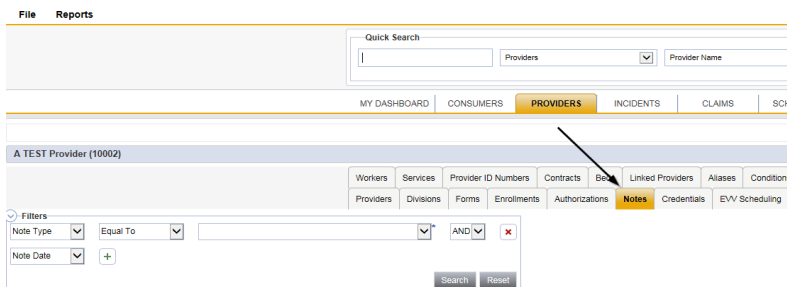
The QA Workstream Worker will receive notification of the Further Documentation Required Note. They will review and if complete, add a new note to notify the QA Workstream Lead.

Proceed to [Supervisor Approval](#) when finished.

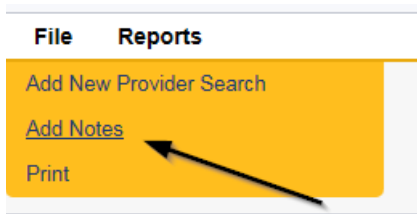
1. Set "Role" = Region QA Workstream Worker/Lead then click **Go**



2. Navigate to the **Providers > Notes** tab

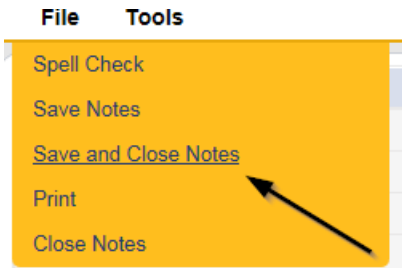


3. Click **File > Add Notes**



4. In the new Note record, update the following fields:
  - a. "Note Type " = Plan of Remediation/Supervisor Review
  - b. "Note Subtype" = Further Documentation Provided
  - c. "Description" = Further Documentation Provided
  - e. "Notes" = Enter Notes
  - f. "Status" = Pending
  - g. Click the Lookup button on the "Add Note Recipient" to add the [QA Workstream Lead](#) as the Note Recipient
  - h. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

5. When finished click **File > Save and Close Notes**



Proceed to [Supervisor Approval](#) when finished.

**As Needed: CAP Rejected**



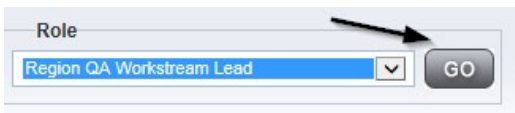
Proceed to [Update CAP Item](#) Step 7 first and update each CAP item to rejected.

Then proceed to [Update CAP Detail Record](#) to update the CAP record to rejected. Once finished, proceed below to [Notify Provider of CAP Rejection](#)

The QA Workstream Lead will update the Plan of Remediation/Supervisor Review pending note if the decision is made to reject the CAP to notify the QA Workstream Worker.

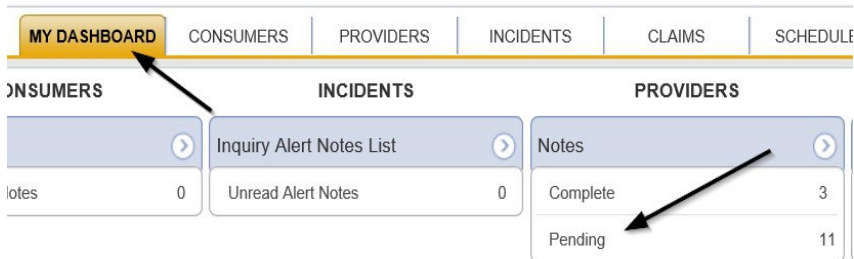
**CAP Rejected** is defined as – Remediation documents submitted by the provider are not what is needed to remediate the identified issues and cannot be revised to meet the requirements. The provider would be required to re-review the citation and resubmit the correct documentation to remediate those items. The provider may still re-submit documentation during the 7-day period.

1. Set "Role" = Region QA Workstream Worker/Lead then click **Go**





- Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.

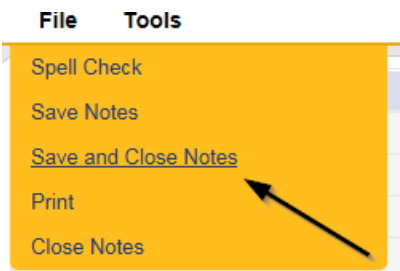


- Select the **Note Type = Plan of Remediation/Supervisor Review** and select the pending record via the hyperlink.



- In the pending Note record, update the following fields:
  - "Associated Form ID#" – Enter if applicable
  - "Note Type" = Leave as Plan of Remediation/Supervisor Review
  - "Note Subtype" = CAP Rejected
  - "Description" = CAP Rejected
  - "Append Text to Notes" = Enter notes to indicate review complete and why the CAP is being rejected
  - "Status" = Update to Complete
  - Click the Lookup button on the "Add Note Recipient" to add the [QA Workstream Worker](#) as the Note Recipient
  - Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

5. When finished click **File > Save and Close Notes**

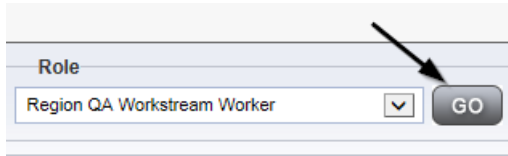


**As Needed: Notify Provider of CAP Rejection**

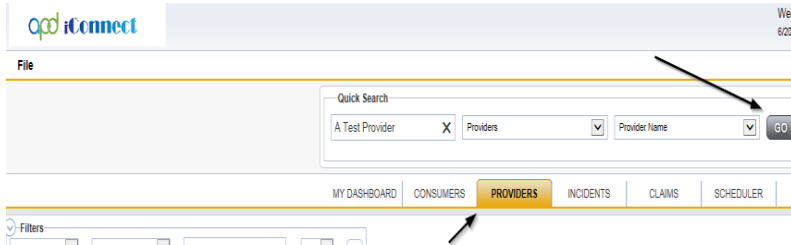


The QA Workstream Worker will add a new note to advise the Service Provider of the CAP rejection.

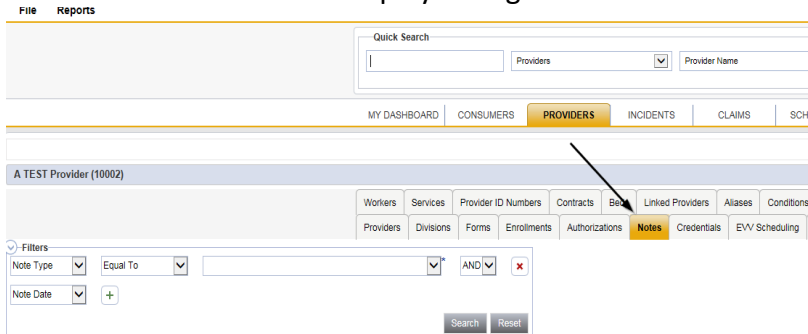
1. Set "Role" = Region QA Workstream Worker then click **Go**



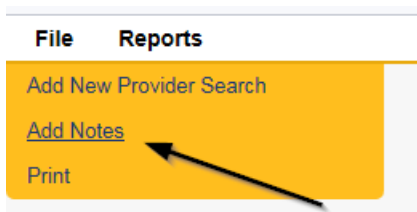
2. Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click go.



3. The Provider's record will display. Navigate to the **Providers > Notes** tab



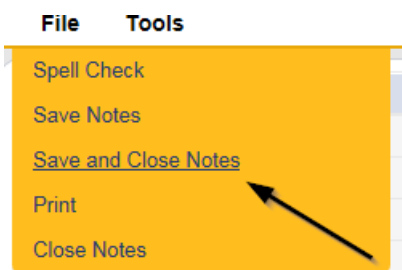
4. Click **File > Add Notes**



5. In the new Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID if applicable
  - b. "Note Type" = Plan of Remediation
  - c. "Note Subtype" = CAP Rejected
  - d. "Description" = CAP Rejected
  - e. "Note" = Enter details as to why CAP is being rejected

- f. "Status" = Pending
- g. Click the Lookup button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
- h. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

6. When finished click **File > Save and Close Notes**

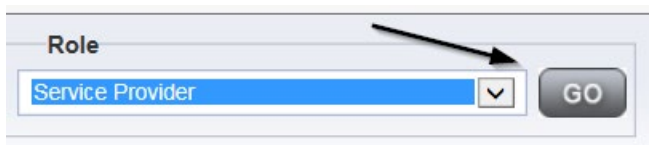


**As Needed: CAP Revision Note**

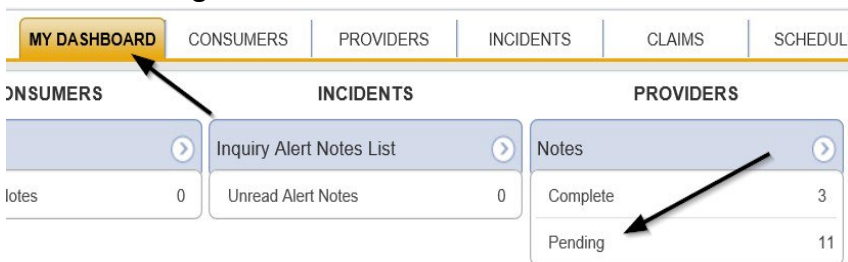


The Service Provider will receive notification on My Dashboard of the CAP Rejected note. They will scan and save and attach a copy of the supporting documentation to their desktop for the requested information, update CAP items as applicable and update the pending CAP Rejected note.

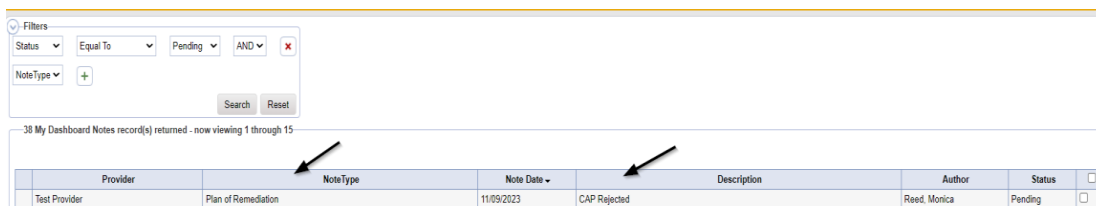
1. Set "Role" = Service Provider then click **Go**



2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.



3. Select the **Note Type = Plan of Remediation** and **Note Subtype = CAP Rejected** and then select the pending record via the hyperlink.

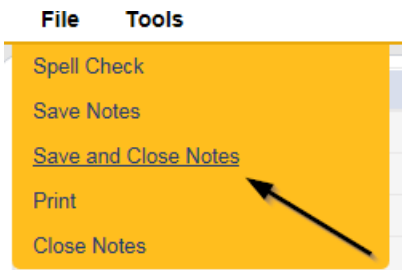


4. In the pending Note record, update the following fields:
  - a. "Note Subtype" = Update to CAP Revised
  - b. "Description" = Update to CAP Revised
  - c. "Status" = Pending

- d. Click "Add Attachment" and search for the copy of the supporting documentation on the user's computer. Click Upload and Add Another until finished

- e. Click the Lookup button on the "Add Note Recipient" to add the *QA Workstream Worker* as the Note Recipient
- f. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

- When finished click **File > Save and Close Notes**

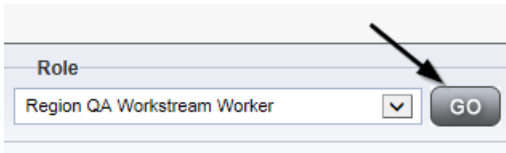


**As Needed: CAP Revision Complete**

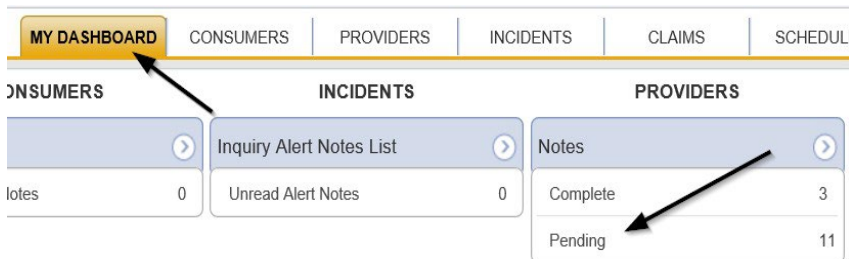


The QA Workstream Worker will receive notification on My Dashboard of the CAP Revised note. They will review the Provider’s response and any documentation and then update the pending note to complete.

- Set “Role” = Region QA Workstream Worker then click **Go**



- Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.



- Select the **Note Type = Plan of Remediation** and **Note Subtype = CAP Revised** and then select the pending record via the hyperlink.

Filters

Status: [dropdown] Equal To [dropdown] Pending [dropdown] AND [dropdown] [x]

Note Type [dropdown] +

Search [button] Reset [button]

38 My Dashboard Notes record(s) returned - now viewing 1 through 15

Provider	Note Type	Note Date	Description	Author	Status
Test Provider	Plan of Remediation	11/09/2023	CAP Revised	Reed, Monica	Pending

4. In the pending Note record, update the following fields:
  - a. "Status" = Update to Complete

**Notes Details**

Division \* [dropdown: APD]

Note By \* [text: Reed, Monica]

Note Date \* [text: 11/09/2023]

Associated Form ID# [text: ]

Note Type \* [dropdown: Plan of Remediation]

Note Sub-Type [dropdown: CAP Revised]

Description [text: CAP Revised]

Note

On 11/9/2023 at 12:46 PM, Monica Reed wrote:  
Enter details as to why CAP is being rejected

New Text

[Rich text editor toolbar: B, I, U, 16px, A]

[Rich text editor area]

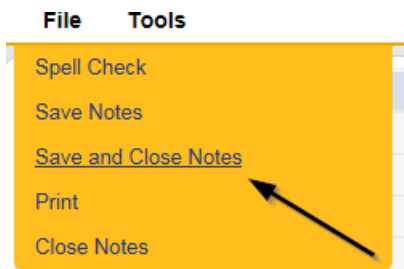
[button: Append Text to Note]

Status \* [dropdown: Complete]

Date Completed [text: 11/09/2023]

5. When finished click **File > Save and Close Notes**





Proceed to [Submit for Supervisor Review](#)

### As Needed: CAP Late

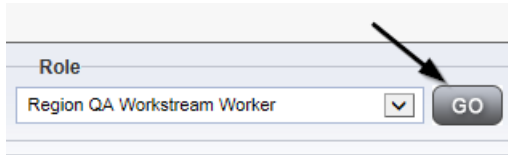


The QA Workstream Worker will add a new note if the Provider completes the POR, but it is more than 7 calendar days past the 7-day timeframe. The CAP will be closed as CAP Late.

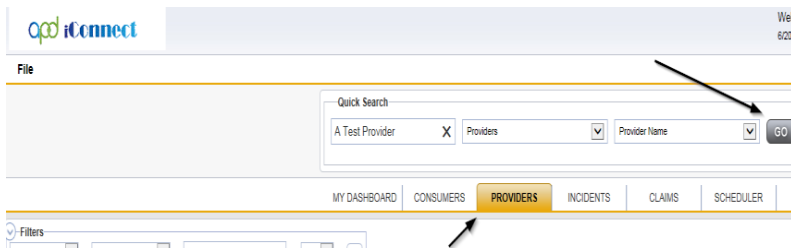
Proceed to [Update CAP Item](#) to update each item status as CAP Late first, then proceed to [Update CAP Detail Record](#) to update the CAP details record status to CAP Late. Once complete, proceed to update the note as outlined in the steps below.

**CAP Late** is defined as – A valid obstacle prevented the Provider/APD from sending/receiving/reviewing documents within the 7-day remediation period, but a good faith effort was applied, and the review was able to be closed beyond the required 7-day period. This should not exceed 7 days from the original 7-day deadline.

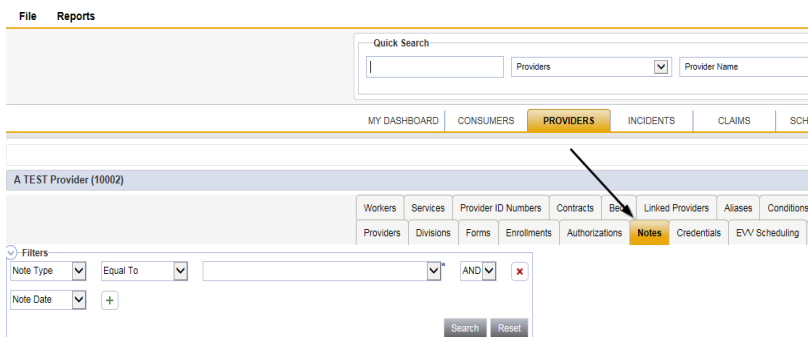
1. Set "Role" = Region QA Workstream Worker then click **Go**



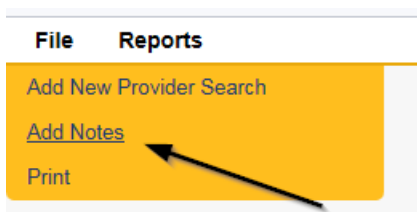
2. Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click go.



3. The Provider's record will display. Navigate to the **Providers > Notes** tab



4. Click **File > Add Notes**



5. In the new Note record, update the following fields:
  - a. "Note Type" = Plan of Remediation
  - b. "Note Subtype" = CAP Late

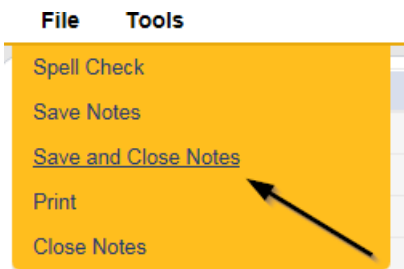
- c. "Description" = CAP Late
- d. "Notes" = Enter notes
- e. "Status" = Complete
- f. Click the Lookup button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
- g. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

The screenshot shows a 'Notes Details' form with the following fields and values:

- Division: APD
- Note By: Reed, Monica
- Note Date: 11/09/2023
- Associated Form ID#: (empty)
- Note Type: Plan of Remediation
- Note Sub-Type: CAP Late
- Description: CAP Late
- Note: (empty text area)
- Status: Complete
- Date Completed: 11/09/2023

Below the form, there are sections for 'Attachments' (with an 'Add Attachment' link), 'Document' (with a table header and 'There are no attachments to display'), and 'Note Recipients' (with an 'Add Note Recipient' field and 'Lookup'/'Clear' buttons).

6. When finished click **File > Save and Close Notes**



**As Needed: CAP Not Compliant**

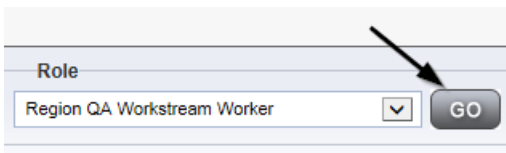
Proceed to [Update CAP Item](#) status to CAP Not Compliant first. *Please note that some items may already be in a complete status. These do not need to be updated to CAP Not Compliant.* Additionally, proceed to [Update CAP Detail Record](#) to update the CAP details record to CAP Not Compliant and then update the note as outlined below.



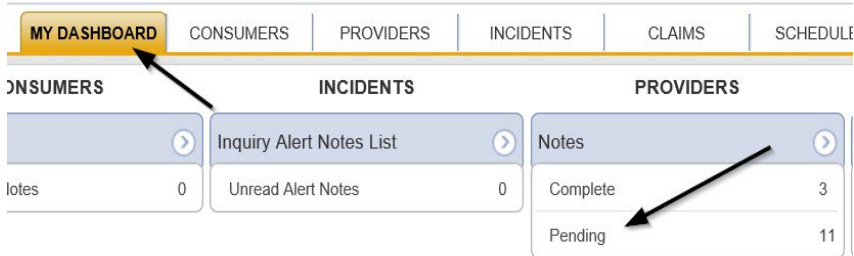
The QA Workstream Worker will update the pending Plan of Remediation/Supervisor Review note if the Provider does not complete the Plan of Remediation and the 7-day clock has expired. The CAP will be closed as Not Compliant.

**CAP Not Compliant** is defined as – All required documentation was not valid/correct/received from the provider within the 7-day remediation period, and there was no good faith communication between the provider/APD within the 7-day period to explain. A POR cannot be closed as CAP Not Compliant until the 7-day period has expired.

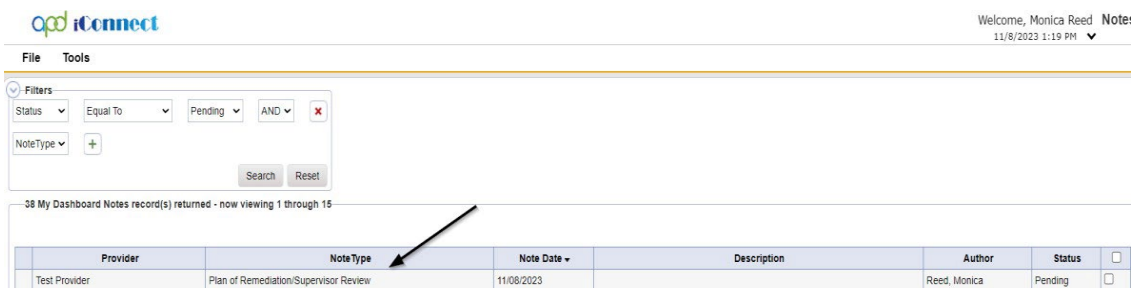
1. Set “Role” = Region QA Workstream Worker then click **Go**



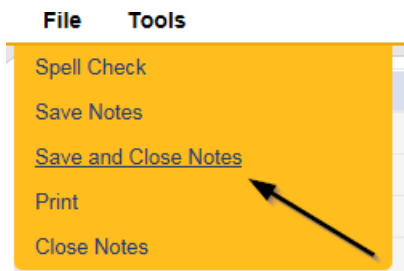
- Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.



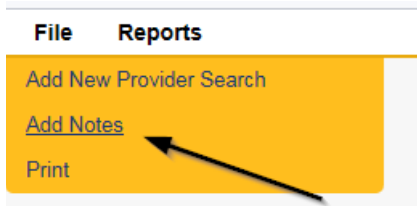
- Select the **Note Type = Plan of Remediation/Supervisor Review** and select the pending record via the hyperlink.



- The pending note will be marked as complete and a new note created for the provider. In the pending Note record, update the following fields:
  - "Note Type" = Remains Plan of Remediation/Supervisor Review
  - "Note Subtype" = CAP Not Compliant
  - "Description" = CAP Not Compliant
  - "Append Text to Notes" = Enter notes
  - "Status" = Complete
- When finished click **File > Save and Close Notes**



6. Add a new Note record for the Provider. From the Notes tab, Click **File > Add Notes**



7. Update the following fields:
- "Note Type" = Plan of Remediation
  - "Note Subtype" = CAP Not Compliant
  - "Description" = CAP Not Compliant
  - "Append Text to Notes" = Enter notes
  - "Status" = Complete
  - Click the Lookup button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
  - Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

**Notes Details**

Division \* APD

Note By \* Reed, Monica

Note Date \* 11/08/2023

Associated Form ID#

Note Type \* Plan of Remediation

Note Sub-Type \* CAP Not Compliant

Description CAP Not Compliant

Note

New Text

Append Text to Note

Status \* Complete

Date Completed 11/09/2023

**Attachments**

Add Attachment

Document Description

There are no attachments to display

**Note Recipients**

Add Note Recipient: Lookup Clear

8. When finished click **File > Save and Close Notes**

