State of Florida

Agency for Persons with Disabilities

Harmony for iConnect

QA – Other Remediation Training Manual – Updated July 2024

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Chapter 23 | QA- Other Remediation

Add CAP for Violations

If an issue is identified during an APD Audit, AHCA Audit, Medicaid Program Integrity, Medicaid Fraud, Abuse/Neglect, Critical Incident Report, Reportable Incident Report, Medication Error, Complaint, CMS Survey or APD Inspector General Audit, an email or call will be made to APD. The QA Workstream Lead determines that a Plan of Remediation is necessary to resolve the issue, they assign a QA Workstream worker who will create a CAP record and generate the remediation letter.

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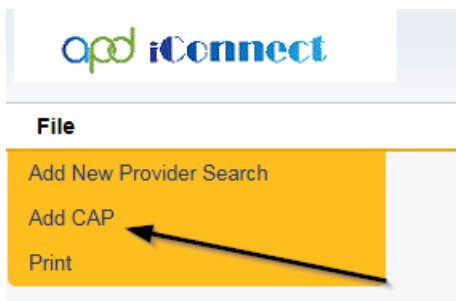
1. Set "Role" = Region QA Workstream Worker then click **Go.**

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
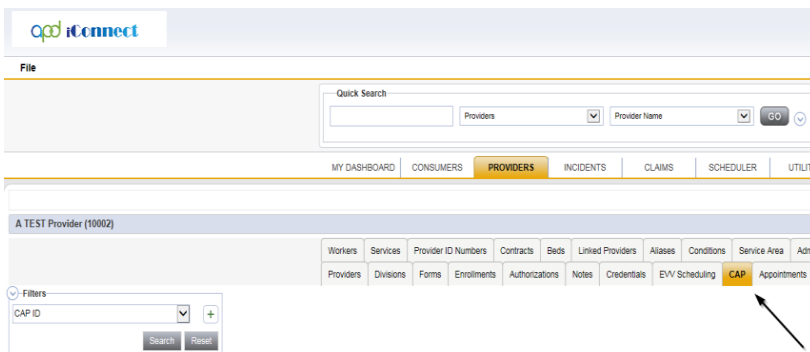
4. Select **File > Add CAP**

5. Update the following fields:

    a. "CAP Type" = Plan of Remediation

    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" = Leave as Pending

    g. "Comments" = Enter if applicable

    h. "QA Workstream Worker" = Click the Lookup button to add the appropriate worker if applicable
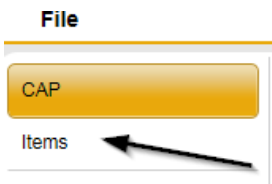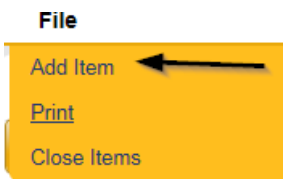
6. When finished, select **File > Save CAP**

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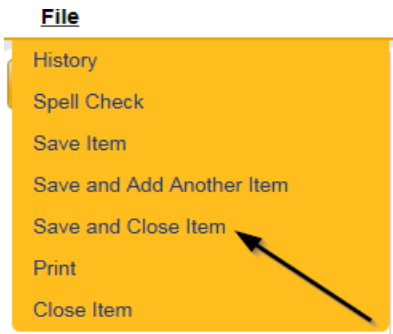
File

Add Item

Print

Close Items

8. Update the following fields:

    a. "Action Type" = Regional QA

    b. "Discovery Source" = Select as appropriate

    c. "Remediation Type" = POR

    d. "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. "Due Date" = Enter the date the Provider needs to provide the information

    g. "Provider Worker" = Click the Lookup button to add the worker

    h. "Corrective Action Required" = Enter Information regarding the violation that the provider must submit. The Provider will then append with the information
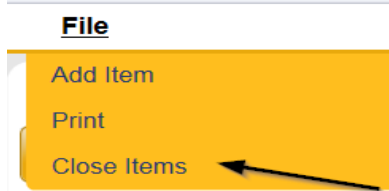
9. When finished, Click **File > Save and Close Item**

File
History
Spell Check
Save Item
Save and Add Another Item
Save and Close Item
Print
Close Item

Repeat Steps 7 – 9 for each item as necessary

If a PAARF is needed, proceed to Chapter 13 to follow the PAARF process.
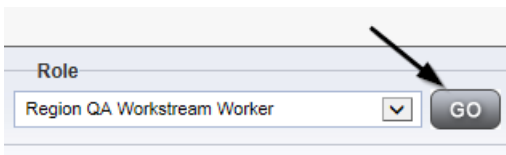
10. Click **File > Close Items**

File
Add Item
Print
Close Items
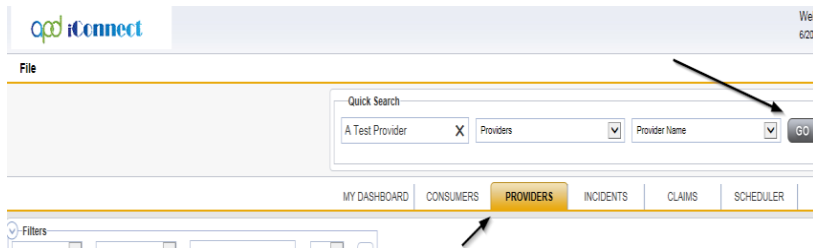
Generate Initial Non QIO Contact Letter

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

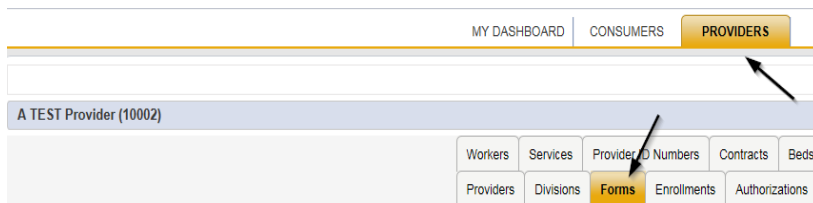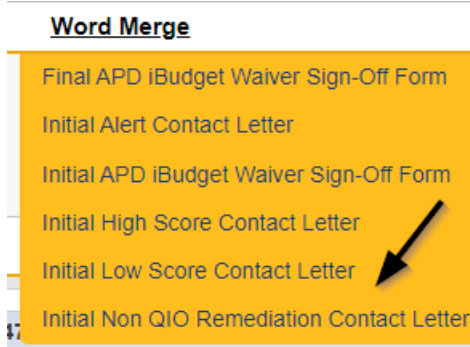1. Set "Role" = Region QA Workstream Worker then click **Go**

Role
Region QA Workstream Worker   [▼]   GO

2. Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click go.
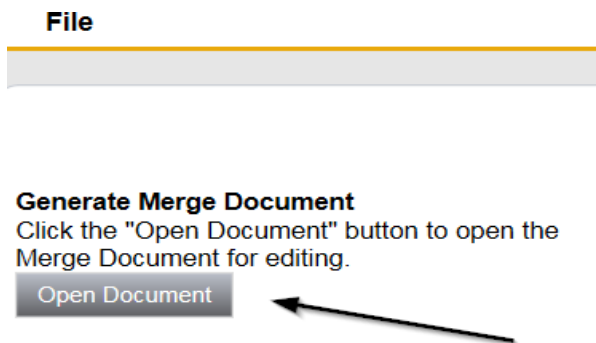
3. The Provider's record will display. Navigate to the **Providers > Forms** tab

4. Select **Word Merge > Initial Non QIO Remediation Contact Letter**

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

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

agency for persons with disabilities
State of Florida

Click here to enter a date.

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

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

Re: Non-QIO Plan of Remediation

Dear John Test:

The Agency for Persons with Disabilities (APD) is in receipt of identified deficiencies or concerns related to the provision of quality services. Per the APD Quality Management System Operating Procedure #4-0007, a Plan of Remediation (POR) is mandatory.

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

Message from webpage

Document was successfully saved to Note with NoteID=11892.

OK
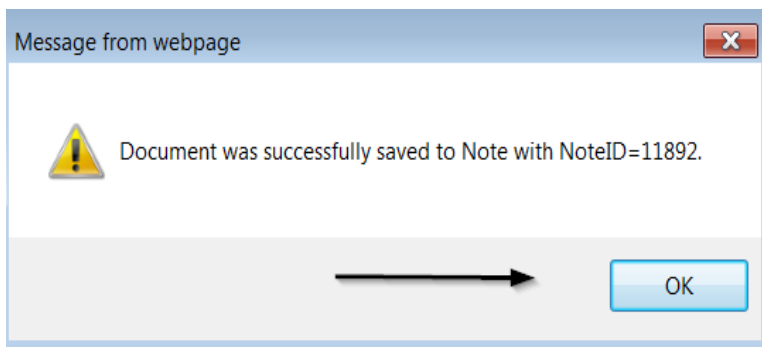
11. Update the following fields on the Notes Detail Screen
    a. "Division" = APD
    b. "Associated Form ID#" = Enter Form ID if applicable
    c. "Note Type" = Plan of Remediation
    d. "Note Subtype" = Non QIO Letter
    e. "Description" = Non QIO Letter
    f. "Note" = Enter notes. Be sure to click the "Append Text to Note" button to add your notes to the existing notes.
    g. "Status" = Complete
    h. Click the Lookup button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
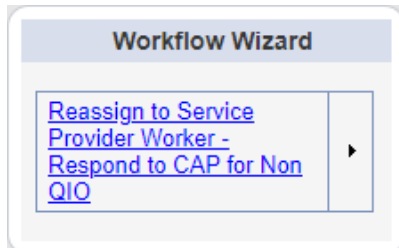   i. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

12. When finished click **File > Save and Close Notes**
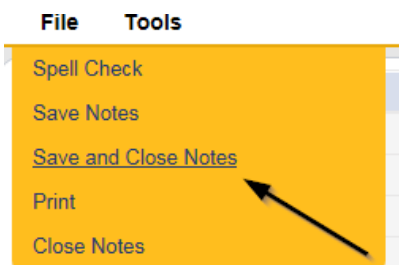
13. A tickler is triggered that needs to be reassigned to a Service Provider Worker.

    a. Tickler - "Reassign to Service Provider Worker – Respond to CAP for Non QIO"

    b. Assigned to Self (whoever created the note will get the tickler) and they will reassign

    c. Due immediately

14. Click the tickler flyout menu on the "Reassign to Service Provider Worker – Respond to CAP for Non QIO and select Reassign.
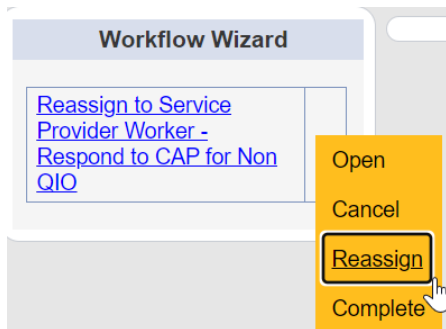
15. Search for and select the Service Provider Worker. Once the worker's name has been selected, the tickler has been reassigned and will disappear from the QA Workstream Workers tickler list view. The Service Provider worker will retrieve the tickler from their My Dashboard > Provider > Ticklers when they log in to the application.

Search by: [Last Name ▾] Search Text: [buck] ← Search Cancel

7 record(s) returned

MEMBERID	Worker	Title	User ID Active
2486	Buck, Jennifer ←		Yes
1230	Buck, Sarah	Support Coordinator	Yes
15942	Buck, Timothy		Yes
15347	Buckley, Silvia		Yes
21332	BUCKNER, LAVANYA		Yes
21809	Buckner, Shambray		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.

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

Role
[Region QA Workstream Worker ▾] GO

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

← | MY DASHBOARD | CONSUMERS | PROVIDERS

→ PROVIDERS

Notes	⊙
Complete	32
Pending	20

Ticklers	⊙
Ticklers →	75

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.

4. When the Plan of Remediation/Non QIO Letter note was saved, a Workflow Wizard was triggered to remind the QA Workstream Worker to review in 90 calendar days
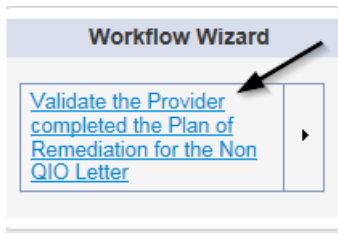

a. Tickler - "Validate the Provider completed the Plan of Remediation for the Non QIO Letter"

b. Assigned to Self (whoever created the note will get the tickler)

c. Due on the **90th** calendar day from the "Plan of Remediation/Non QIO 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-office 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**
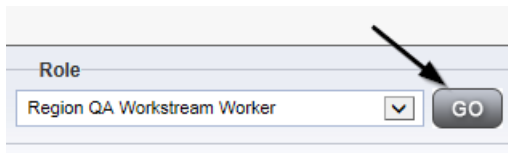
2. Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click go.
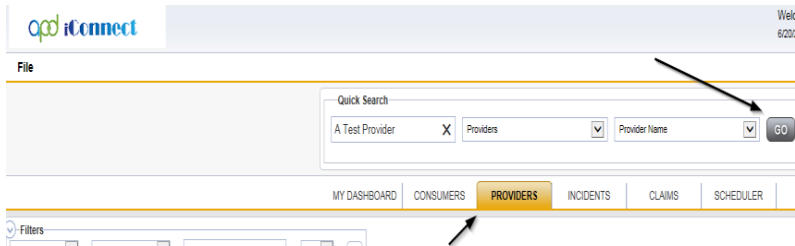
3. The Provider's record will display. Navigate to the **Providers > Notes** tab
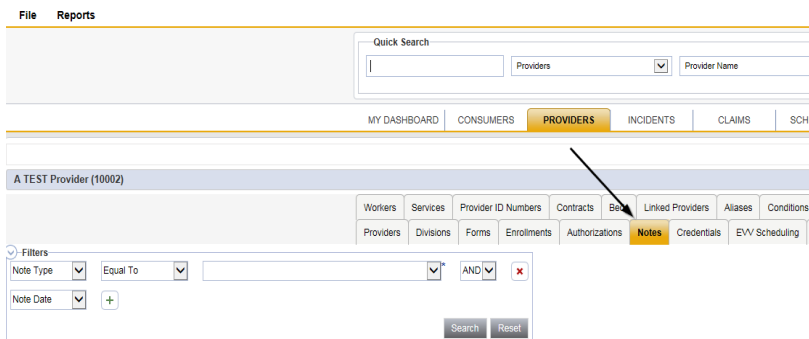

4. Click **File > Add Notes**
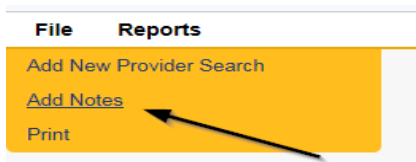
5. In the new Note record, update the following fields:

   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
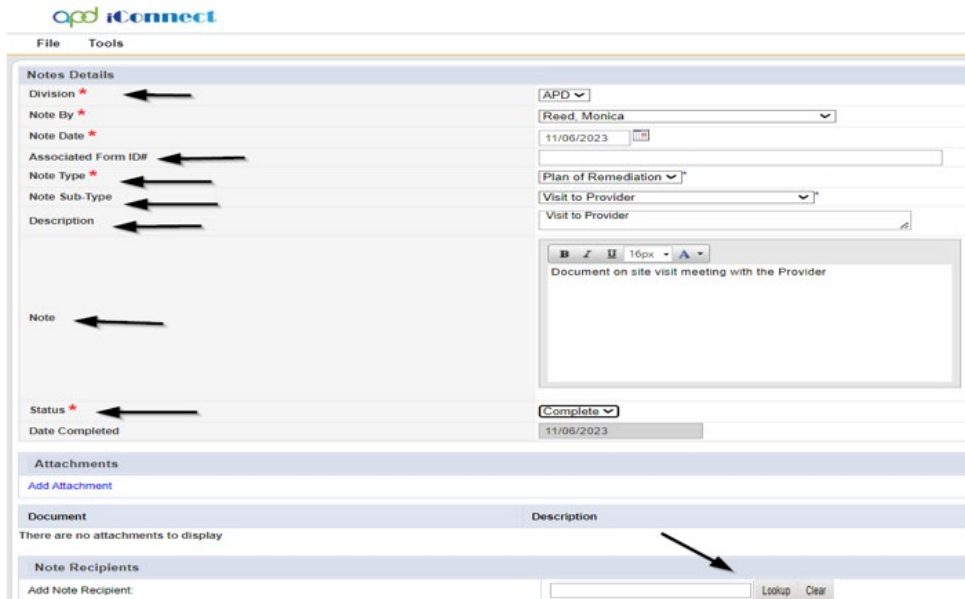
6. When finished click **File > Save and Close Notes**
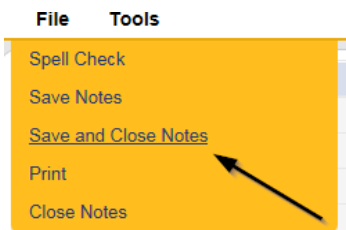
Update Plan of Remediation

 The Service Provider will receive notification of the Plan of Remediation/Non QIO 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

CAP ID	QIO Report Number	Date Provider Notified	Status	Number of Alerts	Number of Items	Licensing Worker	POR Worker	Overall Corporate PDR Score
1		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		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

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

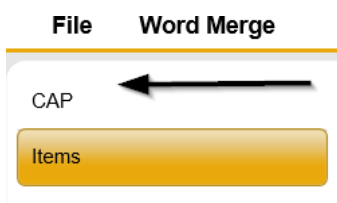7. When finished, Click **File > Save and Close Item**

  Repeat steps 4-7 for each item that needs to be updated
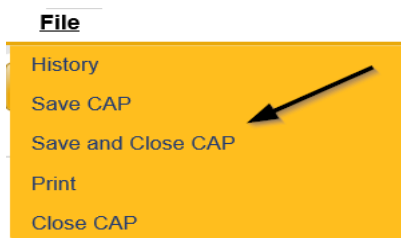
8. Click **File > Close Items**
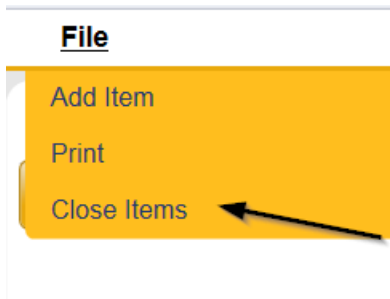
9. Click **File > CAP** on the left-hand navigation menu
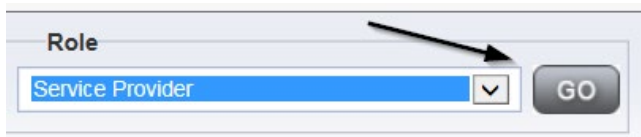

10. Select **File > Save and Close CAP**
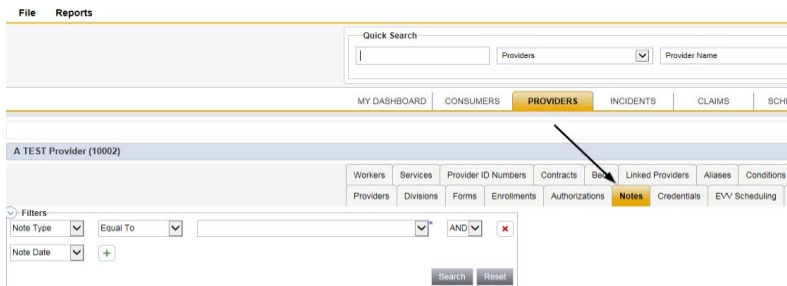

CAP Submitted

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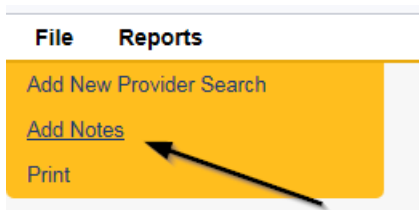
1. Set "Role" = Service Provider then click **Go**

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

3. Click **File > Add Notes**

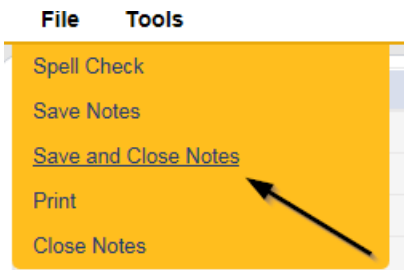

4. In the new Note record, update the following fields:

    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
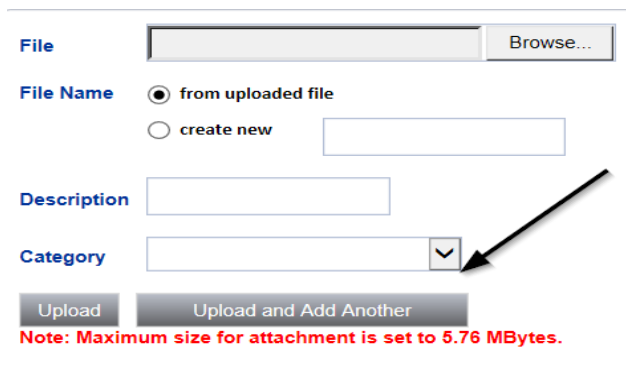
h. Click the Lookup button on the "Add Note Recipient" to add the *QA Workstream Worker* as the Note Recipient

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

5. When finished click **File > Save and Close Notes**
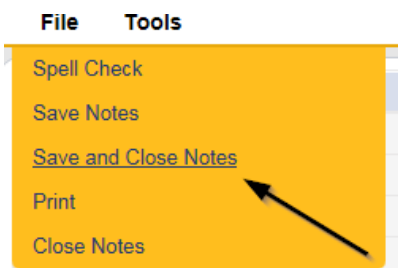
Submit for Supervisor Review

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**
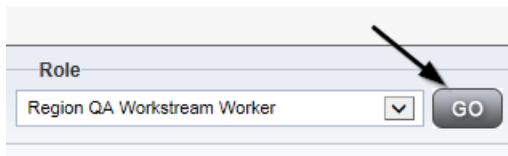
2. Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click go.
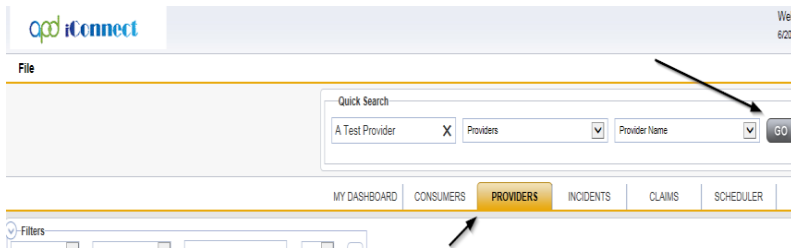
3. The Provider's record will display. Navigate to the **Providers > Notes** tab
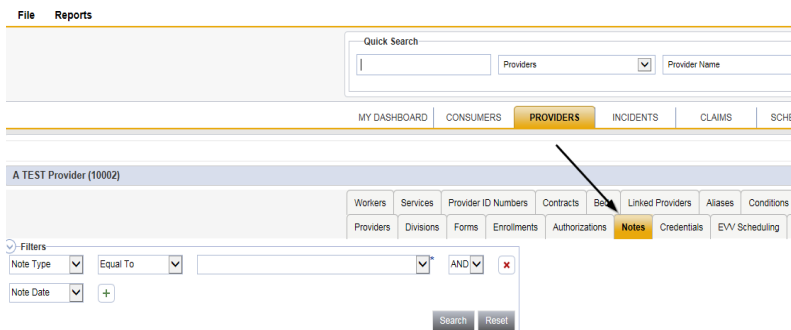
4. Click **File > Add Notes**
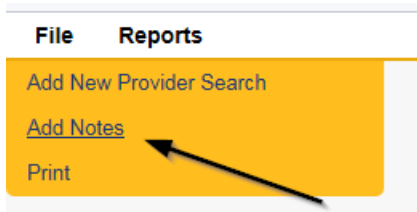
5. In the new Note record, update the following fields:

   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

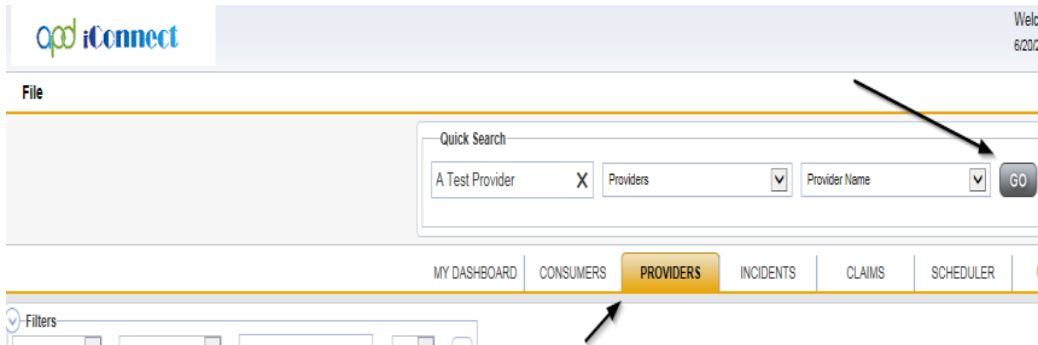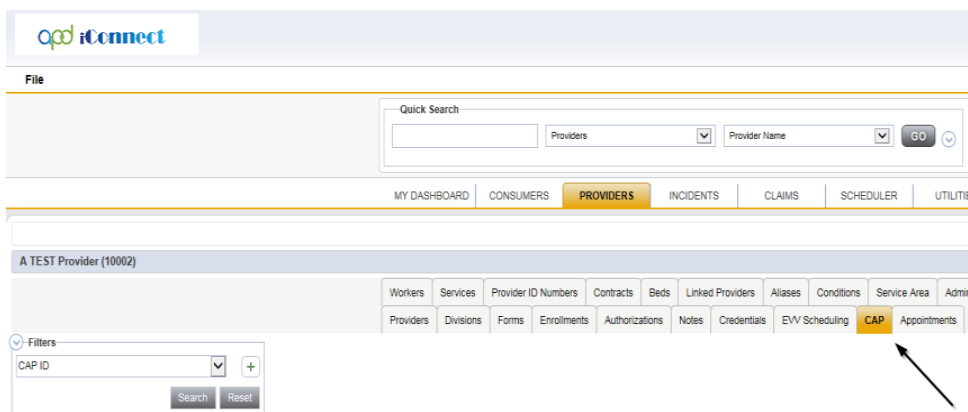6. When finished click **File > Save and Close Notes**

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

1. Set "Role" = Region QA Workstream Worker/Lead then click **Go**
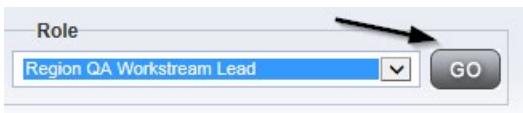
2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.
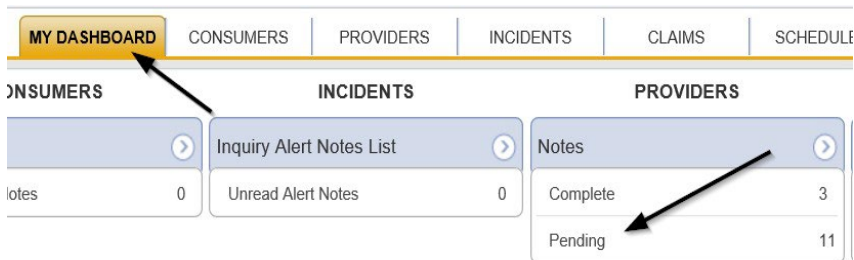
3. Select the **Note Type = Plan of Remediation/Supervisor Review** and select the pending record via the hyperlink.

4. In the pending Note record, update the following fields:

    a. "Note Type" = 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

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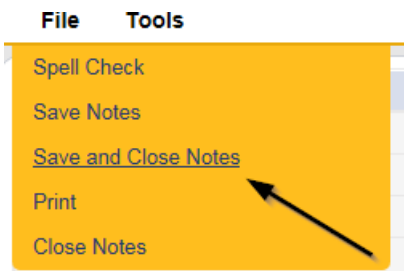
Update CAP Item

 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

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

CAP ID	QIO Report Number	Date Provider Notified ▼	CAP Type	Review Type	Status	CAP Due Date	Number of Alerts	Number of Items	Licensing Worker
152		11/01/2023	Plan of Remediation - Alert		Pending	11/08/2023		0	

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

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"

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

If the **Item is Late:**

a. "Item Status" = CAP Late

If the **Item is Not Compliant:**

a. "Item Status" = CAP Not Compliant

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

9. Click **File > Close Items**
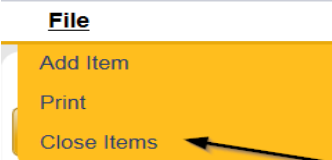
As Needed: Update CAP Detail Record

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.

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. **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. "Date POR Approved by QA Workstream Lead as Complete" = Enter Date

   d. QA Workstream Lead = Select worker

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

    a. "Status" = CAP Rejected

    b. "Date Submitted by Provider" = Enter Date

CAP	
CAP ID	86
QIO Report Number*	
CAP Type	Plan of Remediation
Review Type*	
Date of CAP*	04/01/2023
Region*	
Associated Form ID#	
Date Provider Notified *	04/03/2023
CAP Due Date *	05/12/2023
Status	CAP Rejected ←
Number of Alerts*	
Overall PDR Score %*	
Compliance Score %*	
Person-Centered Practices Score %*	
Sum Total Potential Billing Discrepancies*	
Date Submitted by Provider	07/01/2023 ←
Date Verified Complete by APD Staff	
Comments	**B** *I* U 16px ▾ A ▾
Date POR Approved by QA Workstream Lead as Complete	
QA Workstream Worker	Lookup Clear
QA Workstream Lead	Lookup Clear

    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. "Date Submitted by Provider" = Enter Date
   c. "Date Verified Complete by APD Staff" = Enter Date
   d. "Date POR Approved by QA Workstream Lead as Complete" = Enter Date
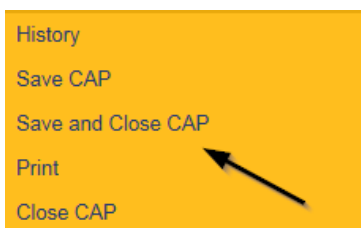
If all CAP items are Not Compliant, then update the CAP record status to CAP Not Compliant.

      a. "Status" = CAP Not Compliant

      b. "Date Submitted by Provider" = Enter Date

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.
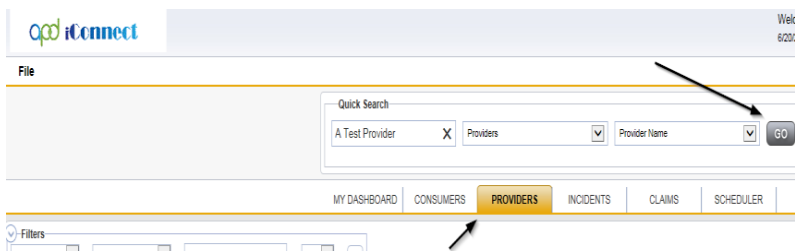
3. The Provider's record will display. Navigate to the **Providers > Notes** tab
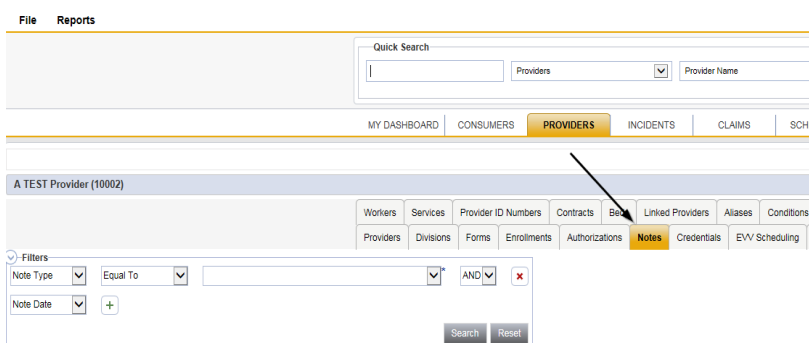
4. Click **File > Add Notes**
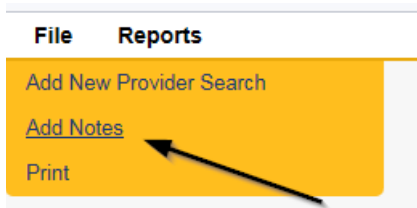
5. In the new Note record, update the following fields:

    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

6. When finished click **File > Save and Close Notes**
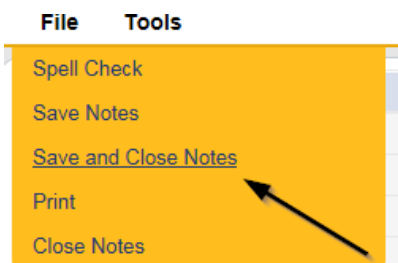
As Needed: Further Documentation Required

> 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
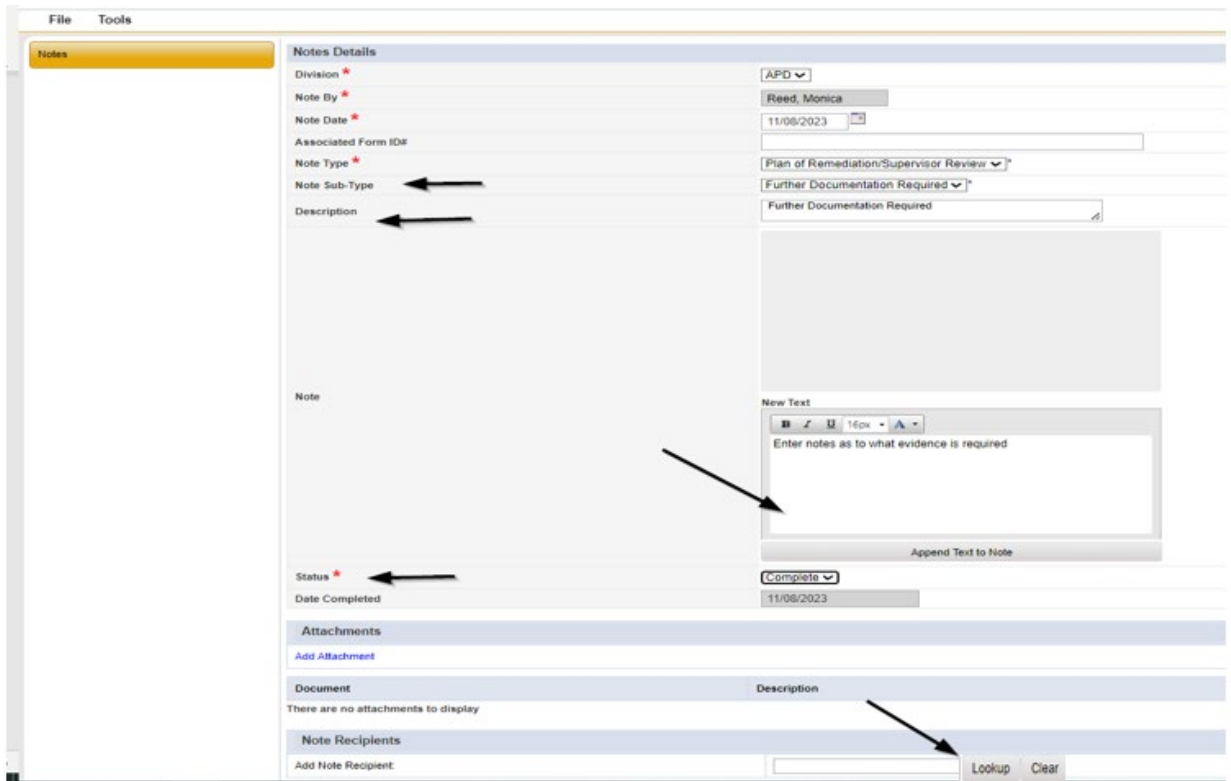
5. When finished click **File > Save and Close Notes**
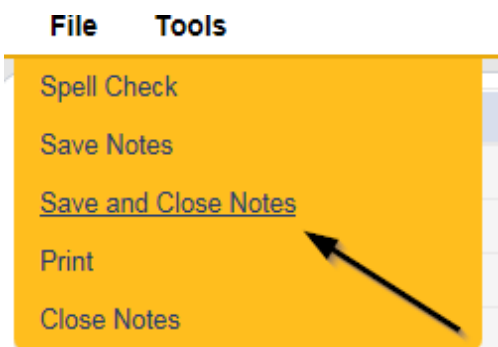
As Needed: Notify Service Provider

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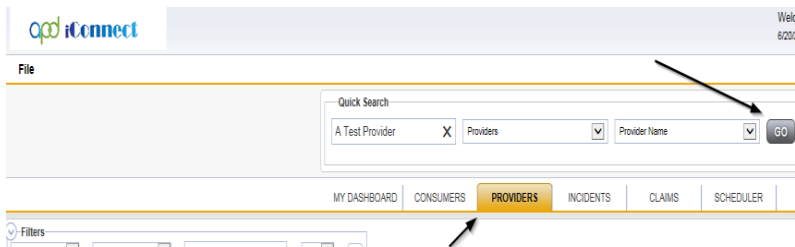
3. The Provider's record will display. Navigate to the **Providers > Notes** tab
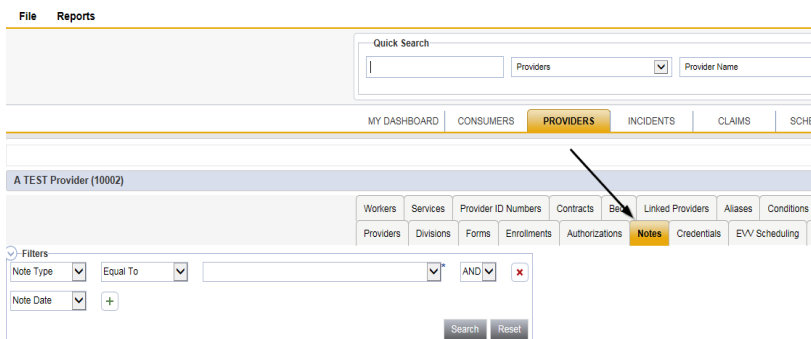

4. Click **File > Add Notes**
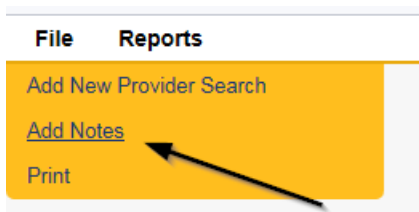
5. In the new Note record, update the following fields:

    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.

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

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

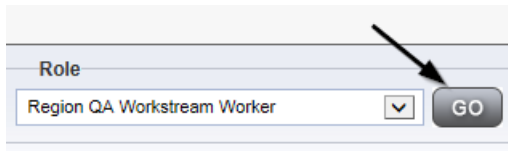5. When finished click **File > Save and Close Notes**

As Needed: Further Documentation Provided

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

1. Set "Role" = Region QA Workstream Worker/Lead then click **Go**
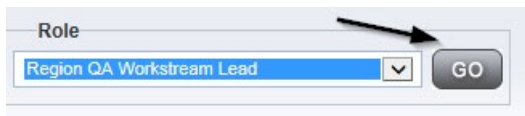
2. Navigate to the **Providers > Notes** tab
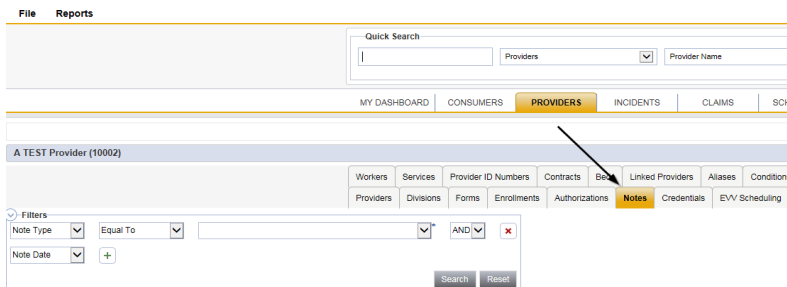
3. Click **File > Add Notes**
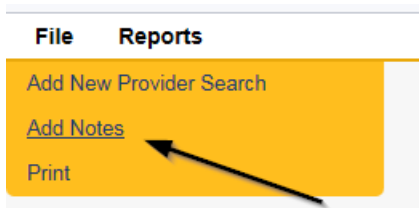
4. In the new Note record, update the following fields:

   a. "Note Type " = Plan of Remediation/Supervisor Review"Note Subtype" = Further Documentation Provided

   b. "Description" = Further Documentation Provided

   c. "Notes" = Enter Notes

   d. "Status" = Pending

   e. Click the Lookup button on the "Add Note Recipient" to add the *QA Workstream 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

5. When finished click **File > Save and Close Notes**
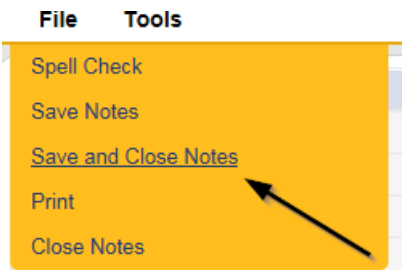
As Needed: CAP Rejected

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 90-day period.

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. "Associated Form ID#" – Enter if applicable
    b. "Note Type" = Leave as Plan of Remediation/Supervisor Review
    c. "Note Subtype" = CAP Rejected
    d. "Description" = CAP Rejected
    e. "Append Text to Notes" = Enter notes to indicate review complete and why the CAP is being rejected
    f. "Status" = Update to Complete
    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
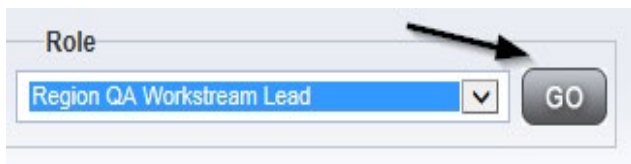
5. When finished click **File > Save and Close Notes**
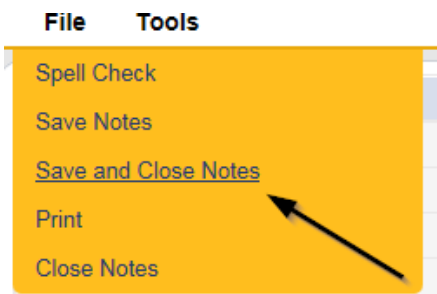
Proceed to Update CAP Item Step 7 and update each item to rejected.

Then proceed to Update CAP Detail Record to update the CAP record to rejected. Once finished, proceed to Notify Provider of CAP Rejection
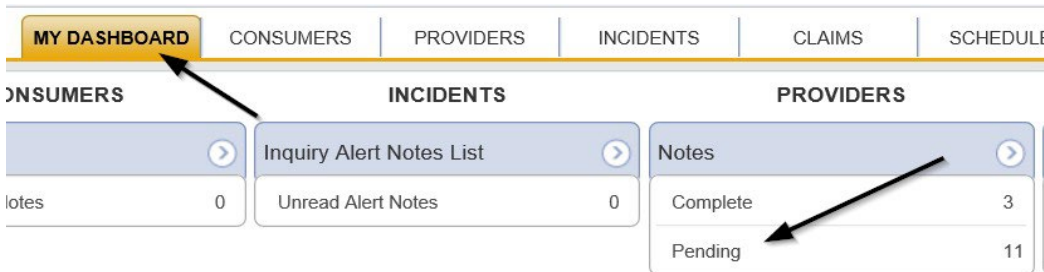
As Needed: Notify Provider of CAP Rejection

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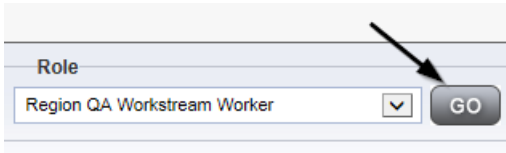
2. Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click go.

3. The Provider's record will display. Navigate to the **Providers > Notes** tab
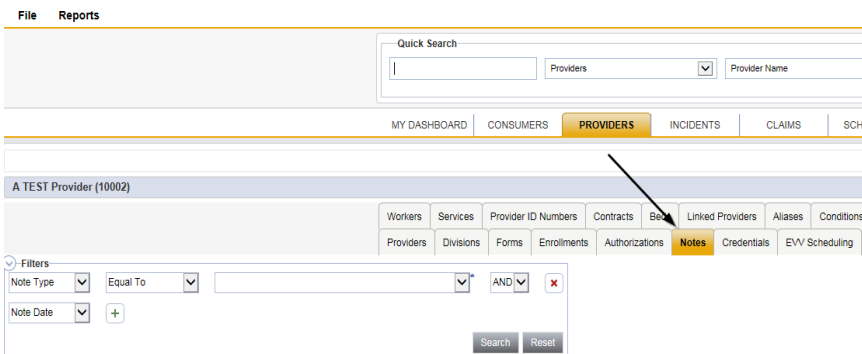
4. Click **File > Add Notes**
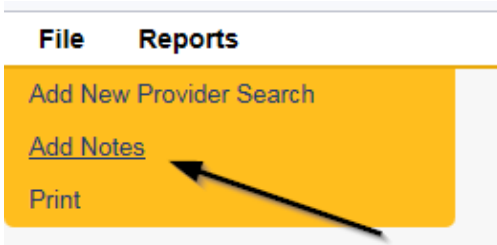
5. In the new Note record, update the following fields:

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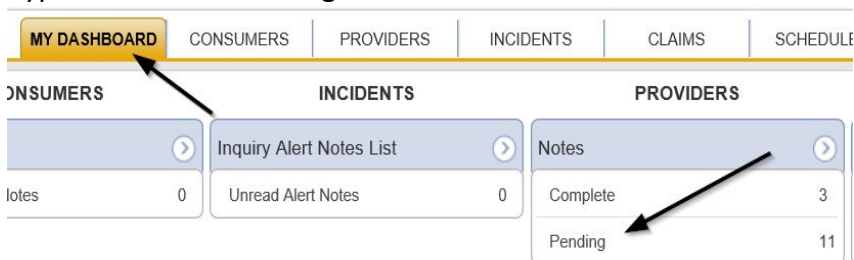
3. Select the **Note Type = Plan of Remediation** and **Note Subtype = CAP Rejected** and then select the pending record via the hyperlink.

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

5. When finished click **File > Save and Close Notes**
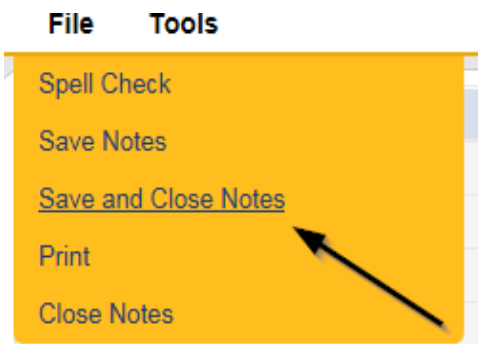
As Needed: CAP Revision Complete

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.

1. Set "Role" = Region QA Workstream Worker 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 Revised** and then select the pending record via the hyperlink.

4. In the pending Note record, update the following fields:

   a. "Status" = Update to Complete

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

Proceed to <u>Submit for Supervisor Review</u>

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 calendars day past the 90 day timeframe. The CAP will be closed as CAP Late. The QA Workstream Worker may choose to run the Provider CAP report first to confirm. Proceed to <u>Generate Provider CAP Report</u> if this step is necessary.

Proceed to <u>Update CAP Item</u> to update each item status as CAP Late first, then proceed to <u>Update CAP Detail Record</u> 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 90-day remediation period, but a good faith effort was applied, and the review was able to be closed beyond the required 90-day period. This should not exceed 14 days from the original 90-day deadline.

1. Set "Role" = Region QA Workstream Worker then click **Go**
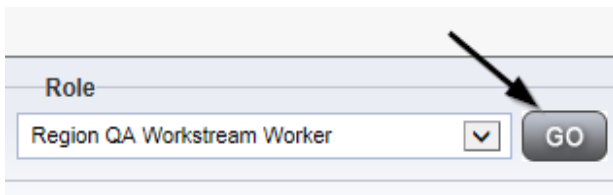
2. Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click Go.
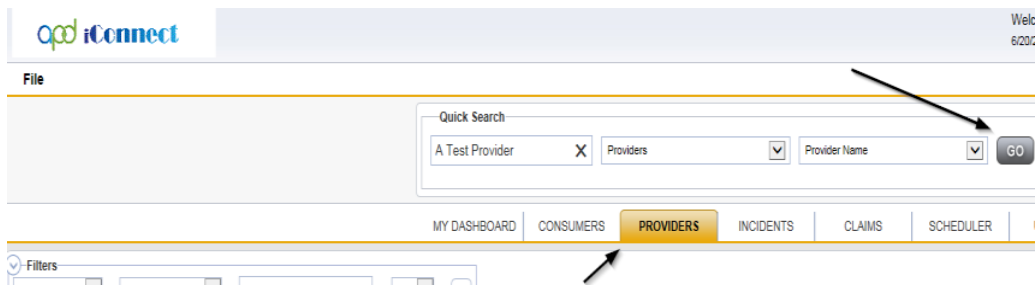
3. The Provider's record will display. Navigate to the **Providers > Notes** tab
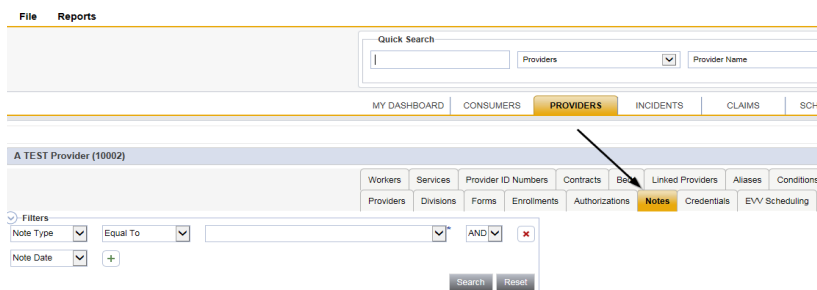
4. Click **File > Add Notes**
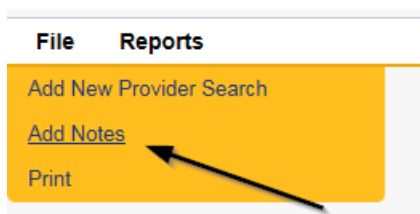
5. In the new Note record, update the following fields:

    a. "Note Type" = Plan of Remediation
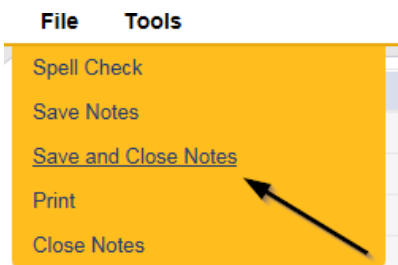
    b. "Note Subtype" = CAP Late

    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

6. When finished click **File > Save and Close Notes**
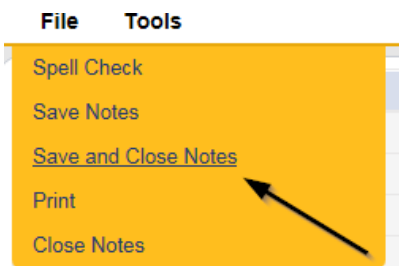
As Needed: CAP Not Compliant

Proceed to Update CAP Item status to CAP Not Complaint 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 90-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 90-day remediation period, and there was no good faith communication between the provider/APD within the 90-day period to explain. A POR cannot be closed as CAP Not Compliant until the 90-day period has expired.

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

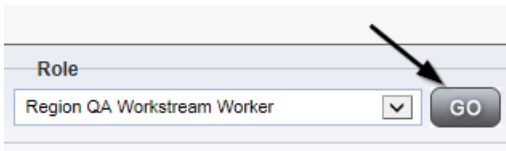2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.
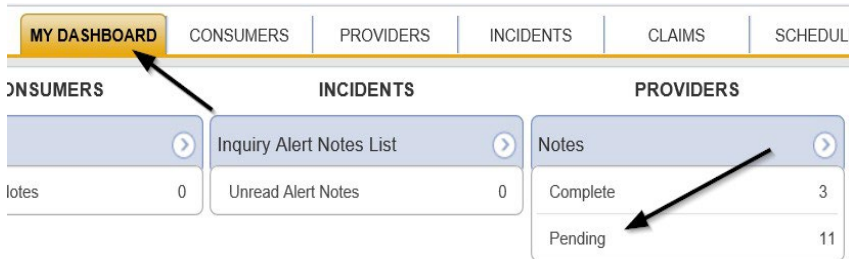
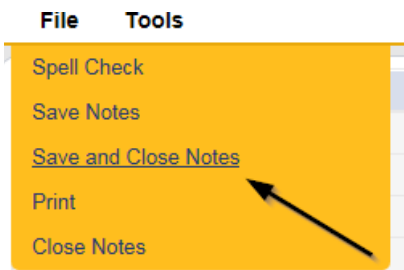3. Select the **Note Type = Plan of Remediation/Supervisor Review** and select the pending record via the hyperlink.


4. 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:

    a. "Note Type" = Remains Plan of Remediation/Supervisor Review

    b. "Note Subtype" = CAP Not Compliant

    c. "Description" = CAP Not Compliant

    d. "Append Text to Notes" = Enter notes

    e. "Status" = Complete

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

6. Add a new Note record for the Provider. Click **File > Add Notes**
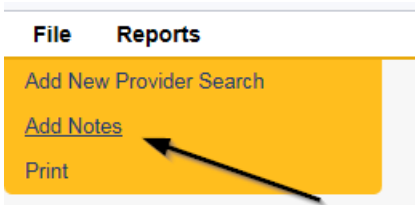
7. In the new Note record, update the following fields:

    a. "Note Type" = Plan of Remediation

    b. "Note Subtype" = CAP Not Compliant

    c. "Description" = CAP Not Compliant

    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

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