



**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.

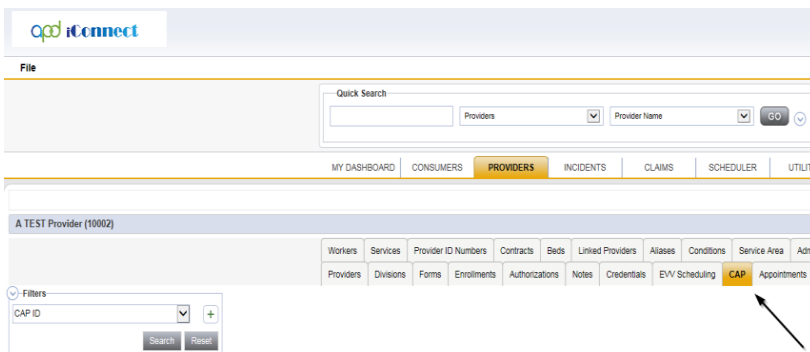
**IMPORTANT:** APD will complete and review the CAP in the Provider record to ensure it is correct. APD will then contact the Provider with the appropriate letter according to the plan of remediation type. The provider can begin working on the CAP once this letter has been received.

**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.**

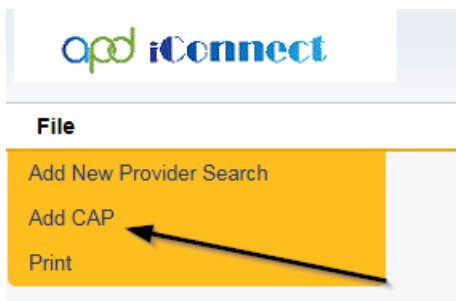
1. Set “Role” = Region QA Workstream Worker then click **Go**.

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

CAP

CAP ID

QIO Report Number\*

CAP Type ← Plan of Remediation

Review Type\*

Date of CAP\* ← 11/01/2023

Region\*

Associated Form ID# ←

Date Provider Notified\* ← 11/01/2023

CAP Due Date\* ← 11/14/2023

Status ← Pending

Number of Alerts\*

Overall PDR Score %\*

Compliance Score %\*

Person-Centered Practices Score %\*

Sum Total Potential Billing Discrepancies\*

Date Submitted by Provider

Date Verified Complete by APD Staff

Comments ←

Date POR Approved by QA Workstream Lead as Complete

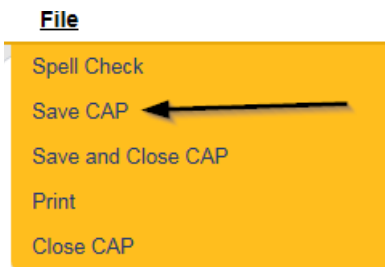
QA Workstream Worker ←

QA Workstream Lead

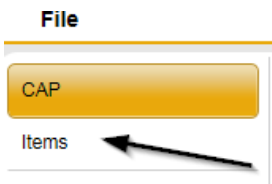
Lookup Clear

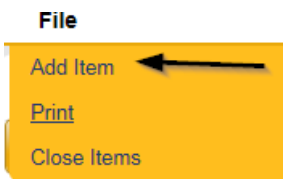
Lookup Clear

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



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



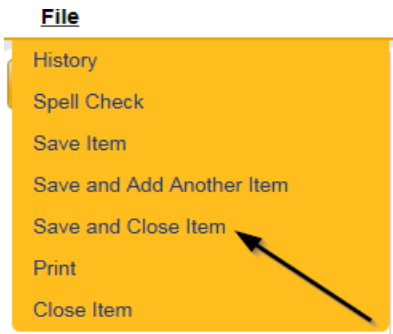


8. Update the following fields:

- 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

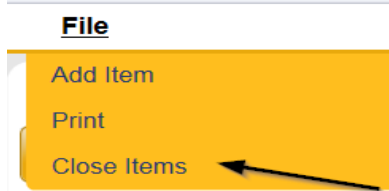
| Summary                      |  |
|------------------------------|--|
| Item ID                      | <input type="text"/>   |
| Action Type                  | Regional QA  |
| Discovery Source*            | APD Audit  |
| Remediation Type*            | POR  |
| Employee Involved*           | <input type="text"/>   |
| Client Reviewed*             | <input type="text"/>   |
| Standard Not Met Description | 23 The provider documents efforts to ensure the person's hel... <input type="button" value="Clear"/> |
| Comments                     | <input type="text"/>   |
| Item Status                  | Pending  |
| Due Date                     | <input type="text"/>   |
| Provider Worker              | <input type="text"/> <input type="button" value="Lookup"/> <input type="button" value="Clear"/>      |
| Corrective Action Required   | <input type="text"/>   |
| Evidence of Completion       | <input type="text"/>   |

9. When finished, Click **File > Save and 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**

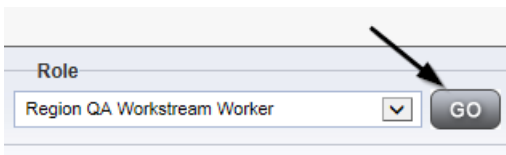


**Generate Initial Non QIO Contact Letter**

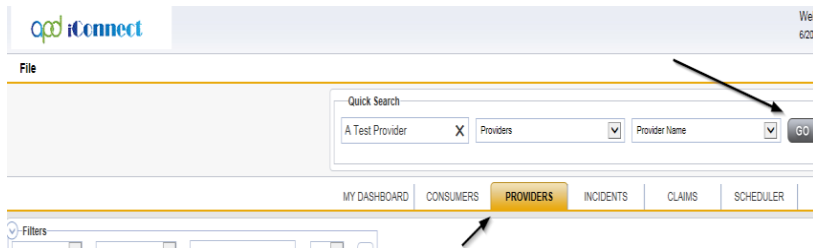


The QA Workstream Worker will generate the Non QIO Contact Letter and include the CAP ID# in the documentation.

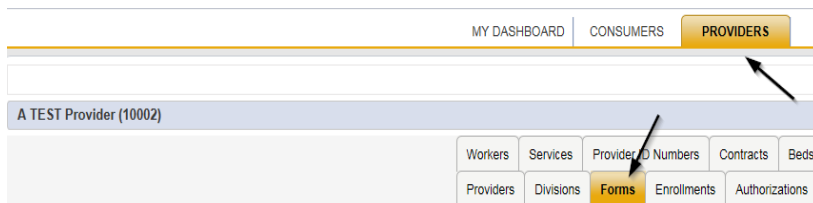
1. Set "Role" = Region QA Workstream Worker then click **Go**



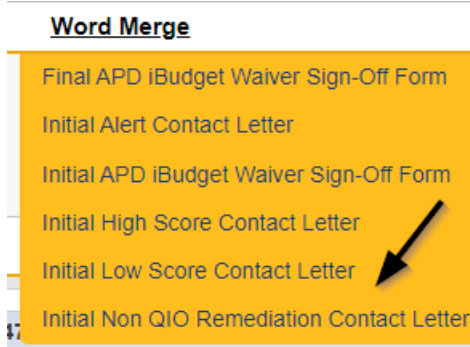
2. Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click go.



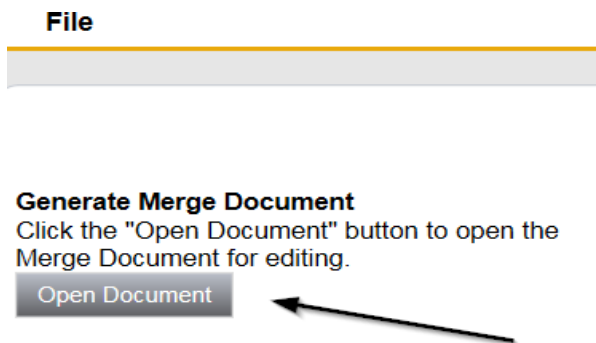
3. The Provider’s record will display. Navigate to the **Providers > Forms** tab



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**





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  
■■■

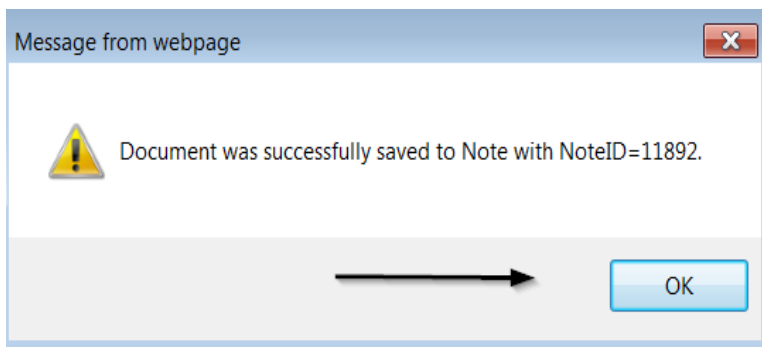
Test Provider  
John Test  
9125 Branchwater Ct,  
Jacksonville, FL 32244

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



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

**Notes Details**

Division \* APD

Note By \* Provider, Erin

Note Date \* 12/15/2023

Associated Form ID# 316

Note Type \* Plan of Remediation

Note Sub-Type Non QIO Letter

Description Non QIO Letter

On 12/15/2023 at 1:02 PM, Erin Provider wrote:  
Enter notes as needed

Note

New Text

B I U 16px A

Add additional notes.

Append Text to Note

Status \* Complete

Date Completed 12/20/2023

Attachments

Add Attachment

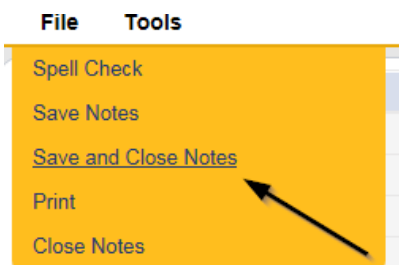
| Document       | Description |
|----------------|-------------|
| Non QIO Letter |             |

Note Recipients

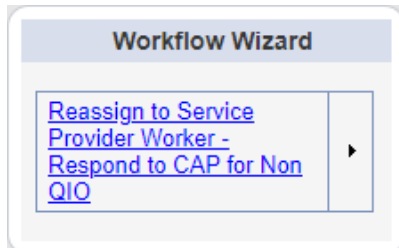
Add Note Recipient

Lookup Clear

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

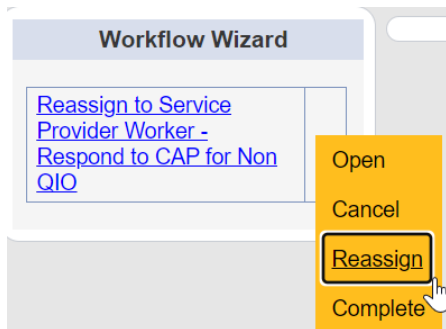


13. A tickler is triggered that needs to be reassigned to a Service Provider Worker.



- 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:  Search Text:

7 records 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**.

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

| Notes    |    |
|----------|----|
| Complete | 32 |
| Pending  | 20 |

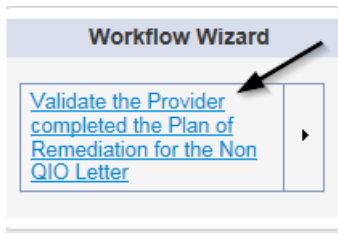
| Ticklers |    |
|----------|----|
| Ticklers | 75 |

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.

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/Non QIO Letter note was saved, a Workflow Wizard was triggered to remind the QA Workstream Worker to review in 90 calendar days



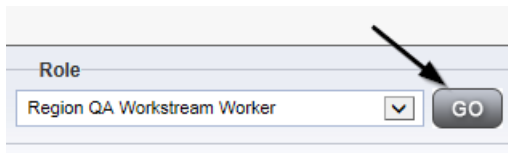
- a. Tickler - “Validate the Provider completed the Plan of Remediation for the Non QIO Letter”
  - b. Assigned to Self (whoever created the note will get the tickler)
  - c. Due on the **90th** calendar day from the “Plan of Remediation/Non QIO Letter” completed note
5. The user has visibility to see all ticklers that are due now or in the future.

**As Needed: Conduct Meeting**

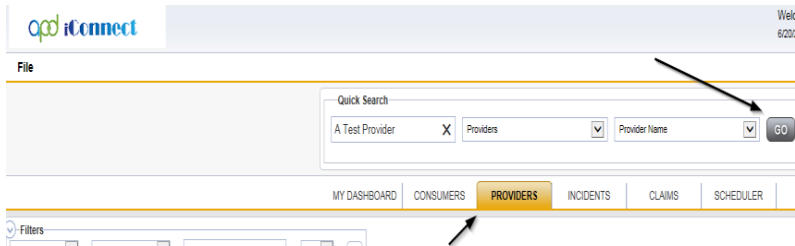


The QA Workstream Worker may conduct a virtual or in-office meeting to discuss the incomplete items prior to a Supervisor Review. The QA Workstream Worker will document the meeting specifics in a note.

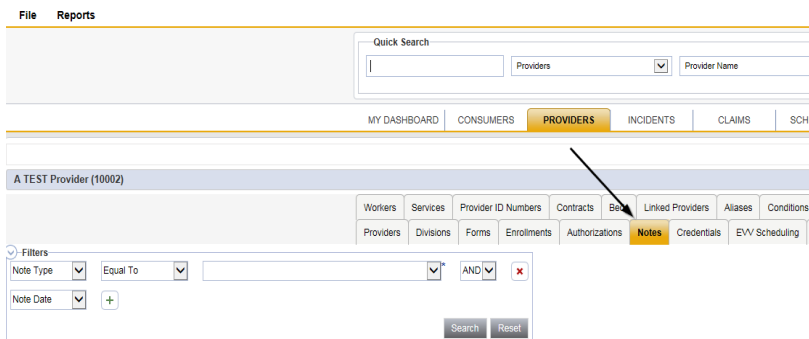
1. Set “Role” = Region QA Workstream Worker then click **Go**



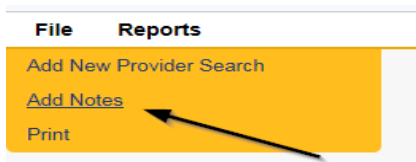
2. Navigate to the **Providers** chapter and enter the Provider's name in the Quick Search filter and click go.



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

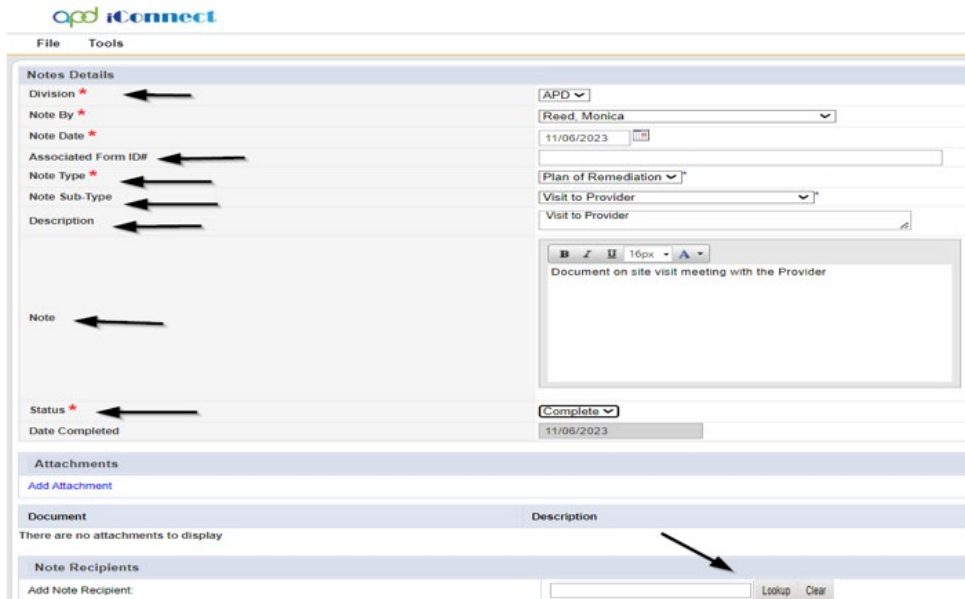


4. Click **File > Add Notes**

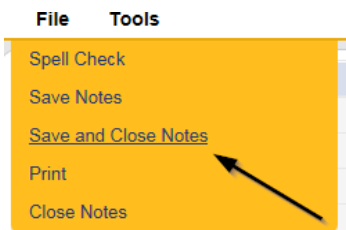


5. In the new Note record, update the following fields:
  - a. "Division" = APD
  - b. "Associated Form ID#" = Enter Form ID if applicable
  - c. "Note Type" = Plan of Remediation
  - d. "Note Subtype" = Visit to Provider
  - e. "Description" = Visit to Provider
  - f. "Enter Note" = Enter notes

- 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**



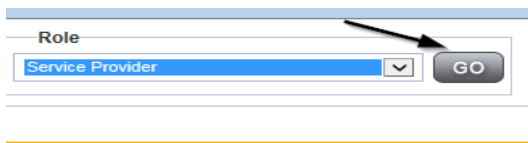
### Update Plan of Remediation



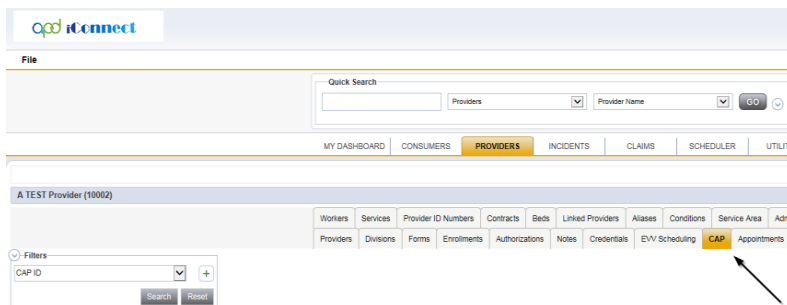
The Service Provider will receive notification of the Plan of Remediation/Non QIO Contact Letter note and tickler on My Dashboard. They will review the CAP record and item details and enter the corrective action taken for each item.

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

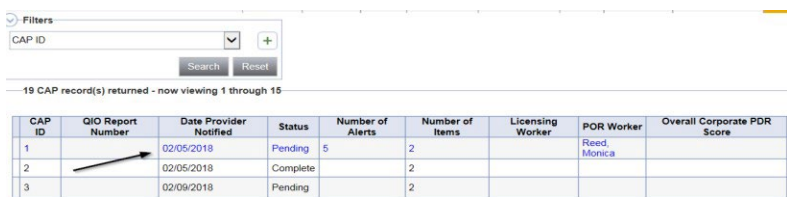




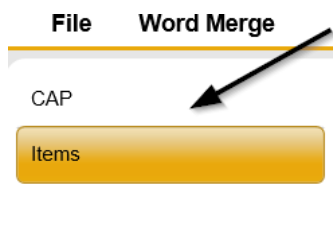
- The Provider's record will display. Navigate to the **Providers > CAP** tab



- Select the appropriate CAP record via the hyperlink



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



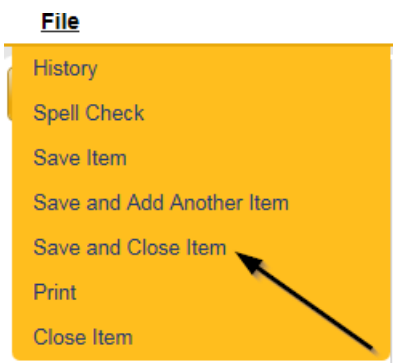
- Select an Item via the hyperlink in the list view grid

| 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       |

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

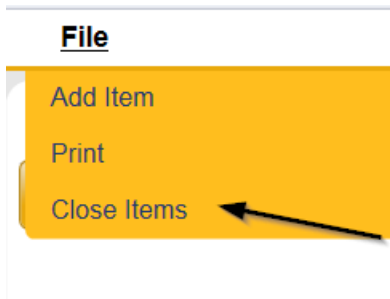
| Summary                              |  |
|--------------------------------------|--|
| Item ID                              | 690  |
| Action Type                          | Regional QA *  |
| Discovery Source*                    | APD Audit  |
| Remediation Type*                    | POR *  |
| Employee Involved*                   |  |
| Standard Not Met Description*        | 10 Provider documentation demonstrates the goals or identified needs on the Support Plan are being addressed.                                  |
| Comments                             |  |
| Item Status                          | Pending  |
| Potential Billing Discrepancy Amount |  |
| Due Date                             |  |
| Provider Worker                      | <input type="text"/> <input type="button" value="Lookup"/> <input type="button" value="Clear"/>  |
|                                      | Enter Information regarding the violation that the provider must submit  |
| Corrective Action Required           | <p>New Text</p> <p>provider adding corrective action <a href="#">information</a></p> <p><input type="button" value="Append Text to Note"/></p> |
| Evidence of Completion               |  |
|                                      | New Text   |

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

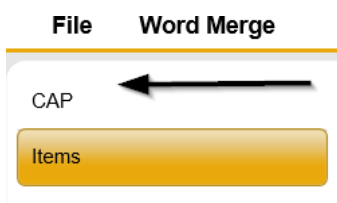


Repeat steps 4-7 for each item that needs to be updated

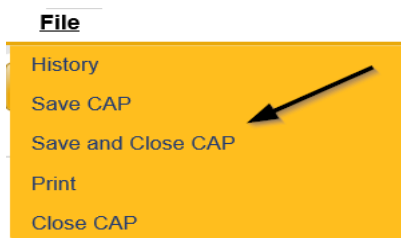
8. Click **File > Close Items**



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



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

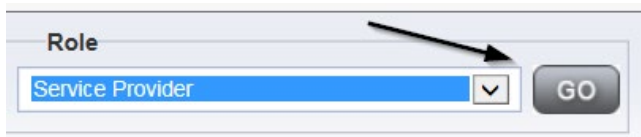


### CAP Submitted

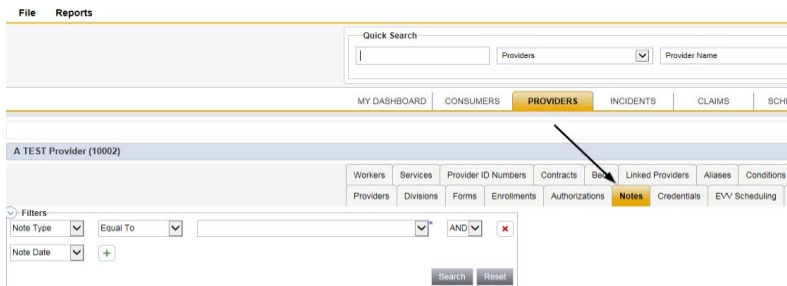


The Service Provider will add a new note to advise the QA Workstream worker that the CAP items have been updated and attach any supporting documents.

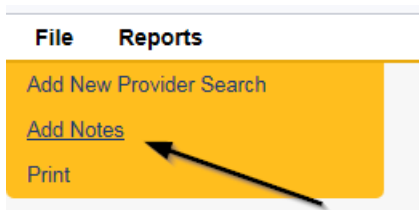
1. Set “Role” = Service Provider then click **Go**



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

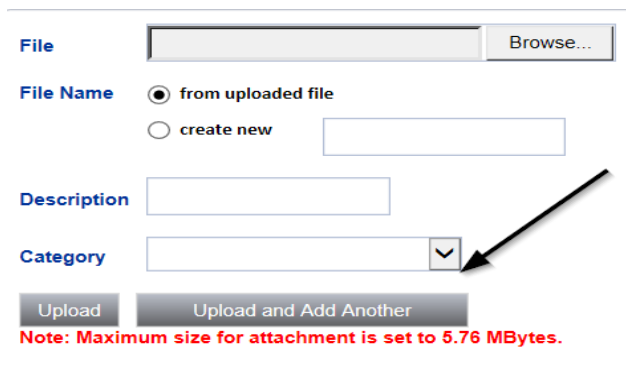


3. Click **File > Add Notes**



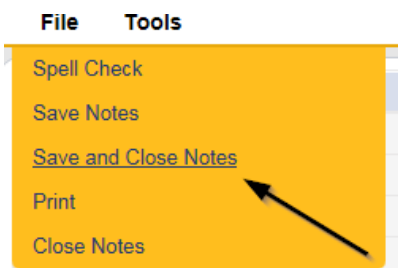
4. In the new Note record, update the following fields:

- 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**

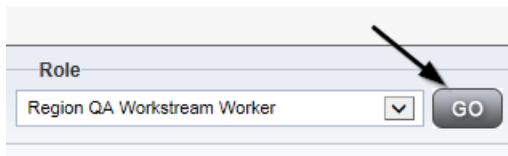


### Submit for Supervisor Review

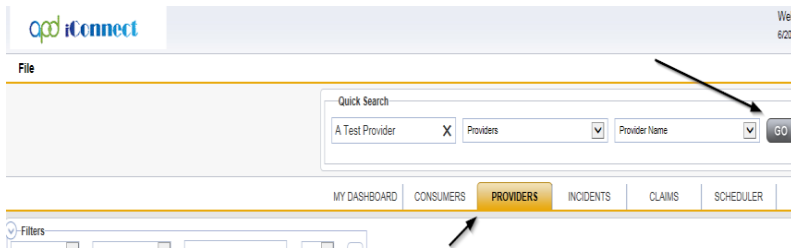


The QA Workstream Worker will receive notification of the CAP submitted/revised or further documentation note on My Dashboard. They will review the documentation for completeness and send a note for the QA lead to review the CAP record.

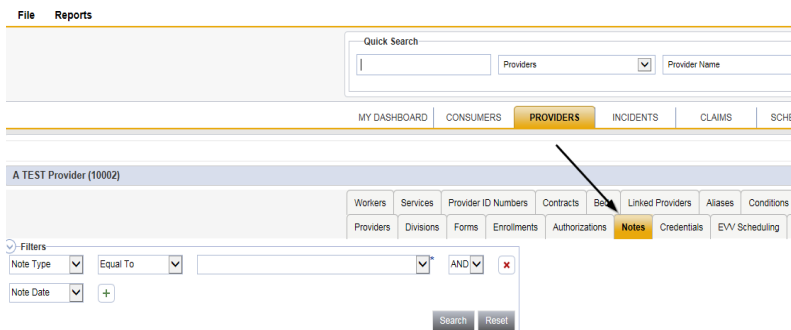
1. Set “Role” = Region QA Workstream Worker then click **Go**



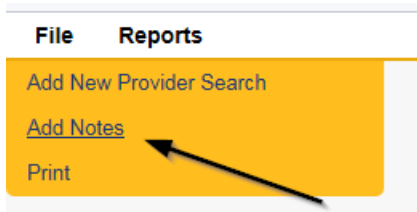
2. Navigate to the **Providers** chapter and enter the Provider’s name in the Quick Search filter and click go.



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:

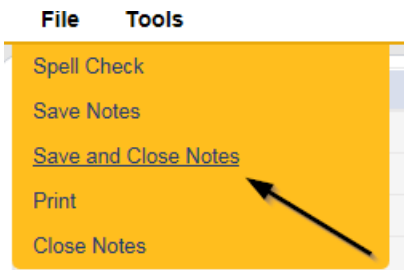
- a. "Associated Form ID#" = Enter Form ID if applicable
- b. "Note Type" = Plan of Remediation/Supervisor Review
- c. "Note" = Enter notes
- d. "Status" = Pending
- e. Click the Lookup button on the "Add Note Recipient" to add the [QA Workstream Worker/Lead](#) as the Note Recipient
- f. Enter Last Name and Click Search in the pop-up browser window. Select the Name of the worker to attach them to the note

A screenshot of a 'Notes Details' form. The form contains several fields with arrows pointing to them:
 

- Division \***: A dropdown menu with 'APD' selected.
- Note By \***: A dropdown menu with 'Reed, Monica' selected.
- Note Date \***: A date field with '11/08/2023' and a calendar icon.
- Associated Form ID#**: An empty text input field.
- Note Type \***: A dropdown menu with 'Plan of Remediation/Supervisor Review' selected.
- Note Sub-Type**: A dropdown menu.
- Description**: A large text area.
- Note**: A text area with a rich text editor toolbar (bold, italic, underline, font size, color).
- Status \***: A dropdown menu with 'Pending' selected.
- Date Completed**: An empty date field.

 Below the form are sections for 'Attachments' (with an 'Add Attachment' link), 'Document' (with a table header 'Document' and 'Description' and the text 'There are no attachments to display'), and 'Note Recipients' (with an 'Add Note Recipient:' label, an input field, and 'Lookup' and 'Clear' buttons). An arrow points to the 'Lookup' button.

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

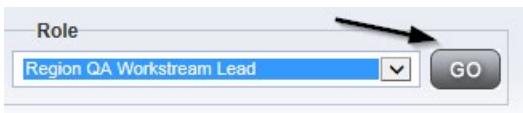


### Supervisor Approval

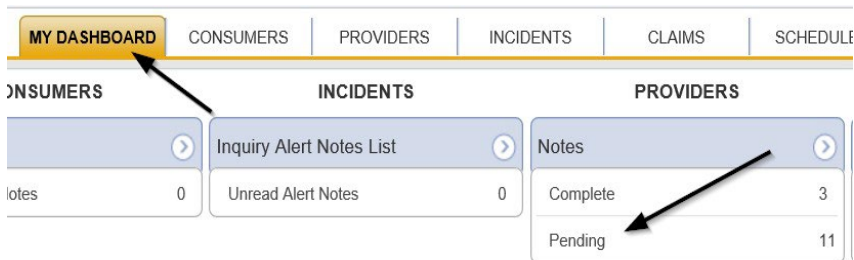


The QA Workstream Supervisor OR Lead will respond to the pending note from the QA Workstream Worker with approval. If denied, proceed to [CAP Rejected](#) or [Further Documentation Required](#)

- 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.



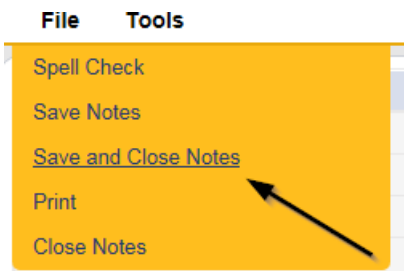
- Select the **Note Type = Plan of Remediation/Supervisor Review** and select the pending record via the hyperlink.





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

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



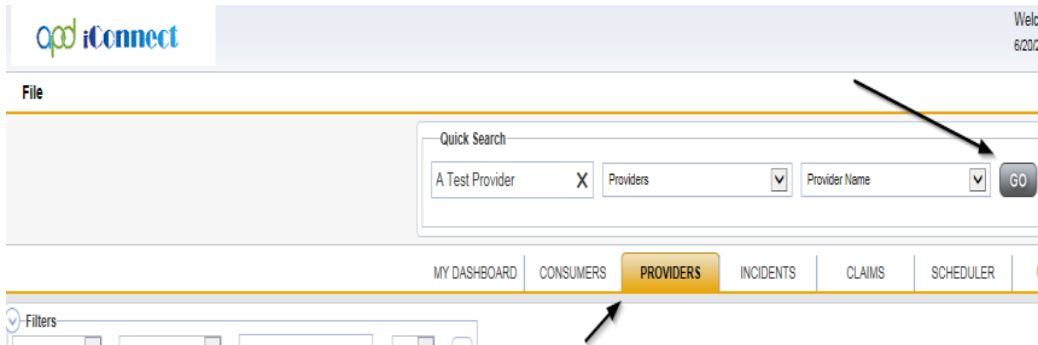
### Update CAP Item



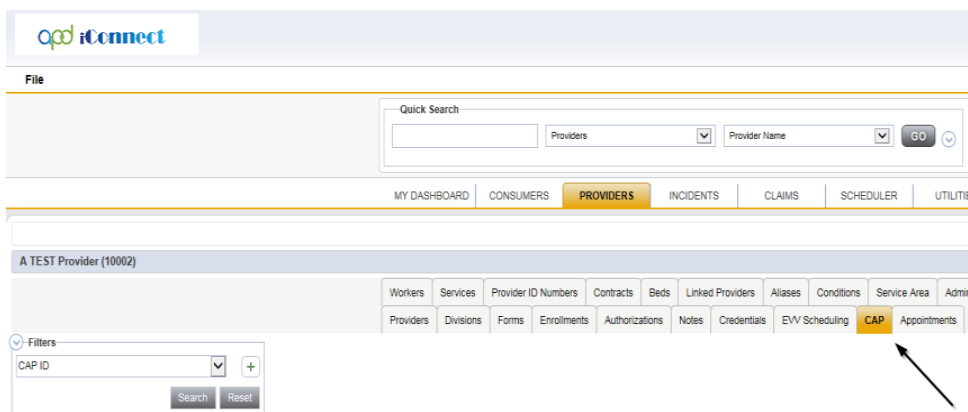
The QA Workstream Worker/Lead will review the CAP record and then close out each CAP item as either Complete, CAP Rejected, CAP Late or CAP Not Compliant.

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

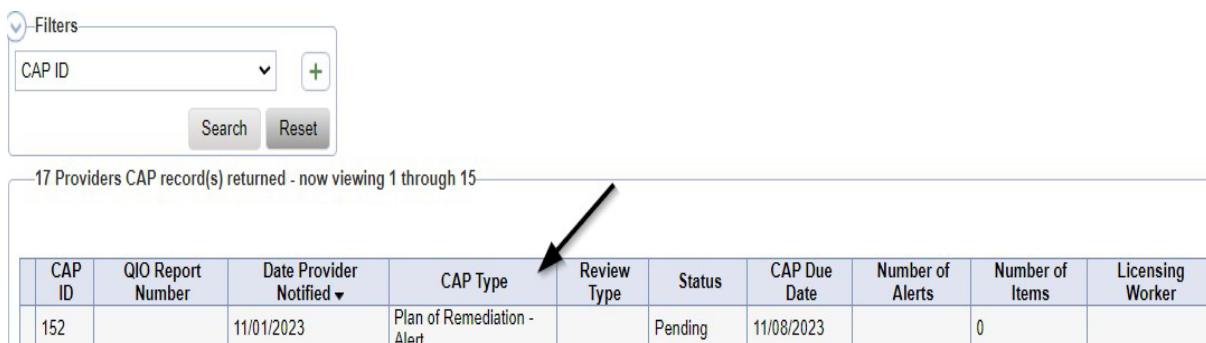
2. Navigate to the **Providers** chapter and enter the Provider’s name in the Quick Search filter and click go.



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**

CAP

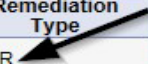
Items



| CAP   |  |
|---|--|
| CAP ID  | 1  |
| QIO Report Number                                   |  |
| CAP Type  | Plan of Remediation  |
| Date of CAP   | 02/01/2018   |
| Date Provider Notified                              | 02/05/2018   |
| Status  | Pending  |
| Number of Alerts                                    | 5  |
| Overall Corporate PDR Score %                       |  |
| Corporate Compliance Score %                        |  |
| Corporate Person-Centered Practices Score %         |  |
| Sum Total Potential Billing Discrepancies           | \$0.00   |
| Comments  | test comments  |
| Date Submitted by Provider                          | 02/05/2018  |
| Date Verified Complete by APD Staff                 | 02/05/2018   |
| Date POR Approved by QA Workstream Lead as Complete |  |
| POR Worker  | Reed, Monica <a href="#">Details</a>   |

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                      | 690  |
| Action Type                  | Regional QA  |
| Discovery Source*            | APD Audit  |
| Remediation Type*            | POR  |
| Employee Involved*           |  |
| Client Reviewed*             |  |
| Standard Not Met Description | 10 Provider documentation demonstrates the goals or identif ... Clear  |
| Comments                     | New Text<br>Append Text to Note  |
| Item Status                  | Complete   |
| Due Date                     |  |
| Complete Date *              | 12/20/2023   |
| Provider Worker              | Lookup Clear   |
| Corrective Action Required   | Enter Information regarding the violation that the provider must submit<br>On 12/20/2023 at 3:01 PM, Jennifer Buck wrote: provider adding corrective action information<br>New Text<br>Append Text to Note |
| Evidence of Completion       | New Text<br>document that the item was reviewed/approved for the corrective action <u>noted</u><br>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

| Summary                      |   |
|------------------------------|---|
| Item ID                      | 690   |
| Action Type                  | Regional QA   |
| Discovery Source*            | APD Audit   |
| Remediation Type*            | POR   |
| Employee Involved*           |   |
| Client Reviewed*             |   |
| Standard Not Met Description | 10 Provider documentation demonstrates the goals or identifi... Clear   |
| Comments                     | New Text<br>Comments why CAP is being rejected  |
|                              | Append Text to Note   |
| Item Status                  | CAP Rejected  |
| Due Date                     |   |
| Provider Worker              | Lookup Clear  |
| Corrective Action Required   | Enter Information regarding the violation that the provider must submit<br>On 12/20/2023 at 3:01 PM, Jennifer Buck wrote: provider adding corrective action information |
|                              | New Text<br>Append Text to Note   |
| Evidence of Completion       | New Text  |
|                              | Append Text to Note   |

If the **Item is Late:**

- a. "Item Status" = CAP Late

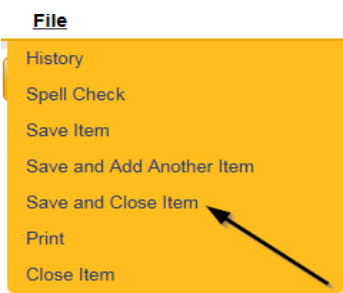
| Summary                      |  |
|------------------------------|--|
| Item ID                      | 690  |
| Action Type                  | Regional QA  |
| Discovery Source*            | APD Audit  |
| Remediation Type*            | POR  |
| Employee Involved*           |  |
| Client Reviewed*             |  |
| Standard Not Met Description | 10 Provider documentation demonstrates the goals or identi... <span>Clear</span>   |
| Comments                     | <b>New Text</b>  |
|                              | <input type="text"/>   |
|                              | <span>Append Text to Note</span>   |
| Item Status                  | CAP Late   |
| Due Date                     | <input type="text"/>   |
| Provider Worker              | <input type="text"/> <span>Lookup</span> <span>Clear</span>  |
| Corrective Action Required   | <b>Enter information regarding the violation that the provider must submit</b><br>On 12/20/2023 at 3:01 PM, Jennifer Buck wrote: provider adding corrective action information |
|                              | <b>New Text</b>  |
|                              | <input type="text"/>   |
|                              | <span>Append Text to Note</span>   |
| Evidence of Completion       | <b>New Text</b>  |
|                              | <input type="text"/>   |
|                              | <span>Append Text to Note</span>   |

**If the Item is Not Compliant:**

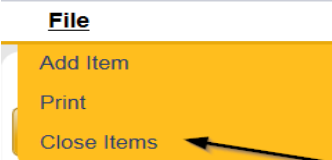
- a. "Item Status" = CAP Not Compliant

| Summary                      |   |
|------------------------------|---|
| Item ID                      | 690   |
| Action Type                  | Regional QA   |
| Discovery Source*            | APD Audit   |
| Remediation Type*            | POR   |
| Employee Involved*           |   |
| Client Reviewed*             |   |
| Standard Not Met Description | 10 Provider documentation demonstrates the goals or identi... Clear   |
| Comments                     | New Text  |
|                              | Append Text to Note   |
| Item Status                  | CAP Late  |
| Due Date                     |   |
| Provider Worker              | Lookup Clear  |
| Corrective Action Required   | Enter Information regarding the violation that the provider must submit<br>On 12/20/2023 at 3:01 PM, Jennifer Buck wrote: provider adding corrective action information |
|                              | New Text  |
| Evidence of Completion       | Append Text to Note   |
|                              | New Text  |
|                              | Append Text to Note   |

- 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

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      |                   | 02/05/2018             | Pending  | 5                | 2               |                  | Reed, Monica |                             |
| 2      |                   | 02/05/2018             | Complete |                  | 2               |                  |              |                             |
| 3      |                   | 02/09/2018             | Pending  |                  | 2               |                  |              |                             |

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

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: Complete

Number of Alerts\*

Overall PDR Score %\*

Compliance Score %\*

Person-Centered Practices Score %\*

Sum Total Potential Billing Discrepancies\*

Date Submitted by Provider

Date Verified Complete by APD Staff: 07/01/2023

Comments

Date POR Approved by QA Workstream Lead as Complete: 07/05/2023

QA Workstream Worker:

QA Workstream Lead: Buck, Jennifer

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  | <div style="border: 1px solid #ccc; padding: 5px;"> <div style="border-bottom: 1px solid #ccc; padding-bottom: 5px;"> <span style="font-weight: bold;">B</span> <span style="font-style: italic;">I</span> <span style="border-bottom: 1px solid black;">U</span> 16px <span style="font-weight: bold; color: blue;">A</span> </div> <div style="height: 100px;"></div> </div> |
| Date POR Approved by QA Workstream Lead as Complete |  |
| QA Workstream Worker                                | <input type="text"/> <span>Lookup</span> <span>Clear</span>  |
| QA Workstream Lead                                  | <input type="text"/> <span>Lookup</span> <span>Clear</span>  |



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

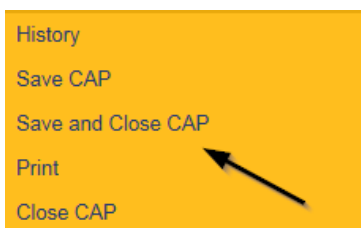
| CAP   |   |
|---|---|
| CAP ID  | 86  |
| QIO Report Number*                                  |   |
| CAP Type  | Plan of Remediation   |
| Review Type*  |   |
| Date of CAP*  | 04/01/2023  |
| Region*   |   |
| Associated Form ID#                                 |   |
| Date Provider Notified *                            | 04/03/2023  |
| CAP Due Date *                                      | 05/12/2023  |
| Status  | CAP Late  |
| 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                 | 07/15/2023  |
| Comments  | <div style="border: 1px solid #ccc; padding: 5px;"> <p><b>B I U</b> 16px <b>A</b></p> <div style="height: 100px;"></div> </div> |
| Date POR Approved by QA Workstream Lead as Complete | 07/20/2023  |
| QA Workstream Worker                                | <input type="text"/> <span>Lookup</span> <span>Clear</span>   |
| QA Workstream Lead                                  | Buck, Jennifer <span>Lookup</span> <span>Clear</span> <span>Details</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  | 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 Not Compliant   |
| 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  | <div style="border: 1px solid #ccc; padding: 5px;"> <div style="border-bottom: 1px solid #ccc; padding-bottom: 5px;"> <span style="font-weight: bold;">B</span> <span style="font-style: italic;">I</span> <span style="text-decoration: underline;">U</span> 16px <span style="font-weight: bold;">A</span> </div> <div style="height: 100px;"></div> </div> |
| Date POR Approved by QA Workstream Lead as Complete |   |
| 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**

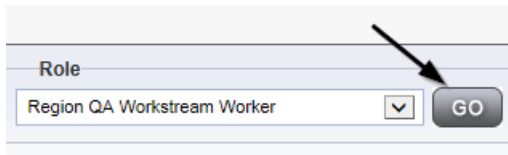


### Service Provider Notification

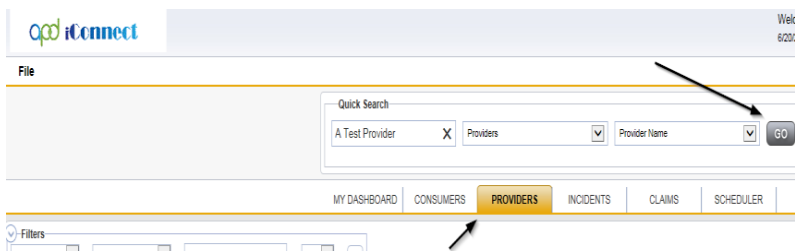


The QA Workstream Worker will receive notification of the Supervisor Approval on My Dashboard. They will then add a new note to notify the Service Provider.

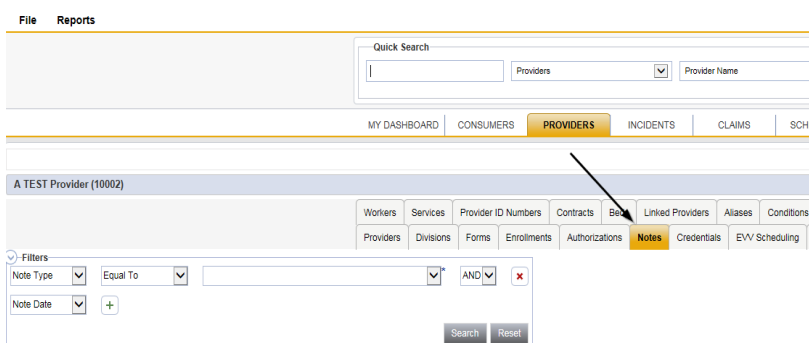
1. Set “Role” = Region QA Workstream Worker then click **Go**



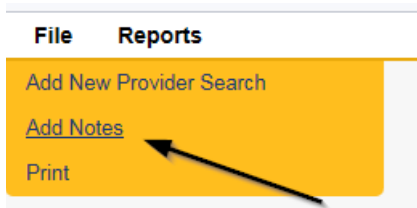
2. Navigate to the **Providers** chapter and enter the Provider’s name in the Quick Search filter and click go.



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



4. Click **File > Add Notes**



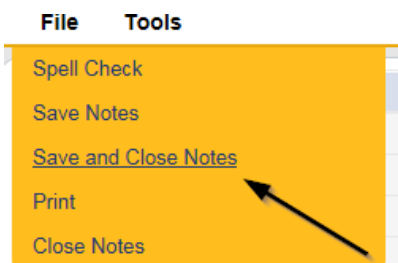
5. In the new Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID if applicable
  - b. "Note Type" = Plan of Remediation
  - c. "Note Subtype" = CAP Accepted
  - d. "Description" = CAP Accepted
  - e. "Note" = Enter notes
  - f. "Status" = Complete
  - g. Click the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

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

- Division: APD
- Note By: Reed, Monica
- Note Date: 12/19/2023
- Associated Form ID#: (empty)
- Note Type: Plan of Remediation
- Note Sub-Type: CAP Accepted
- Description: CAP Accepted
- Note: (empty text area)
- Status: Complete
- Date Completed: 12/19/2023

Arrows point to the following fields: Associated Form ID#, Note Type, Note Sub-Type, Description, Note, and Status. The 'Add Note Recipient' section at the bottom has a 'Lookup' button highlighted with an arrow.

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.

| CONSUMERS |   | INCIDENTS                |   | PROVIDERS |    |
|-----------|---|--------------------------|---|-----------|----|
| Notes     | 0 | Inquiry Alert Notes List | 0 | Complete  | 3  |
|           |   | Unread Alert Notes       | 0 | Pending   | 11 |

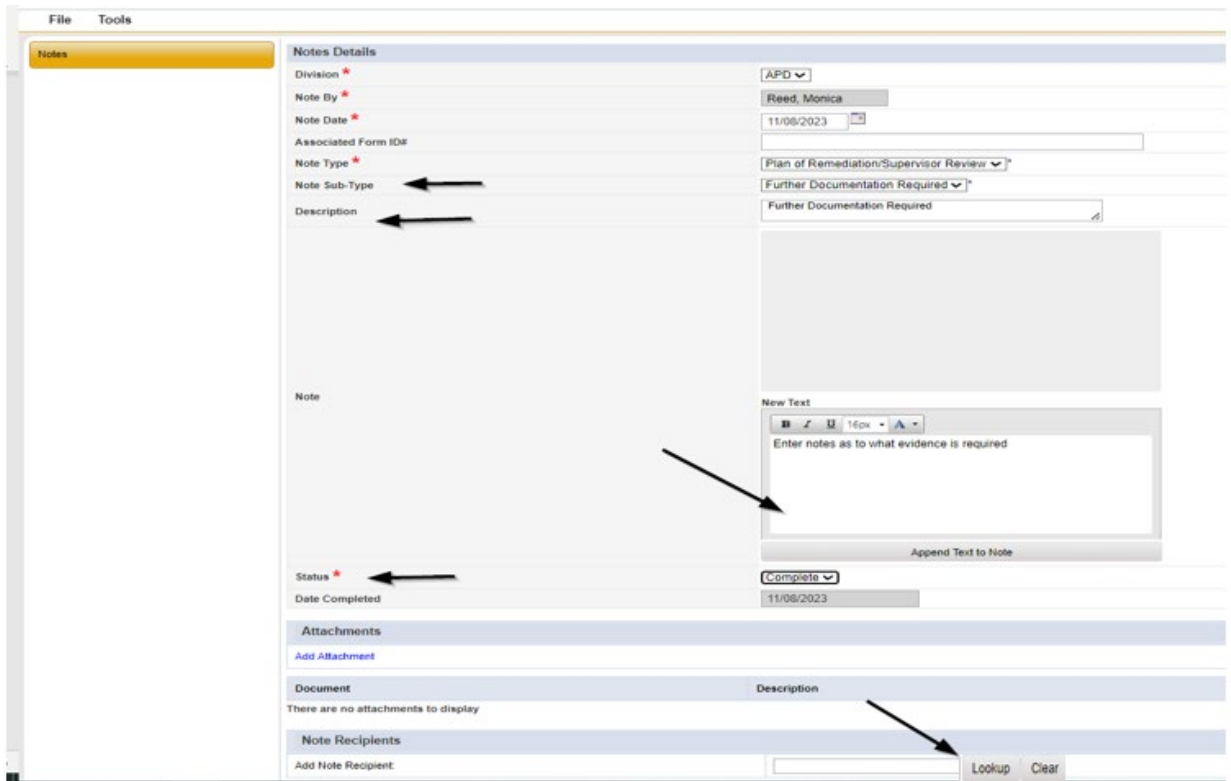
3. Select the **Note Type = Plan of Remediation/Supervisor Review** and select the pending record via the hyperlink.

| Provider      | Note Type                             | Note Date  | Description | Author       | Status  |
|---------------|---------------------------------------|------------|-------------|--------------|---------|
| Test Provider | Plan of Remediation/Supervisor Review | 11/08/2023 |             | Reed, Monica | Pending |

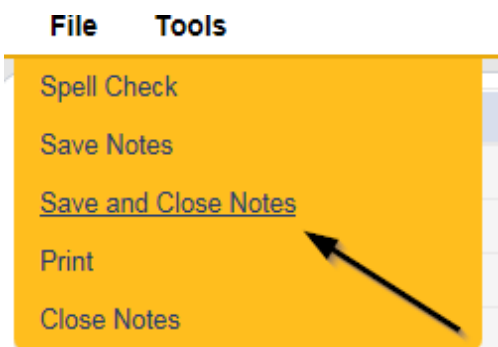
4. In the pending Note record, update the following fields:
  - a. “Note Type” = Leave as Plan of Remediation/Supervisor Review
  - b. “Note Subtype” = Update to Further Documentation Required
  - c. “Description” = Update to Further Documentation Required
  - d. “Note” = Enter notes as to what evidence 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**

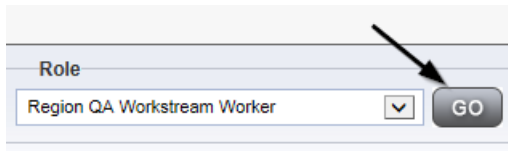


### As Needed: Notify Service Provider

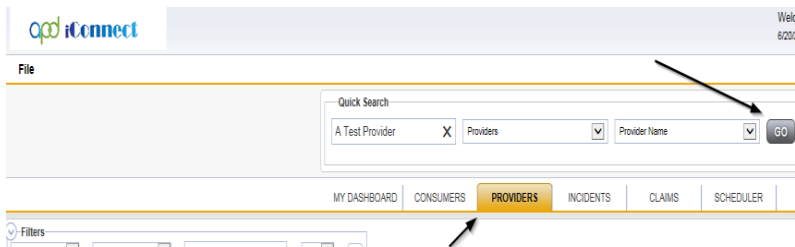


The QA Workstream Worker will receive notification of the Further Documentation Required note on My Dashboard. They will then add a new note to notify the Service Provider.

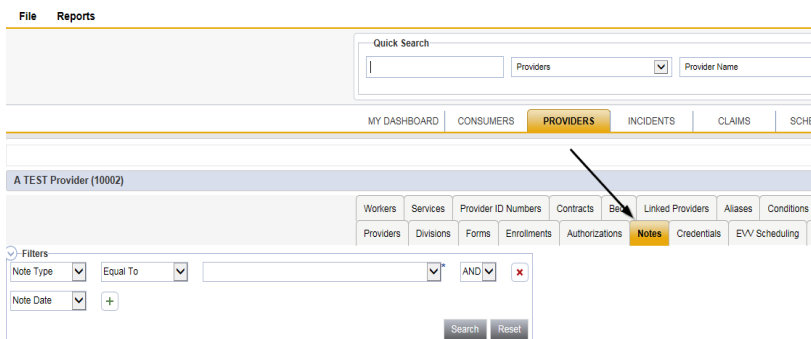
1. Set “Role” = Region QA Workstream Worker then click **Go**



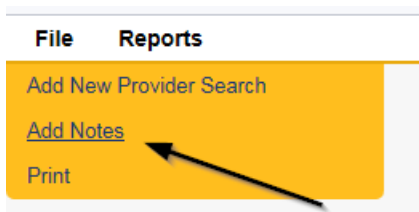
2. Navigate to the **Providers** chapter and enter the Provider’s name in the Quick Search filter and click go.



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



4. Click **File > Add Notes**

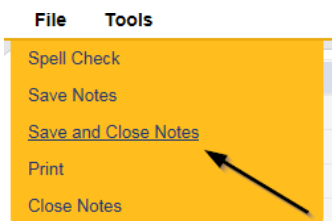


5. In the new Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID if applicable
  - b. "Note Type" = Plan of Remediation
  - c. "Note Subtype" = Further Documentation Required
  - d. "Description" = Further Documentation Required
  - e. "Note" = Enter notes
  - f. "Status"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

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

- Division: APD
- Note By: Reed, Monica
- Note Date: 11/08/2023
- Associated Form ID#: (empty)
- Note Type: Plan of Remediation
- Note Sub-Type: Further Documentation Required
- Description: Further Documentation Required
- Note: (empty text area)
- Status: Pending
- Date Completed: (empty)
- Attachments: Add Attachment
- Document: (empty)
- Description: (empty)
- Note Recipients: Add Note Recipient, Lookup, Clear

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  Reed, Monica

Note Date  11/29/2023

Associated Form ID#

Note Type  Plan of Remediation

Note Sub-Type  Further Documentation Required

Description

Note

**New Text**

Status  Pending

Date Completed

**Attachments**

| Document                            | Description |
|-------------------------------------|-------------|
| There are no attachments to display |             |

**Note Recipients**

Add Note Recipient:

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

**File** **Tools**

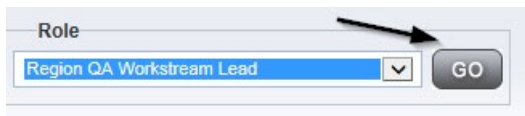
- Spell Check
- Save Notes
- Save and Close Notes
- Print
- Close Notes

**As Needed: Further Documentation Provided**

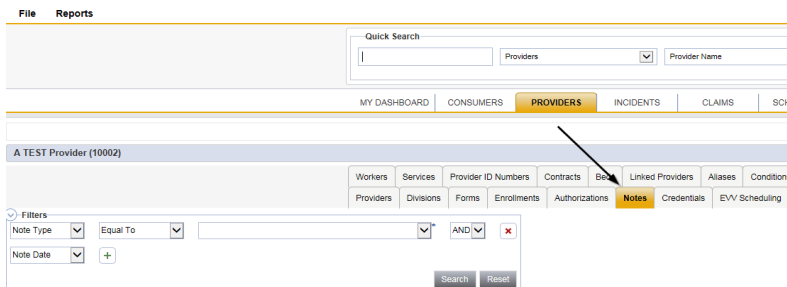


The QA Workstream Worker will receive notification of the Further Documentation Required Note. They will review and if complete, notify the QA Workstream Lead.

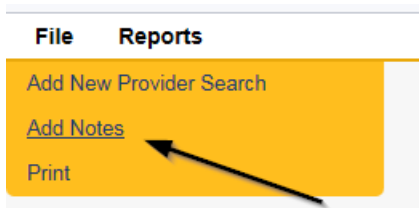
1. Set “Role” = Region QA Workstream Worker/Lead then click **Go**



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



3. Click **File > Add Notes**



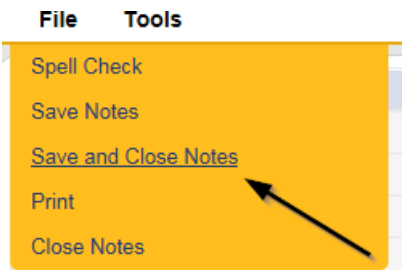
4. In the new Note record, update the following fields:
  - a. “Note Type “ = Plan of Remediation/Supervisor Review “Note Subtype” = Further Documentation Provided
  - b. “Description” = Further Documentation Provided
  - c. “Notes” = Enter Notes
  - d. “Status” = Pending
  - e. Click the Lookup button 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

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

- Division: APD
- Note By: Reed, Monica
- Note Date: 12/19/2023
- Associated Form ID#: (empty)
- Note Type: Plan of Remediation/Supervisor Review
- Note Sub-Type: Further Documentation Provided
- Description: Further Documentation Provided
- Note: (empty text area)
- Status: Pending
- Date Completed: (empty)

Arrows point to the following fields: Note Type, Note Sub-Type, Description, Note, Status, and the 'Add Note Recipient' field in the 'Note Recipients' section.

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



**As Needed: CAP Rejected**



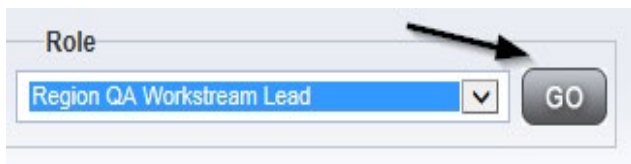
Proceed to [Update CAP Item](#) Step 7 first and update each CAP item to rejected.

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

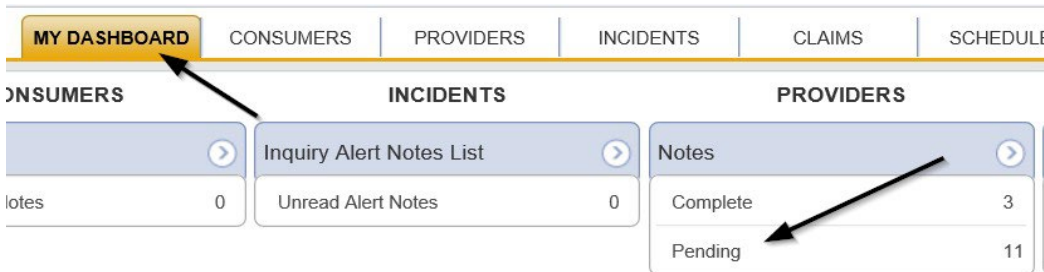
The QA Workstream Lead will update the Plan of Remediation/Supervisor Review pending note if the decision is made to reject the CAP to notify the QA Workstream Worker.

**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.





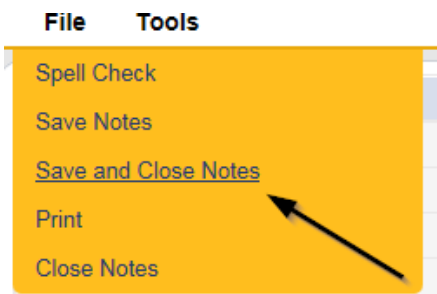
3. Select the **Note Type = Plan of Remediation/Supervisor Review** and select the pending record via the hyperlink.

The screenshot shows the iConnect application interface. At the top right, it says "Welcome, Monica Reed" and "11/8/2023 1:19 PM". Below the header is a "File Tools" menu. A "Filters" panel is open, showing "Status" set to "Equal To", "Pending", and "AND". The "NoteType" dropdown is set to "Plan of Remediation/Supervisor Review". Below the filters, it says "38 My Dashboard Notes record(s) returned - now viewing 1 through 15". A table of notes is displayed with the following columns: Provider, NoteType, Note Date, Description, Author, Status, and a checkbox. The first row is highlighted, and an arrow points to the "NoteType" cell.

| Provider      | NoteType                              | Note Date  | Description | Author       | Status  |                          |
|---------------|---------------------------------------|------------|-------------|--------------|---------|--------------------------|
| Test Provider | Plan of Remediation/Supervisor Review | 11/08/2023 |             | Reed, Monica | Pending | <input type="checkbox"/> |

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.

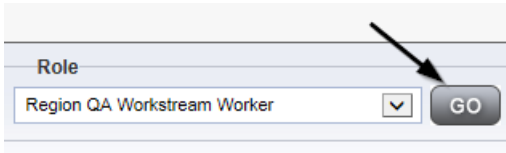
Then proceed to [Update CAP Detail Record](#) to update the CAP record to rejected. Once finished, proceed to [Notify Provider of CAP Rejection](#)

### As Needed: Notify Provider of CAP Rejection

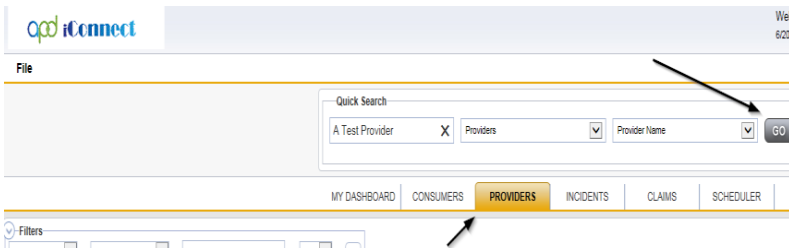


The QA Workstream Worker will add a new note to advise the Service Provider of the CAP rejection.

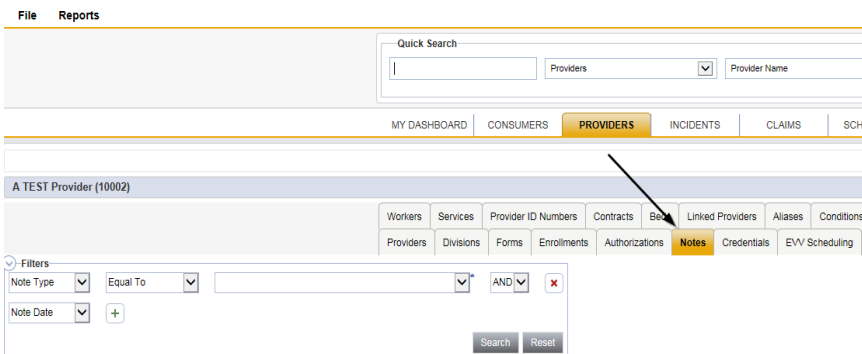
1. Set “Role” = Region QA Workstream Worker then click **Go**



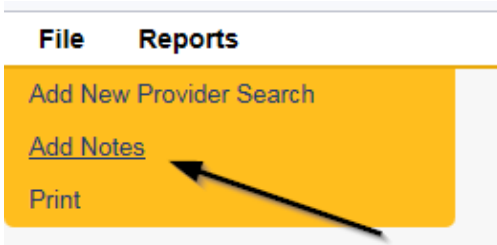
2. Navigate to the **Providers** chapter and enter the Provider’s name in the Quick Search filter and click go.



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

**Notes Details**

Division \* APD

Note By \* Reed, Monica

Note Date \* 11/09/2023

Associated Form ID#

Note Type \* Plan of Remediation

Note Sub-Type CAP Rejected

Description CAP Rejected

Note

Status \* Pending

Date Completed

**Attachments**

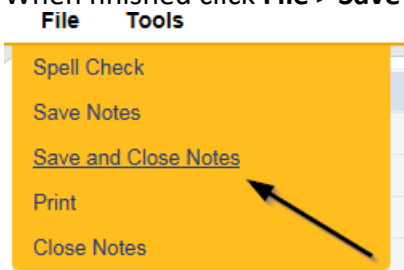
[Add Attachment](#)

| Document                            | Description |
|-------------------------------------|-------------|
| There are no attachments to display |             |

**Note Recipients**

Add Note Recipient:

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

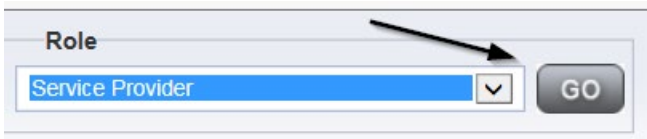


**As Needed: CAP Revision Note**

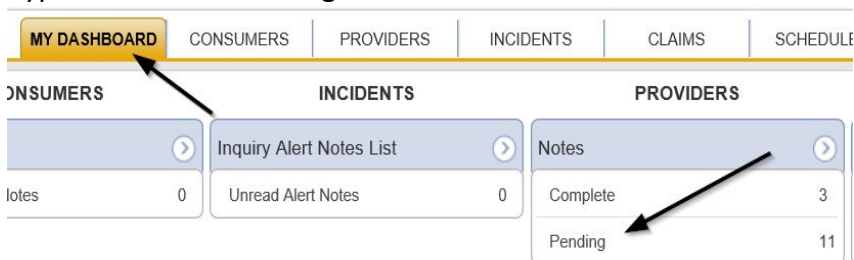


The Service Provider will receive notification on My Dashboard of the CAP Rejected note. They will scan, save and attach a copy of the supporting documentation to their desktop for the requested information, update CAP items as applicable and update the pending CAP Rejected note.

- Set “Role” = Service Provider 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 Rejected** and then select the pending record via the hyperlink.

Filters  
 Status: Equal To Pending AND  
 NoteType: +  
 Search Reset

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

| Provider      | NoteType            | Note Date  | Description  | Author       | Status  |
|---------------|---------------------|------------|--------------|--------------|---------|
| Test Provider | Plan of Remediation | 11/09/2023 | CAP Rejected | Reed, Monica | Pending |

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

File  Browse...

File Name  from uploaded file  
 create new

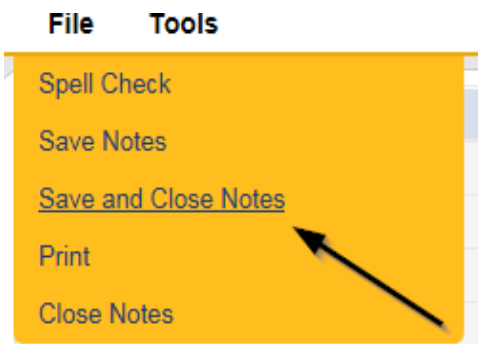
Description

Category

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

- 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.

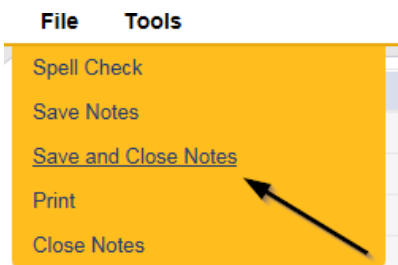
| Provider      | Note Type           | Note Date  | Description | Author       | Status  |
|---------------|---------------------|------------|-------------|--------------|---------|
| Test Provider | Plan of Remediation | 11/09/2023 | CAP Revised | Reed, Monica | Pending |

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



| Notes Details       |  |
|---------------------|--|
| Division *          | APD  |
| Note By *           | Reed, Monica   |
| Note Date *         | 11/09/2023   |
| Associated Form ID# |  |
| Note Type *         | Plan of Remediation  |
| Note Sub-Type       | CAP Revised  |
| Description         | CAP Revised  |
| Note                | <p>On 11/9/2023 at 12:46 PM, Monica Reed wrote:<br/>Enter details as to why CAP is being rejected</p> <p>New Text</p> <p><b>B</b> <i>I</i> <u>U</u> 16px <b>A</b></p> <p>Append Text to Note</p> |
| Status *            | Complete   |
| Date Completed      | 11/09/2023   |

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





Proceed to [Submit for Supervisor Review](#)

**As Needed: CAP Late**

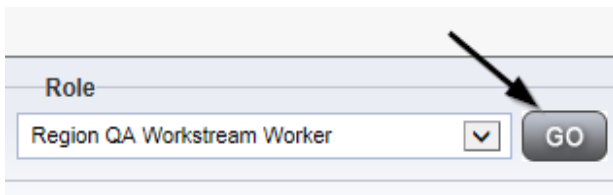
The QA Workstream Worker will add a new note if the Provider completes the POR but it is more than 7 calendars day past the 90 day timeframe. The CAP will be closed as CAP Late. The QA Workstream Worker may choose to run the Provider CAP report first to confirm. Proceed to [Generate Provider CAP Report](#) if this step is necessary.



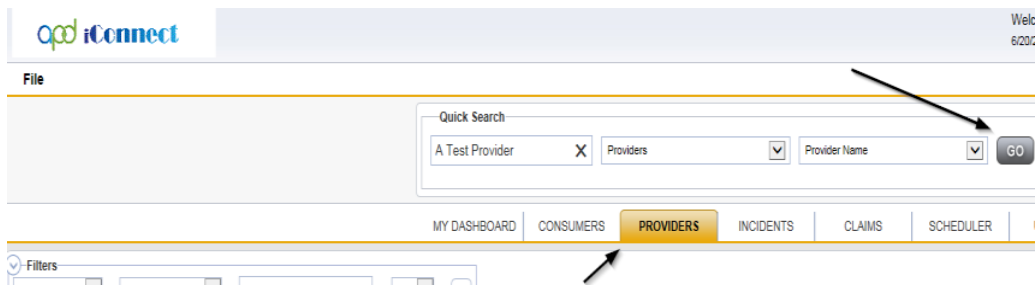
Proceed to [Update CAP Item](#) to update each item status as CAP Late first, then proceed to [Update CAP Detail Record](#) to update the CAP details record status to CAP Late. Once complete, proceed to update the note as outlined in the steps below.

**CAP Late** is defined as – A valid obstacle prevented the Provider/APD from sending/receiving/reviewing documents within the 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.

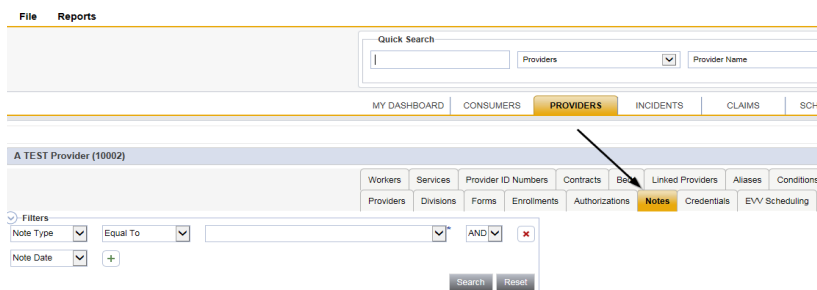
1. Set “Role” = Region QA Workstream Worker then click **Go**



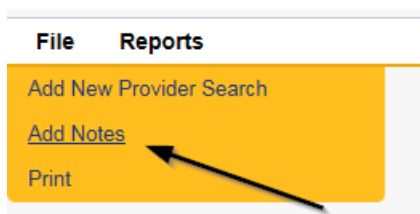
2. Navigate to the **Providers** chapter and enter the Provider’s name in the Quick Search filter and click Go.



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

**Notes Details**

Division \* APD

Note By \* Reed, Monica

Note Date \* 11/09/2023

Associated Form ID#

Note Type \* Plan of Remediation

Note Sub-Type CAP Late

Description CAP Late

Note

Status \* Complete

Date Completed 11/09/2023

**Attachments**

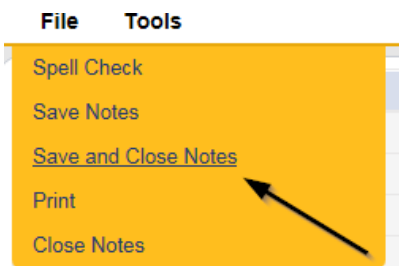
[Add Attachment](#)

| Document                            | Description |
|-------------------------------------|-------------|
| There are no attachments to display |             |

**Note Recipients**

Add Note Recipient:

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



### As Needed: CAP Not Compliant

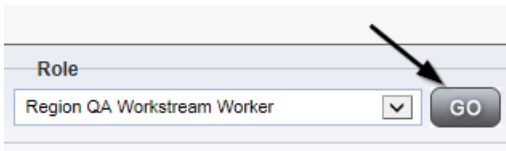


Proceed to [Update CAP Item](#) status to CAP Not Compliant first. *Please note that some items may already be in a complete status. These do not need to be updated to CAP Not Compliant.* Additionally, proceed to [Update CAP Detail Record](#) to update the CAP details record to CAP Not Compliant and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

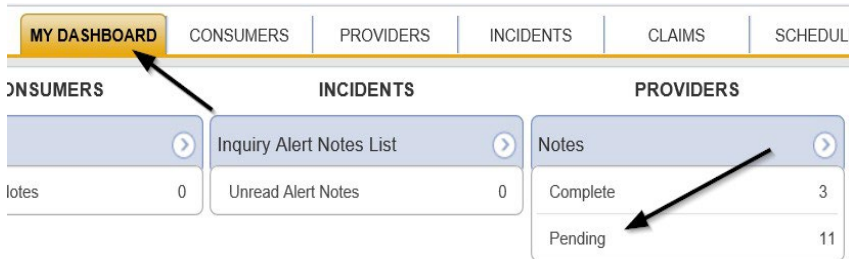
The QA Workstream Worker will update the pending Plan of Remediation/Supervisor Review note if the Provider does not complete the Plan of Remediation and the 90-day clock has expired. The CAP will be closed as Not Compliant.

**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.

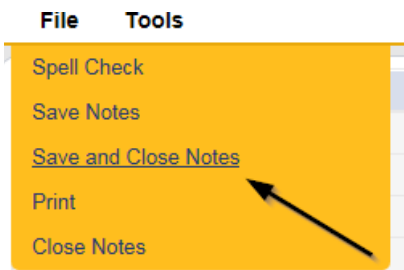


3. Select the **Note Type = Plan of Remediation/Supervisor Review** and select the pending record via the hyperlink.

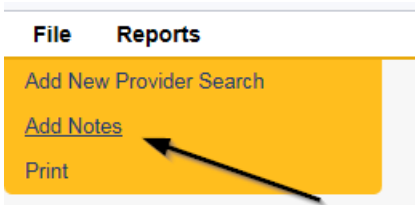


4. The pending note will be marked as complete and a new note created for the provider. In the pending Note record, update the following fields:
  - a. "Note Type" = Remains Plan of Remediation/Supervisor Review
  - b. "Note Subtype" = CAP Not Compliant
  - c. "Description" = CAP Not Compliant
  - d. "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**

