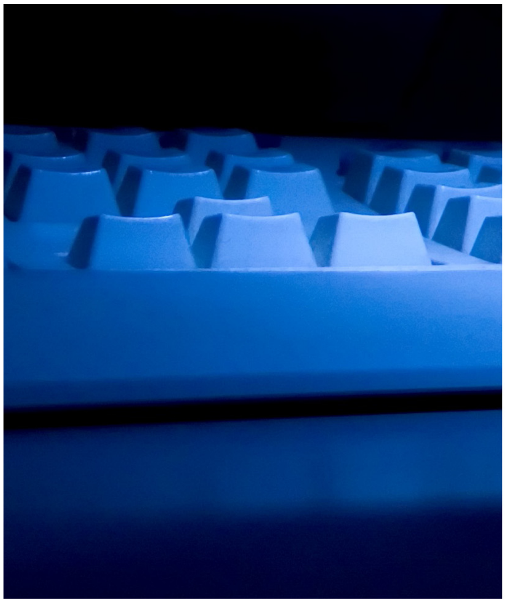
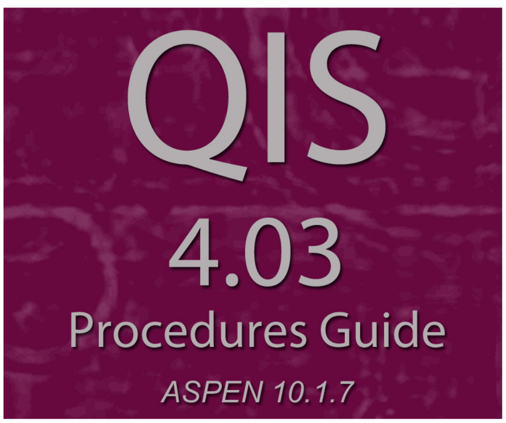
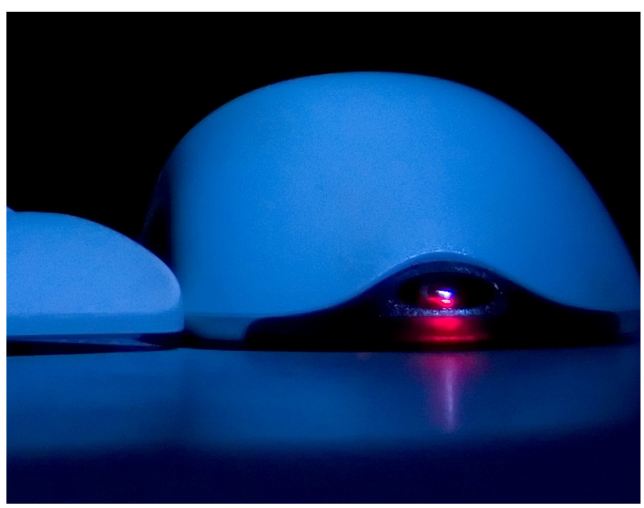


QIS

IT and SURVEYOR GUIDE





September 21, 2014

Systems Environment

Application Development: MS Visual C++ version 7.1, .NET 3.5

Desktop Database (ASE-Q only): SQL Anywhere 11

CMS supported Operating Systems and MS Internet Explorer versions are posted on the QTSO Website
https://www.qtso.com
under the Minimum System Requirements section

Server Database: Oracle Database 11g Enterprise Edition Release 11.2.0.3.0

Optional System Environments

MAPI Compliant Email client to support email transfer of survey information.

Note: This document can be viewed online or printed in a duplex (two-sided) format. Blank pages have been automatically inserted as needed for correct pagination in the printed copy.

Contents

Introduction

The QIS IT and Surveyor Guide includes IT information for administrating and managing ASE-Q and the QIS Tool for QIS surveyors, and QIS software procedures, information, and tips for QIS surveyors.

This guide does not include information regarding the QIS survey process. If you need QIS survey process information, contact your QIS State Trainer.

About this Procedures Guide

The *QIS IT and Surveyor Guide* gives you the information you need to:

- Install ASE-Q and Manage database patches
- Administer user accounts and settings
- Create and conduct QIS Recertification, revisits, and RO Comparative surveys and revisits using the QIS process

---

Note: This guide assumes that you are familiar with basic Windows operations and that you have attended QIS training offered by your agency.

This guide consists of this introduction and the following three chapters:

- ASE-Q IT

  Provides information and procedures for supporting QIS software and surveyors.
- QIS Surveys

  Contains task-based QIS software procedures for conducting QIS surveys.
- Supporting Materials

  Contains supplemental information and reference items.

While it is designed to be used easily online, you can print this document if you prefer.

View this Document Online

You must have Adobe Reader installed to view this document online. You can download the latest version from http://www.adobe.com/products/acrobat/readstep2.html.

On any page, you can click the Increase (**+**) or Decrease (**-**) button in the toolbar to adjust the page magnification to your comfort level. Use the bookmarks in the left pane of Adobe Reader to locate and go (click the bookmark) to relevant information in this procedures guide.

f

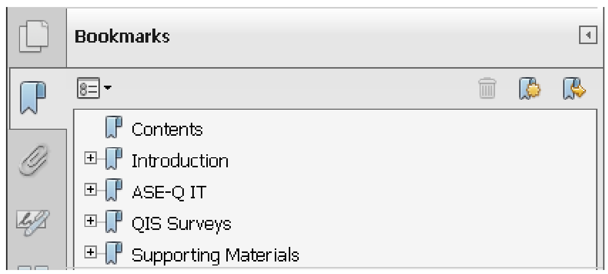


Figure 1: Bookmarks

You can also click the Contents bookmark and then click links in the table of contents to go to relevant topics.

TIP: For best viewing quality in Adobe Reader, go to Edit | Preferences | Page Display (path may vary somewhat depending on version). Select the applicable Smooth Text option.

If you need more information, links to relevant additional material in this document are included. They are grouped at the end of a procedure or descriptive section as shown below. Click a link to directly access the related information.

More ...

"Wired Communication" on page 19
"RO Surveyors (embedded or observational)" on page 115

Viewing a Printed Copy of this Document

If you print this procedures guide, use the Table of Contents to locate the information you need. Cross-references to additional material in this document include page numbers; simply go to the indicated page.

Conventions

This guide uses the following conventions:

Bold In procedures: names of screens, screen sections, windows you open; and buttons, menu options, keys you press.

ACO Generic reference to ACO and ARO. When necessary, ARO is explicitly identified.

Facility Properties
Generic reference to the Define New Facility/<FacName> Definition window.

web Generic reference to the World Wide Web.

More …
Introduces a list of "see also" cross-references.

Note: Notes give you important information that may affect how you use a function.

TIP: Tips give you useful hints, suggestions, or alternative approaches.

WARNING! Warnings tell you actions to avoid that may cause harm, or precautions you should take to avoid causing harm.

Accessibility Features

The *QIS IT and Surveyors Guide* and the QIS application include a number of 508-compliant accessibility features, which are detailed below.

In this Guide

This guide incorporates the following 508-compliant accessibility features:

- Alternative text (alt text), which screen readers can read, is defined for all graphics.
- All graphics have captions.
- Information is not conveyed by means of color alone.
- Tables are generally not used for formatting, so text is accessible to screen readers.
- Reading order is optimized, so content is read correctly by screen readers.

In QIS

QIS includes the following 508-compliant accessibility features:

- QIS is keyboard-accessible.
- Error messages are accessible to screen readers.

ASE-Q IT

The ASE-Q IT chapter provides IT staff, QIS coordinators, and QIS Surveyors (both State Agencies and Regional Offices) with technical information and procedures to create best practices for successful QIS surveys.

This chapter gives you the information you need to:

- Install ASE-Q (including QIS)
- Shut down and re-name the Sybase SQL Database
- Set up mobile computers for wired and USB connectivity
- Turn off Navigator dependencies
- Manage ASE-Q user accounts
- Manage QIS static data versions

ASE-Q Installation

This procedure describes installing the full version of ASE-Q as a standalone application, as you would install on a mobile computer. Some installation considerations:

ASPEN applications should not be installed under the Program Files folder, since newer versions of Windows secure these folders against modifications, which interferes with ASPEN updates.

You can change the location of the new ASPEN folder, but do not install to a drive that has been mapped using SUBST or NET USE. The Sybase database cannot connect to these mapped drives.

If you use an image to set up mobile computers running ASE-Q, you must also rename the Sybase database server on each laptop with the correct computer name.

Recommended display settings for mobile computers are:

- Screen resolution: 1024x768
- Font size: Normal

Due to its size, the ASPEN installer is distributed on DVDs. If some of your computers do not have a DVD drive, you can copy the install files to a 2GB USB drive, and perform the install from there.

Installing ASE-Q from a network drive is not recommended.

More ...

"Sybase Database Service" on page 17

To install ASE-Q:

1 On the Windows desktop, click **Start** | **Run**, and navigate to the folder containing your ASPEN install files. Setup.exe is in the root directory.

2 Double-click **Setup.exe** to launch the ASPEN Installer.

The ASPEN Installer first checks your system for prerequisite programs. It searches for the Windows Installer,.NET and the Microsoft Report Viewer. If any of these programs need to be installed, you will be advised:

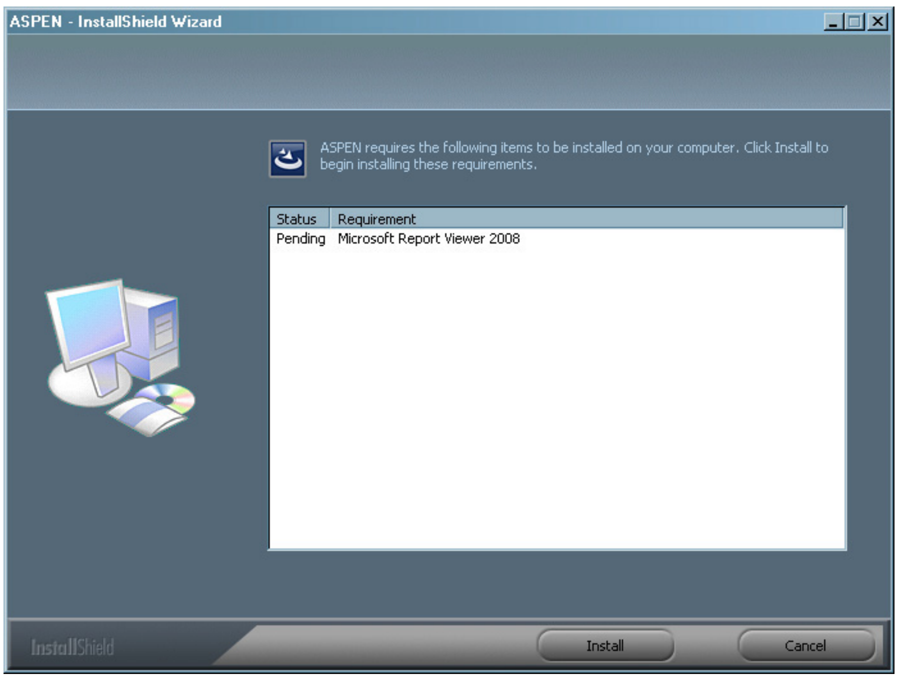


Figure 2: InstallShield Wizard - prerequisite programs check

3 Click **Install** to perform the installation.

Depending on the programs that are installed, you may be asked to reboot your system to continue.

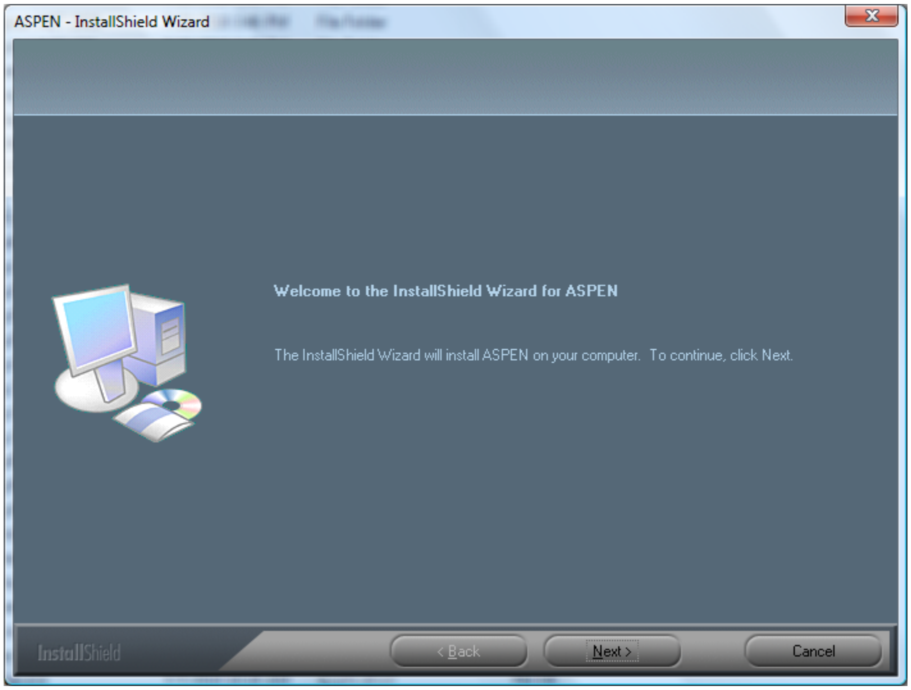


Figure 3: InstallShield Wizard - Welcome

4 On the Welcome screen, click **Next**.

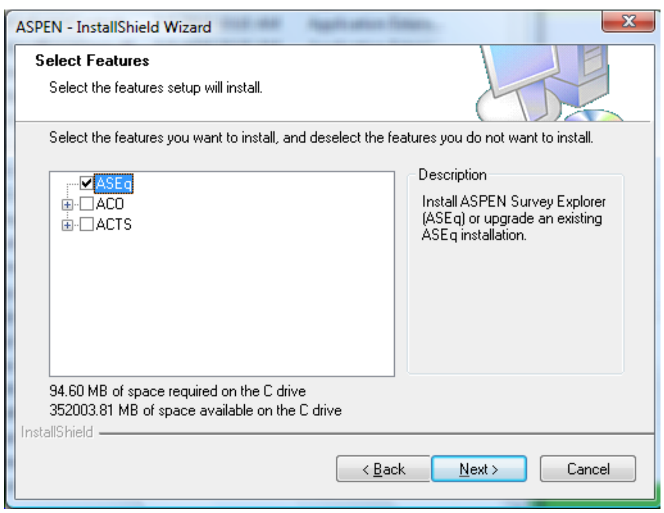


Figure 4: InstallShield Wizard - Select Features

5 In the Select Features window, select **ASEq**, then click **Next**.

WARNING! If you have previously installed ASPEN components and are re-installing or installing a new component, select all components you want installed. Any ASPEN component already installed that is not selected during a subsequent installation will be uninstalled. For example, if you have already installed ACO Shared and now need to add ASE-Q, select both ACO Shared and ASE-Q, or ACO will be uninstalled.

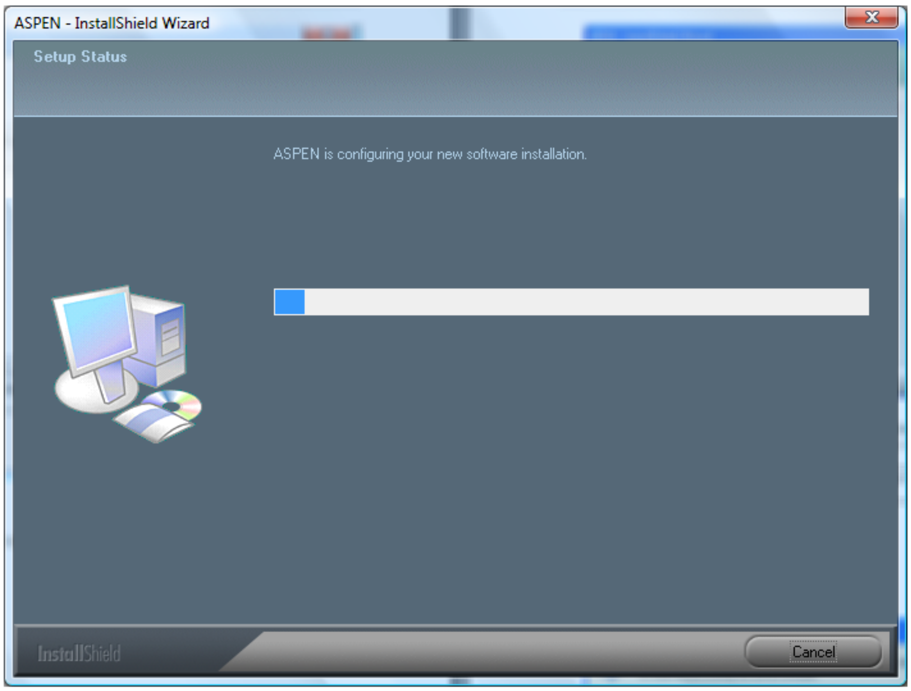


Figure 5: InstallShield Wizard - Setup Status

The ASPEN InstallShield Wizard is automated. The installer updates the Windows system and common files on the local drive.

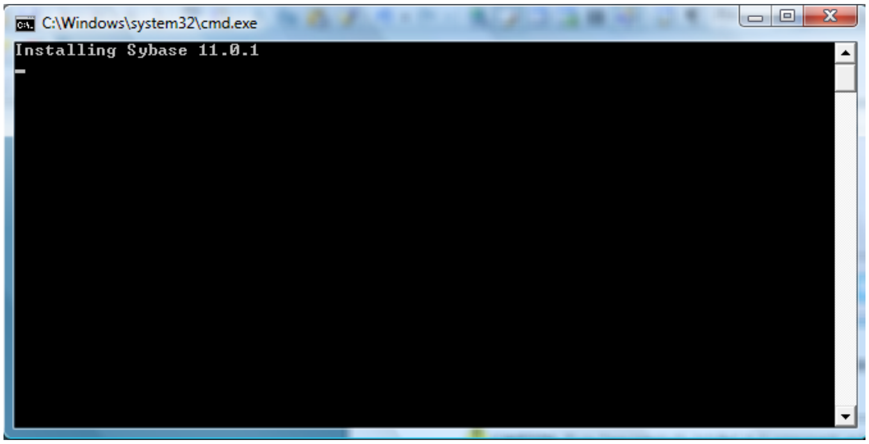


Figure 6: DOS window - Sybase database installation

Installing the Sybase database takes a few more minutes.

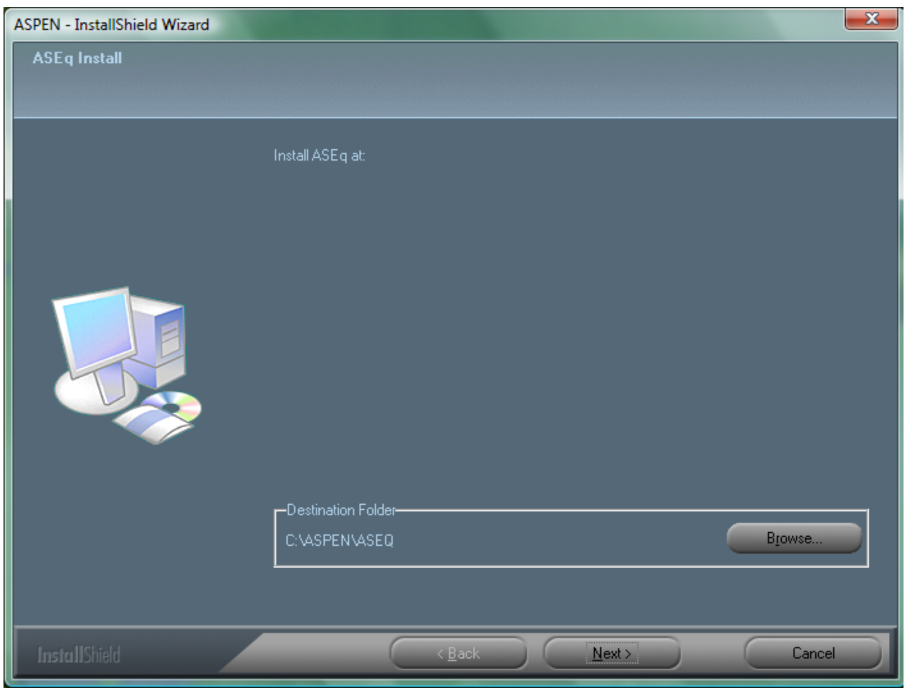


Figure 7: InstallShield Wizard - ASE-Q Destination Folder

The installer requests a location for ASE-Q. Do not install ASE-Q into the same folder as your previous version of ASE.

We recommend installing to the default location (C:\ASPEN\ASEQ).

WARNING! Installation to the C:\Program Files\... folder is not recommended. Windows Vista and Windows 7 enforce security that prevents modification of files in the C:\Program Files folder.
If you install ACO to C:\Program Files\..., you need to change the folder properties to allow updates to the ASPEN folder and any of its sub-folders.

6 Click **Next** to install ASE-Q to the default location, or select a different location and click **Next**.

The following window appears when Sybase is successfully installed.

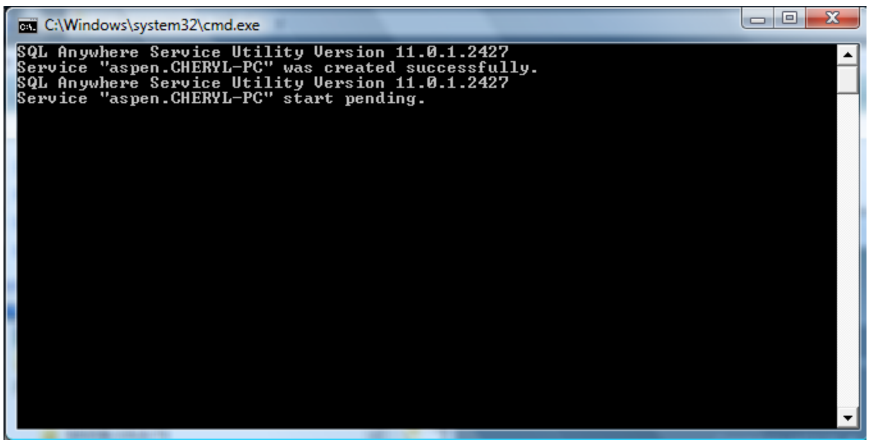


Figure 8: DOS window - Sybase successfully installed

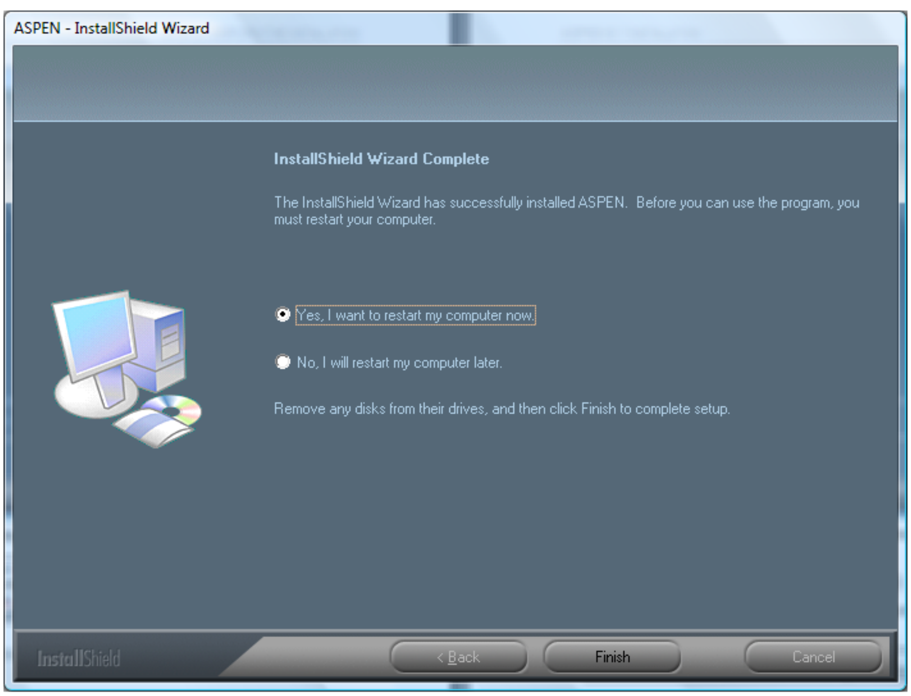


Figure 9: InstallShield Wizard - Installation Complete

7 After the files are copied, select **Yes** to have the installer restart your computer, then click **Finish**.

Your ASE-Q installation is complete.

For your convenience, the installer adds an ASE-Q shortcut to your Windows desktop.

Sybase

ASE-Q includes an installation of the Sybase SQL Anywhere database.

The Sybase database runs as an automatic service wherever ASE-Q is installed. The load is minimal, but you should know that Sybase is “always on”. Some troubleshooting and backup procedures may require closing Sybase temporarily. If you close Sybase, you will need to restart Sybase manually (or reboot the computer) before ASE-Q can open.

ASE-Q opens Sybase SQL Anywhere only for users who have logins and security privileges that are already entered in the ASE-Q database. Logins and permissions are created and maintained in ACO. User account files may be exported to a transfer file, then imported into the ASE-Q database. If you create a survey in ACO, logins and permissions for team members are included in survey transfer files.

Sybase Database Service

When the ASE-Q installation runs, it installs the Sybase database as a service and names the database with the current computer name. If you set up your mobile computers using an image, the database names on all mobile computers where you install the image will be given the same name.

A separate application, RenameDb.exe, is available from the ASPEN Help Desk. This application helps you rename the databases on mobile computers that were installed by image.

To rename the Sybase database service:

1 Copy the application **RenameDb.exe** to the C:\ASPEN\ASEQ\data folder.

2 Launch the RenameDb.exe application from the data folder.

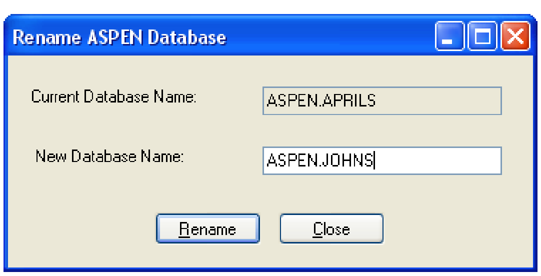


Figure 10: Sybase - Rename ASPEN Database

3 The **Current Database Name** and **New Database Name** fields will be entered for you. Click **Rename** to update the database name.

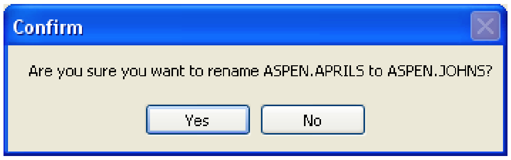


Figure 11: Sybase - Confirm

4 A confirmation screen will appear; click **Yes** to continue.

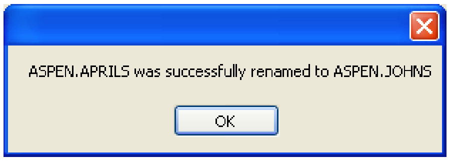


Figure 12: Sybase - Confirmation successful

5 Click **OK** on the successfully renamed message.

Shut Down Sybase

If you need to temporarily shut down the Sybase SQL Anywhere database:

To shut down the Sybase database:

1 Select **Start** | **Run**.

2 In the Run window, type **services.msc**.

3 In the right pane of the Services window, right-click **SQL Anywhere** and select **Stop**.

Alternatively, you can right-click the Sybase icon in the notification area of the Windows taskbar (next to the clock), and select **Shut down**.

You can restart the SQL Anywhere database by rebooting the computer,

-or-

1 Select **Start** | **Run**.

2 In the Run window, type **services.msc**.

3 In the Services window, right-click **SQL Anywhere** and select **Start**.

Wired Communication

States using a wired connection to transfer data, instead of USB, need to set up their mobile computers to allow communication through state security and firewalls.

When an embedded RO surveyor is participating in a state QIS survey, or conducting a FOQIS, the state QIS support coordinator should ensure the state's mobile computers are set up to use a wired network connection.

The instructions below provide details written from the point of view of setting up an embedded RO surveyor, but can also be used for setting up state survey teams.

Note: In cases where two mobile computers are attached using a single ethernet cable, the network appears as **Unidentified Network** and is treated like a public network. The procedures below allow the unidentified network to discover the *other* ASE-Q database and transfer data.

To set up wired communication:

- Confirm ports are opened in all firewalls, including Microsoft's built-in firewall, which is installed on each computer.

  The required ports are:

  - 901, 910 for UDP.
  - 2638 for TCP.

  Opening these ports is a requirement for using a wired connection between state and RO computers. The ports are used for the application to discover ASE-Q databases on the same network, and to transfer data. If the state has blocked these ports, ASE-Q will not be able to transfer data over a cable connection.

  In addition, the ASPEN Information Service (AIS) relays information to the ASE-Q application via port **910** on the local system. Unlike ports 901 and 2638, port 910 is not required for network communication, however very strict firewalls may block port 910 and prevent AIS and ASPEN from communicating. If your security setup blocks port 910, you may see a message like this:

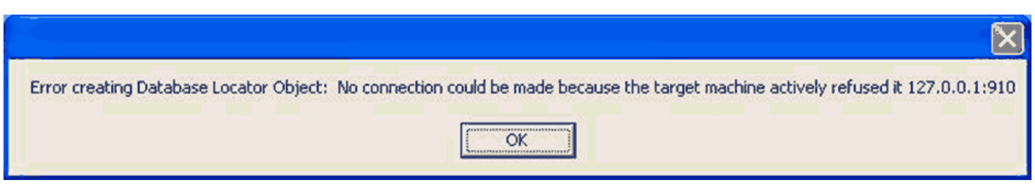


Figure 13: Refusal error message

If you see an alert similar to this, contact your state IT administrator.

- Confirm state computers are set up to use dynamic IP addresses from a DHCP server **(you may need to talk to the state QIS support coordinator)**. The RO doesn't need to enter a dynamic IP address on the RO laptop until arriving onsite.

  Using dynamic IP addresses is a requirement for using a wired connection between state and RO computers. If state computers are using static IP addresses on separate networks, or the computers are a mix of static and dynamic addresses, transfers cannot be performed. These rules apply to direct wired transfers.

- If the RO will be embedded with the state team, confirm the RO is listed in the state database as a special surveyor.

  If the participating RO is not listed in the state database as a special surveyor, the RO will need to be added to the survey team in ARO before the survey is exported from ACO by the state.

- If this is the RO's first QIS survey, confirm the RO's ASE-Q login includes QIS permissions.

To open UDP ports:

1 In MS Windows, click **Start**, then select **Control Panel** from the menu.

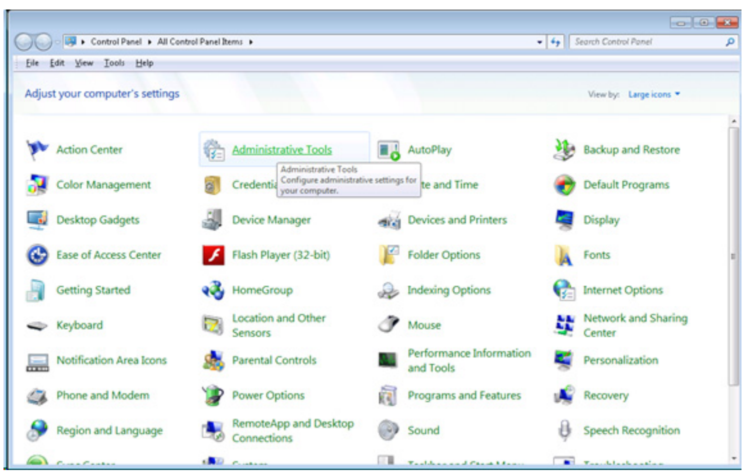


Figure 14: MS Windows Control Panel

2 Double-click **Administrative Tools**.

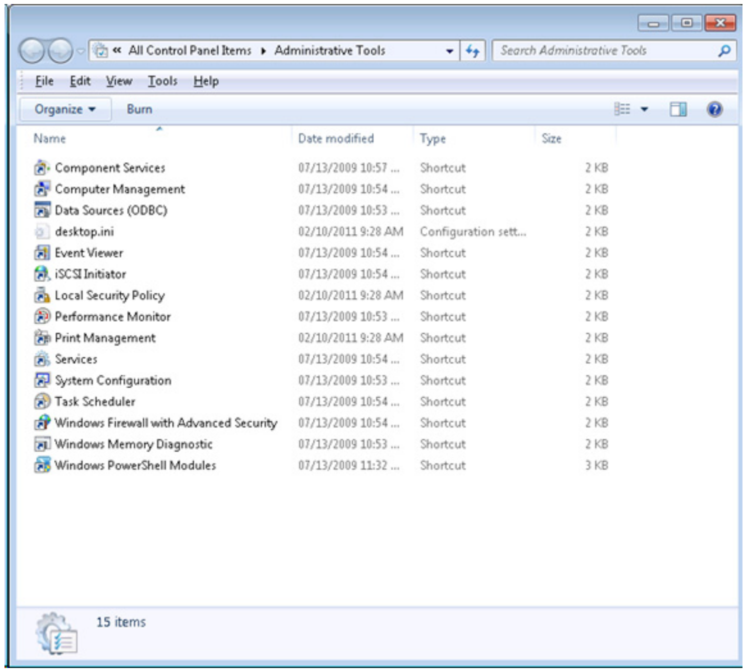


Figure 15: Windows Firewall with Advanced Security option

3 Double-click the **Windows Firewall with Advanced Security** option.

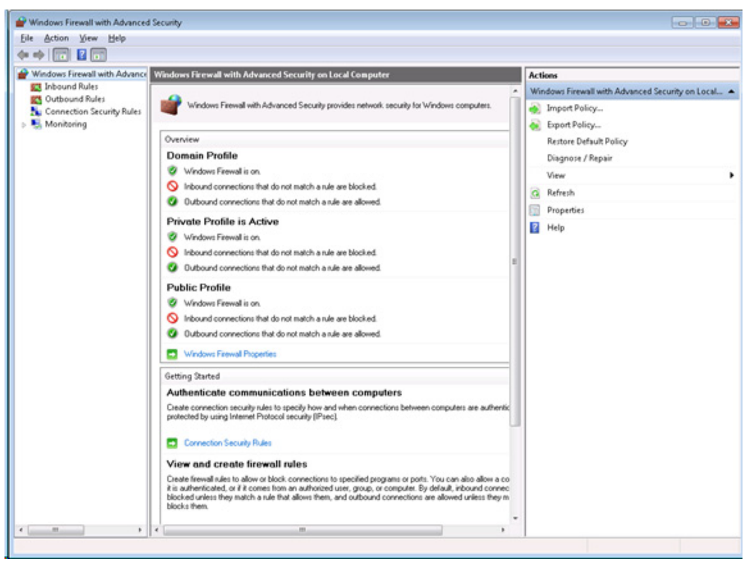


Figure 16: Inbound Rules options

4 Select the **Inbound Rules** navigation view located on the left under Windows Firewall with Advanced Security on Local Computer.

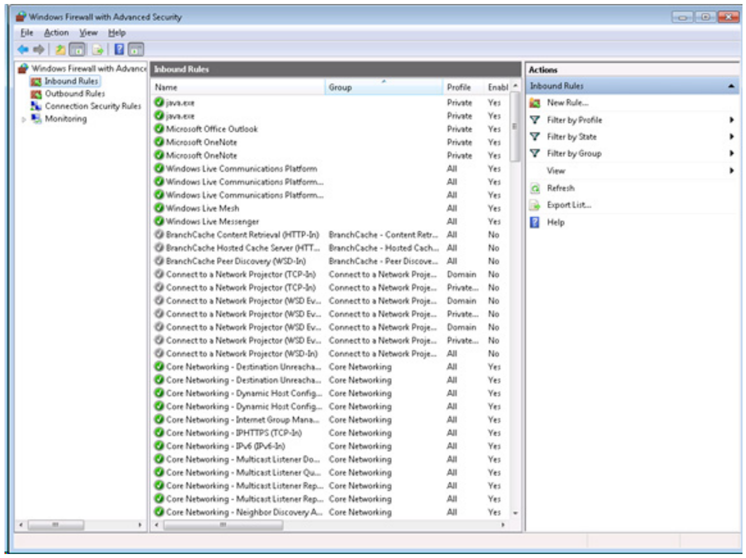


Figure 17: Inbound Rules - New Rule

5 On the right side of the screen, under Action, click **New Rule**.

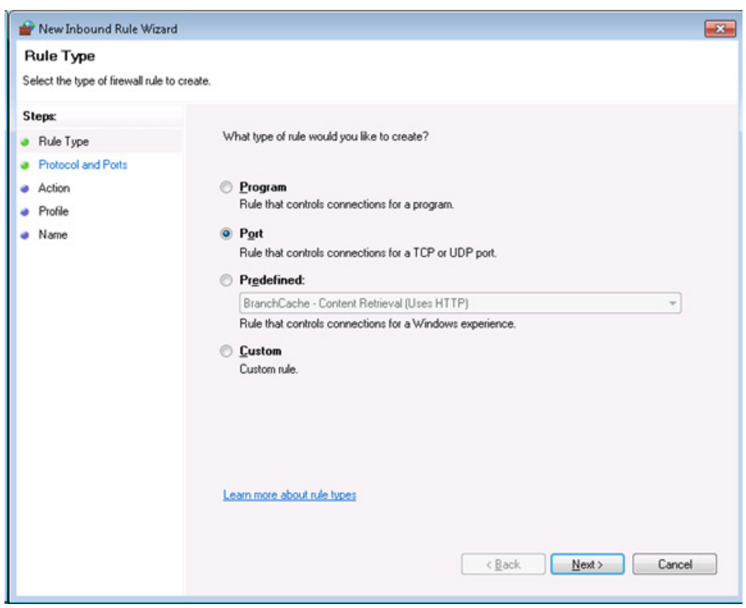


Figure 18: New Inbound Rule Wizard - Rule Type

6 Select **Port**, then click **Next**.

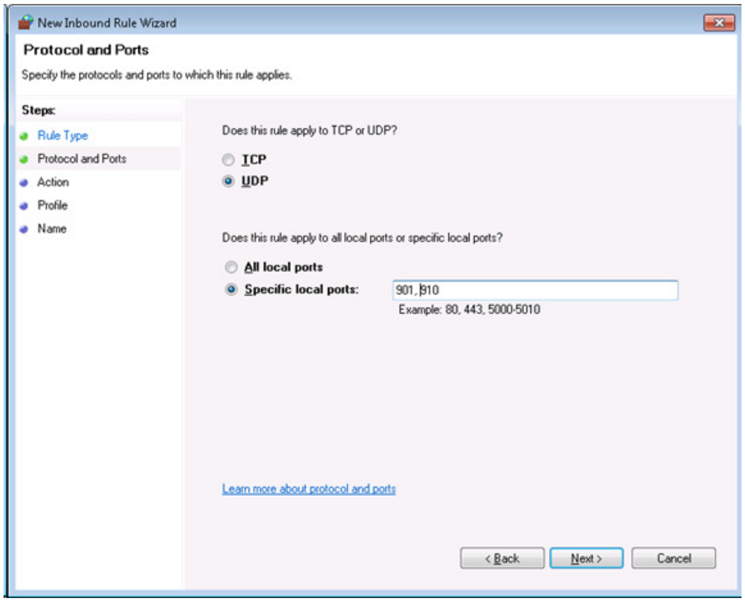


Figure 19: New Inbound Rule Wizard - Protocol and Ports, UDP

7 Select **UDP**, then enter **901, 910** in the Specific local ports field.

8 Click **Next**.

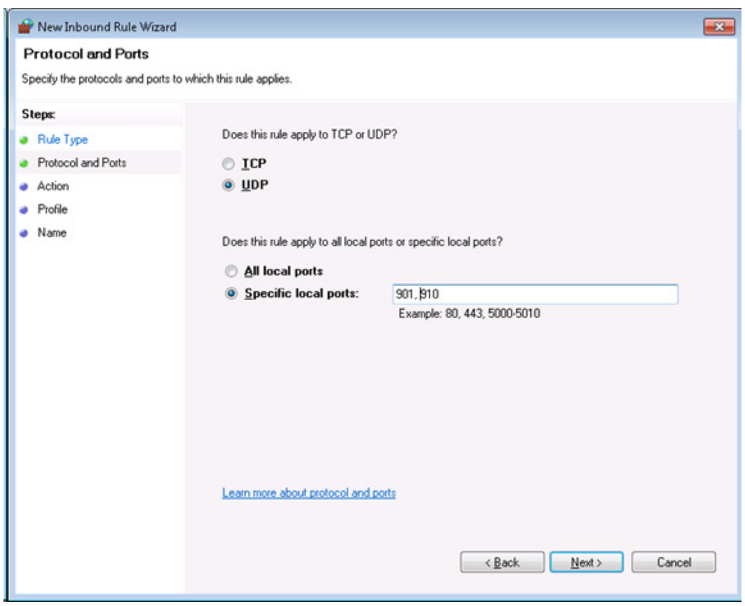


Figure 20: New Inbound Rule Wizard - Allow the Connection

9 Select **Allow the connection**, then click **Next**.

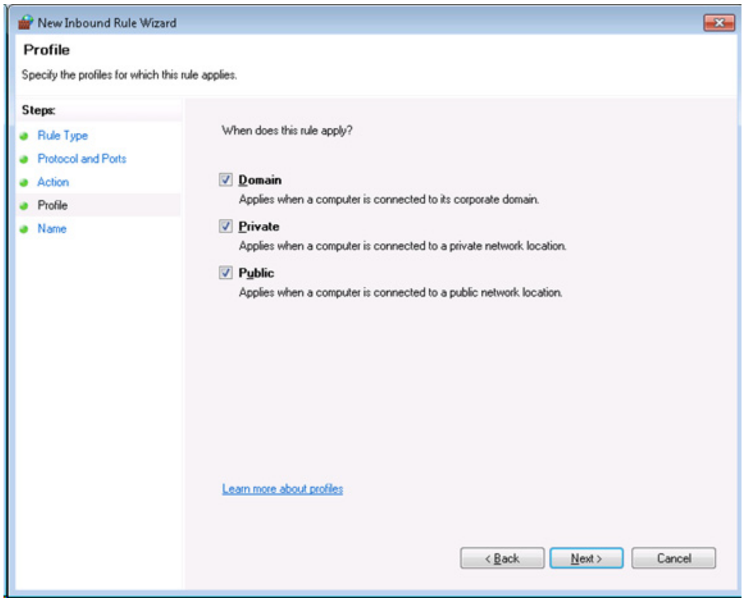


Figure 21: New Inbound Rule Wizard - select Profile

10 If necessary, select **Domain**, **Private**, and **Public** to allow for all network types, then click **Next**.

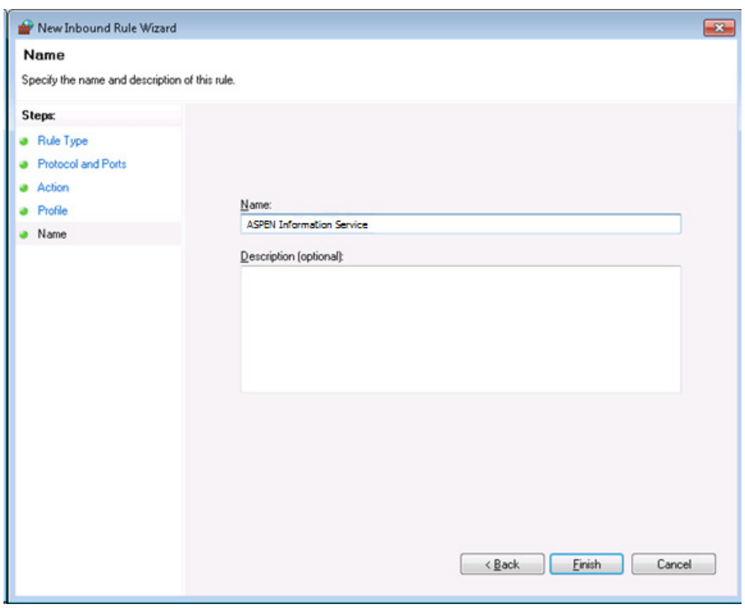


Figure 22: New Inbound Rule Wizard - Name the rule

11 In the Name field, type **ASPEN Information Service**, then click **Finish**.

To open TCP ports:

1 On the right side of the screen, under Action, click **New Rule** again.

2 Select **Port**, then click **Next**.

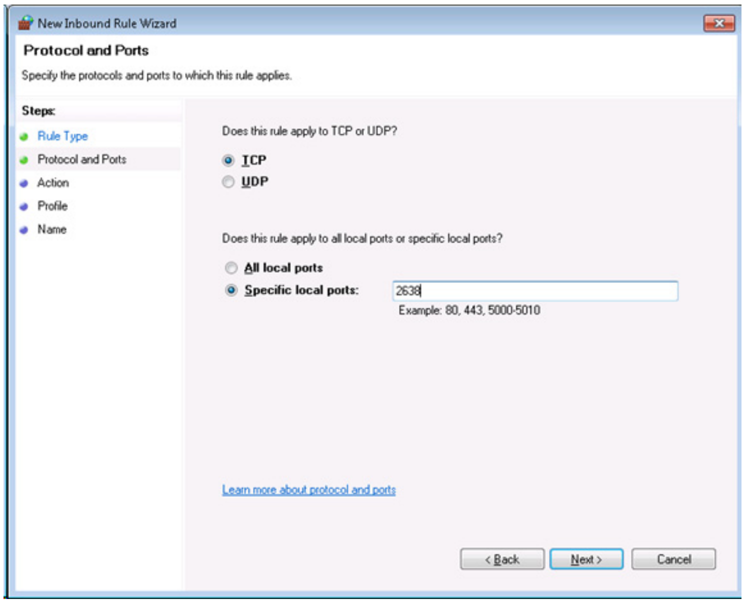


Figure 23: New Inbound Rule Wizard - Protocol and Ports, TCP

3 Leave TCP as the protocol selection, then enter **2638** in the Specific local ports field.

4 Click **Next**.

5 Select **Allow the connection**, then click **Next**.

6 If necessary, select **Domain**, **Private**, and **Public** to allow for all network types, then click **Next**.

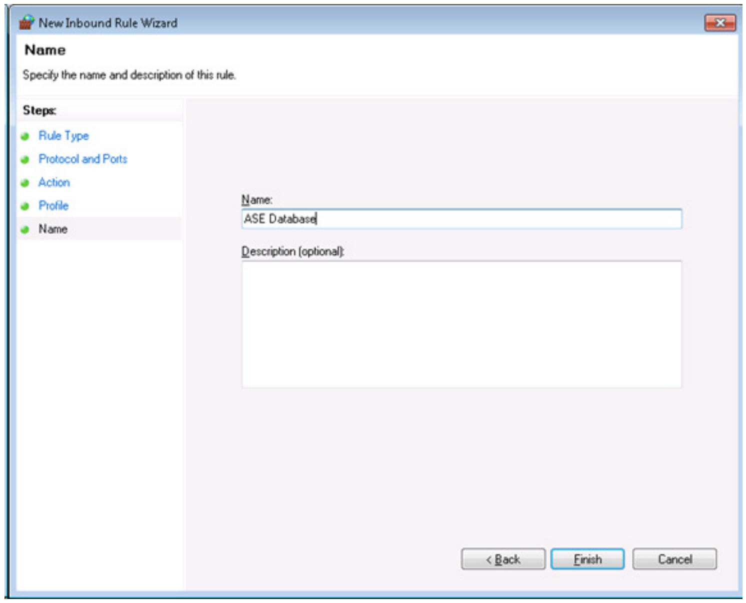


Figure 24: New Inbound Rule Wizard - Name the rule

7 In the Name field, type **ASE Database**, then click **Finish**.

8 Restart the computer to update the settings.

Turn Off Navigator Dependencies

Because of dependencies built into the Navigator, system issues may prevent surveyors from being able to access a screen.

To allow support for teams that may run into this issue in the field, the following workaround was built into the application:

To turn off Navigator dependencies:

1 Exit the ASE-Q application.

2 On the desktop, right-click the ASE-Q icon and select **Properties**.

3 On the Shortcut tab, in the Target field, add **/QISDependencyOverride** as an argument to ASE-Q.

4 Click **OK** to save the changes.

The surveyor can access every screen in QIS, the Navigator does not perform dependency checks.

WARNING! The shortcut will need to be changed back before going on the next survey.

ASE-Q User Accounts

ASE-Q users are required to have user account information in the ASE-Q database before they can open the application. User accounts and permissions are created and maintained in ACO user account files and exported to ASE-Q.

Set User Security in Multiple Accounts

ACO contains an interface for adding logins and permissions to multiple user accounts.

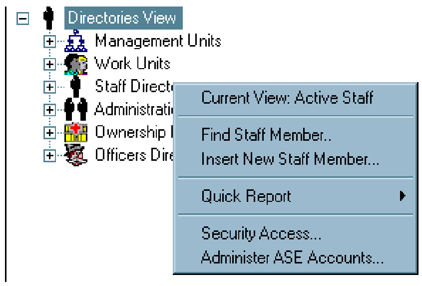


Figure 25: Directories View menu

To set user security in multiple accounts:

1 On the Directory tab, right-click **Staff Directory** and select **Administer ASE Accounts**.

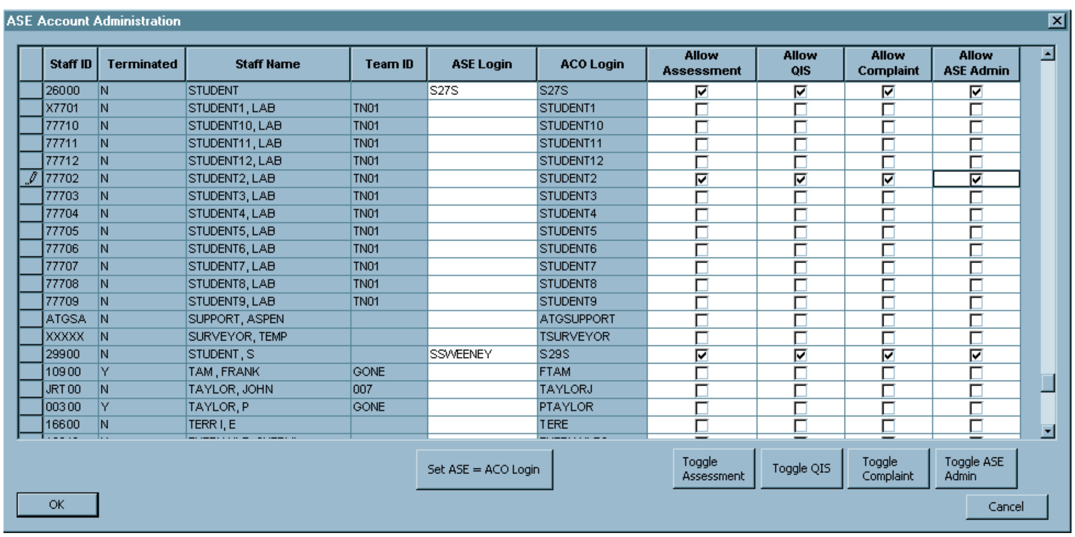


Figure 26: ASE Account Administration

2 In the ASE Account Administration window, you can select single or multiple surveyors:

- Click **Set ASE = ACO Login** to set the user's ASE-Q Login to be the same as the ACO Login. Use this setting when the user's login should be identical using ACO on a desktop computer and ASE-Q on a mobile computer.
- Alternatively, you can type an ASE Login for this user in the text box.
- Select **Allow Assessment View** to allow ASE-Q users to see MDS Assessment data.
- Select **Allow QIS View** to allow ASE-Q users to open QIS.
- Select **Allow Complaints View** to allow ASE-Q users to see complaint investigation surveys.
- Select **Allow ASE Administration** for system administrators.

Set User Security in the Employee Record

In ACO, you can enter ASE-Q logins and permissions on the Security tab in each employee's file.

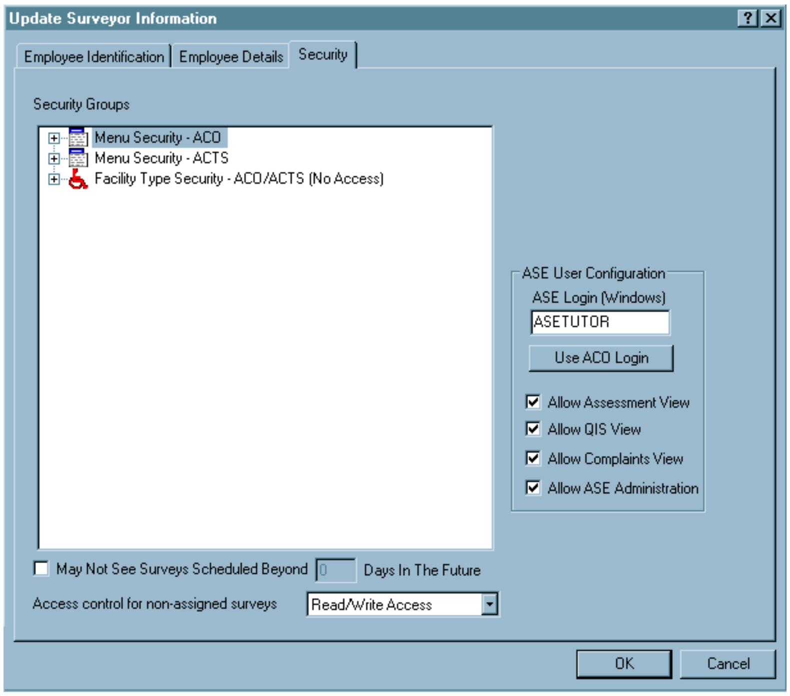


Figure 27: Security tab - ASE-Q settings

Export ASE-Q User Account Files from ACO

You can export user account files from ACO. You will use this primarily to transfer user accounts to surveyor mobile computers for those who need to open ASE-Q for the first time. You can use this option to export data for one or multiple surveyors.

To export ASE-Q user account files:

1 In ACO, select **System, Specialty Info Transfer, Export ASE Users**.

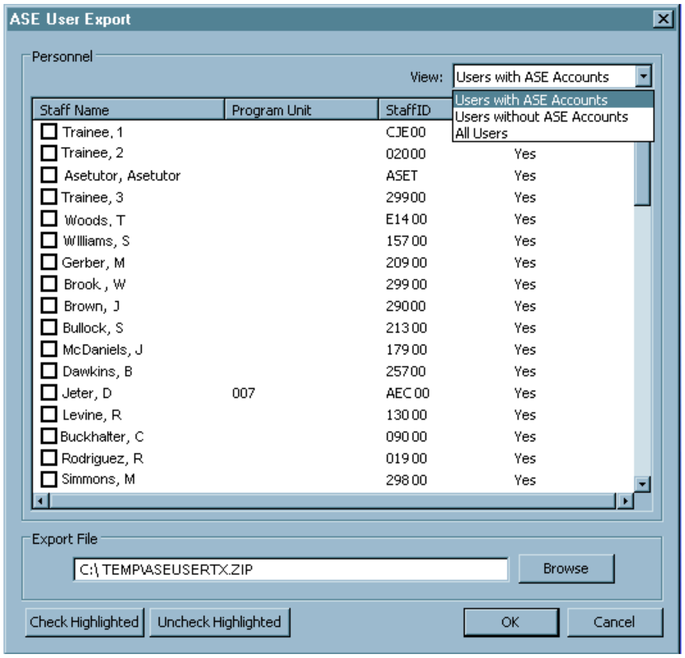


Figure 28: ASE User Export

The ASE User Export window defaults to a view of Users with ASE Accounts. You can also choose to view Users without ASE Accounts, or All Users.

2 Select the surveyors whose user account information you want to export.

3 Browse to or type in the location of the export file.

The default filename for user account files is ASEUSERTX.ZIP. You can change the name when you need to create different personnel files for use on different laptops. On import, ASE-Q will check the file to confirm it contains personnel tables, then import the tables.

4 Click **OK** to transfer the user information.

Import ASE-Q User Account Files to a Mobile Computer

When you first launch ASE-Q, you are asked to enter your user name and password. You also can use a PIV (smart card), if you have one.

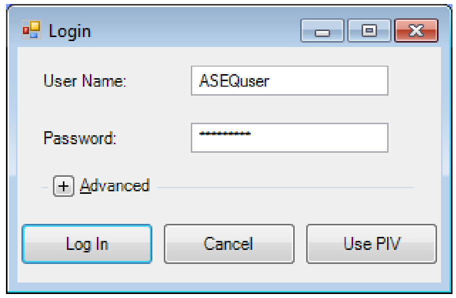


Figure 29: ASE-Q Login

If you use a PIV, ASE-Q requests a PIN code and authenticates using the PIV credentials.

If you enter a User Name and Password, Windows validates your login information against the user information listed by the computer for its current domain.

ASE-Q then checks to see if your user account information also exists in the ASE-Q database. If your user account is not in the database, or if you are using a new Sybase database that has never been opened before (and therefore contains no user accounts), you will see the Login Not Accepted window:

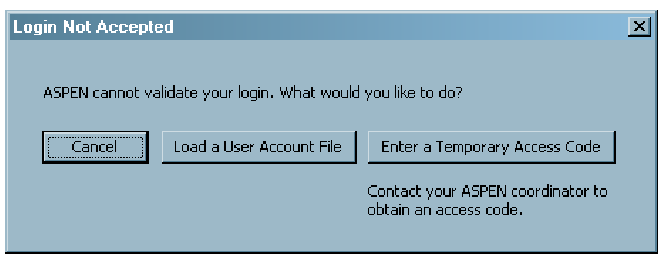


Figure 30: Login Not Accepted

To load a user account file:

1 Select **Load a User Account File**. Selecting **Cancel** aborts opening the application.

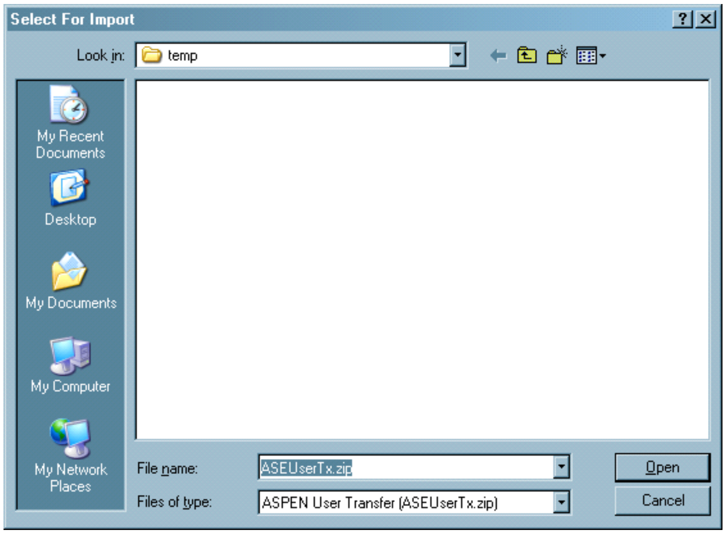


Figure 31: Select For Import

2 Use the Select For Import window to navigate to and select **ASEUserTx.ZIP**. If you have changed the name of the user information file, you will need to change Files of type to see **All Files (*.*)**.

3 Select **Open** to import the user information.

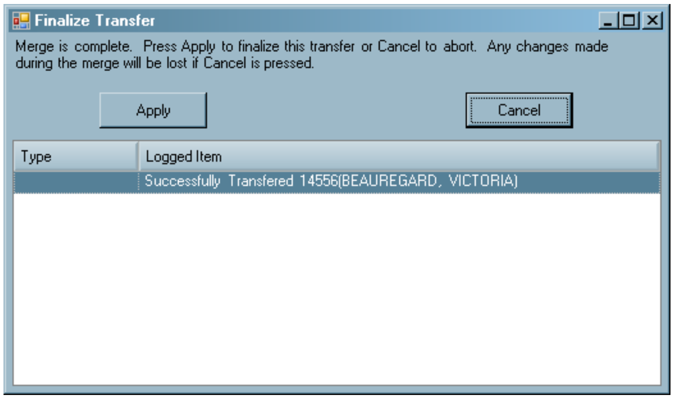


Figure 32: Finalize Transfer - Load User Account File

4 Select **Apply** to finish the transfer and open ASE-Q.

If none of the personnel records you import has an ASE-Q login equal to the Windows login of the computer you are using, ASE-Q will not open, and you will return to the Login Not Accepted screen.

If there is a conflict between personnel records in the imported survey and personnel information already on the computer, you will see a Transfer Error message advising you of the record in conflict.

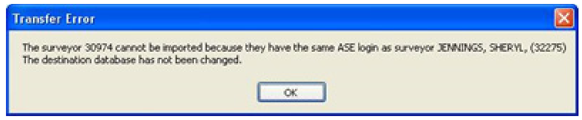


Figure 33: Transfer error message specifying conflict in personnel records

In this case, you may need to delete the named surveyor in ASE-Q to import the survey.

Synchronize ASE-Q User Accounts with ACO

If ASE-Q is connected directly to the ACO MDSDB database, you can synchronize ACO/ASE-Q logins and permissions for those surveyors who are already in the ASE-Q database.

To synchronize ASE-Q user accounts:

1. In ASE-Q, select **File**, then **Synchronize Surveyor Info with ACO**.

   The system verifies that ASE-Q is able to connect to the ACO MDSDB database, then updates the surveyor information in ASE-Q for those surveyors already loaded in the ASE-Q SURVEYOR table.

   After the synchronization is complete, the Finalize Transfer window displays the results, and allows the user to accept or reject the synchronization.

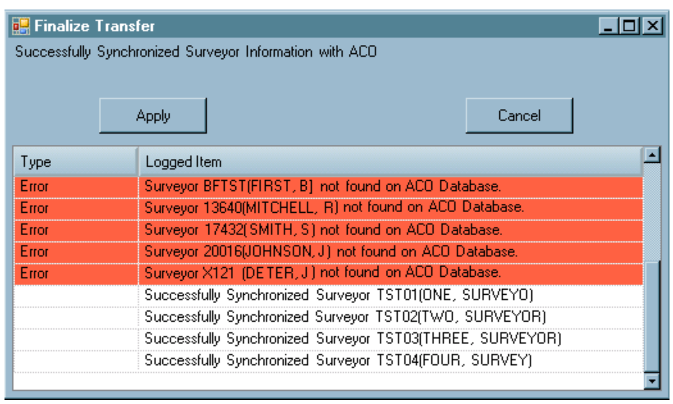


Figure 34: Finalize Transfer - Synchronize ASE-Q User Accounts

2. Select **Apply** to complete the synchronization.

Assign a Temporary Access Code

If you have a survey in ASE-Q, and need to provide access to that survey for a surveyor who does not have an ASE-Q login, the surveyor may enter a special code to open ASE-Q and have temporary access to the specified survey.

- The request for a temporary access code is made to the ASPEN Help Desk.

- The request must come from a trusted source, e.g., an ASPEN Administrator with a known callback number.
- The request must include the Event ID of the survey.

When entered, the temporary access code provides full access to the specified survey event only; no other surveys will be available to the temporary user. The survey must already be contained in the ASE-Q database. The access code is valid until two weeks after the exit date of the survey.

To assign a temporary access code:

1 Launch ASE-Q, and do not enter a User Name and Password in the Login window. Click **Log In** to view the Login Not Accepted window.

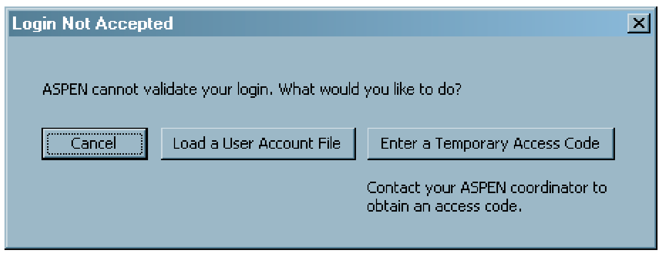


Figure 35: Login Not Accepted message

2 Select **Enter a Temporary Access Code.**

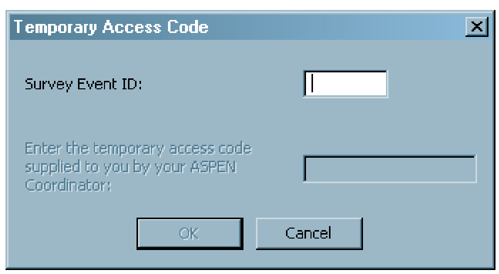


Figure 36: Temporary Access Code

3 Supply the **EventID** for the survey for which you need access.

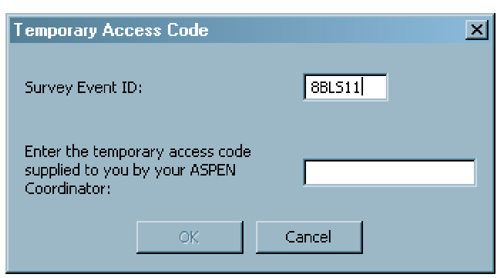


Figure 37: Temporary Access Code - Survey Event ID entered

4 Enter the temporary access code, then select **OK**.

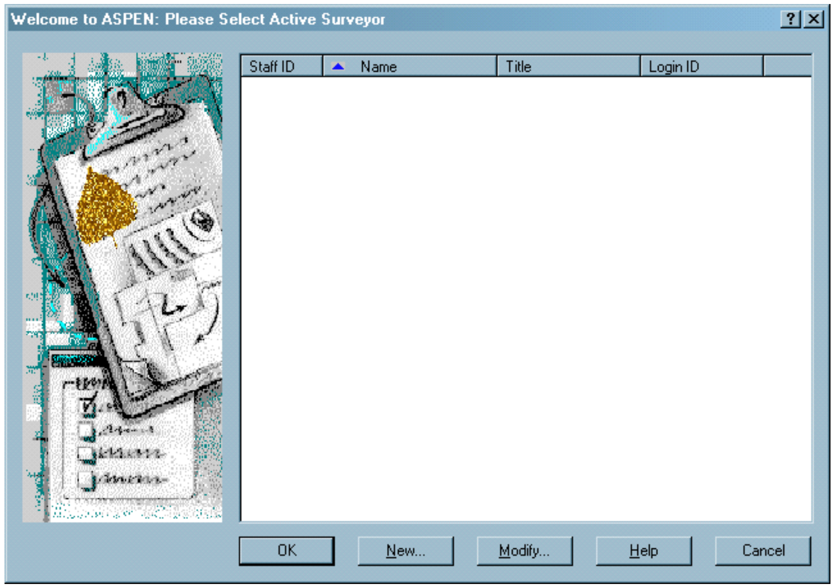


Figure 38: Please Select Active Surveyor

5 In the Welcome to ASPEN window, select **New**.

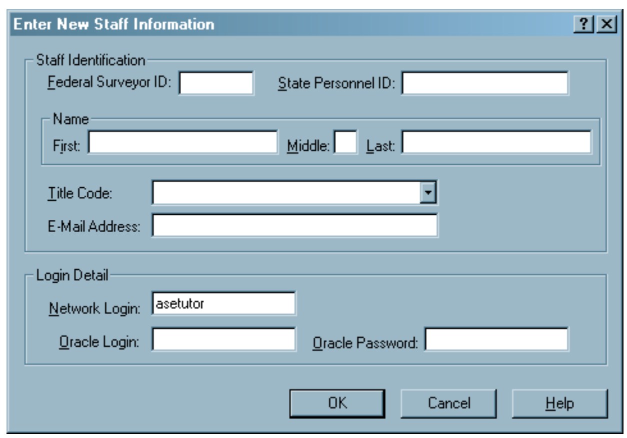


Figure 39: Enter New Staff Information

In the Enter New Staff Information window, Federal and State IDs, Last Name, and Title Code are required. Federal Surveyor ID cannot be changed after you save the record.

6 Enter the required information and save the record.

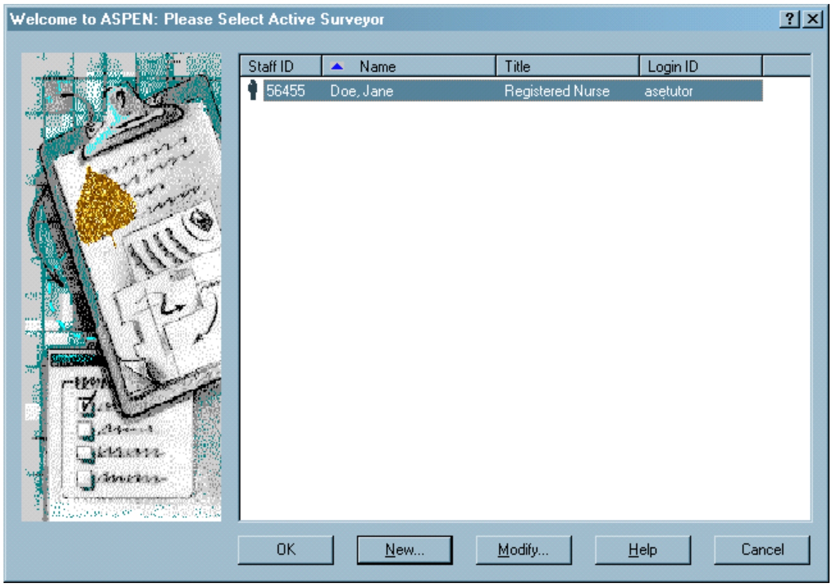


Figure 40: Please Select Active Surveyor - surveyor selected

7 Click **OK** to open ASE-Q. The temporary access code allows you to see only the specified survey.

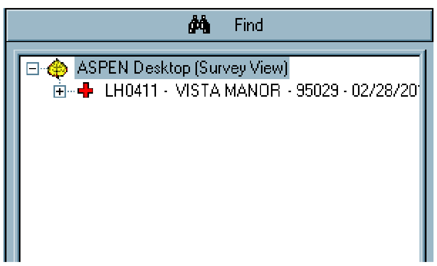


Figure 41: ASPEN tree - displays only the specified survey

QIS Static Data

QIS static data includes definitions of questions, answers, QCLI calculations, and Critical Element (CE) to tag mappings. Static data is versioned. This simplifies the updating and improvement of the QIS process, since new static data versions do not require a new ASE-Q executable for every update. As with regulation sets, you can maintain different surveys with different versions of QIS static data on the same laptop.

In ACO/ARO, when you create a QIS survey, the QIS version number is based on the survey start date.

Note: In ACO/ARO, if you change the survey start date of a completed QIS survey (a survey that has been imported from QIS back into ACO), the QIS version number does not change.

QIS versions are checked at the time you launch the QIS application from a survey. Surveys scheduled after the effective date of a major version change require the update.

- *Minor version* - used for incremental changes. Minor version changes are not required to be updated immediately, and do not affect synchronization of data; surveyors with different minor versions on their mobile computers may still synchronize.

  Example: A minor version X.1 (where X is the current version number) is created and released to surveyors on 6/1/2014.

  Surveyors creating surveys with a start date on or after 6/1/2014 can use either version X.0 or version X.1.

  If a surveyor opens QIS on a laptop which contains version X.0, they will receive a warning that there is a new version available, but they may continue with version X.0. Alternatively, the surveyor can download version X.1 to their laptop before continuing.

- *Major version* - reserved for significant application changes.

  Example: A major version XY.0 (where XY is the new version number) containing these changes is released to surveyors on 8/1/2014.

  Surveyors creating surveys with a start date on or after 8/1/2014 will have version XY.0 set for that survey.

  If the surveyor attempts to launch a XY.0 survey on their laptop using version X.1, they will receive an error message that they must download version XY.0 before continuing.

Check the QIS Static Data Version

In ACO and ASE-Q, you can use the QIS Static Data option under the System menu to display QIS version information.

To view the QIS static data version:

1 In ACO or ASE-Q, select **System** | **QIS Static Data**.

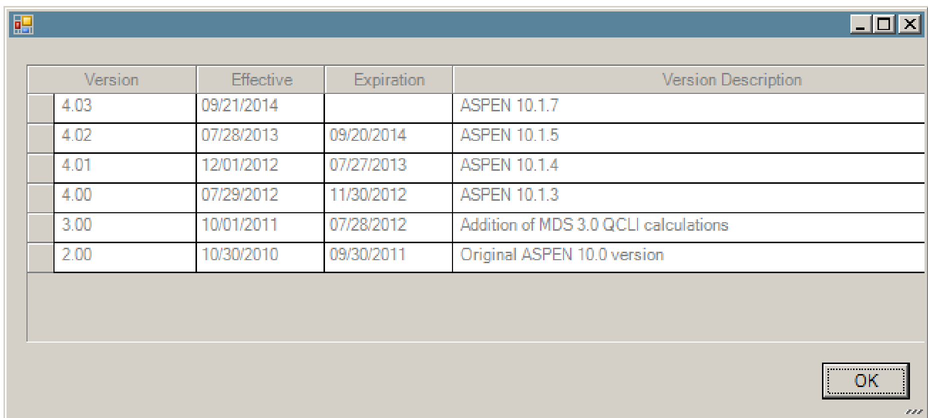


Figure 42: QIS Static Data version window

2 After reviewing the QIS static data version, click OK.

QIS Database Patch

QIS database patches simplify the application of QIS database upgrades and QIS static data versions.

Automatic Transfer

For scheduled upgrades, QIS static data is added to the DBPatch.zip file and transferred as part of the database upgrade path distributed with a thin install. During installation, the system automatically imports the QIS static data into ASE-Q as part of the upgrade procedure.

When ASE-Q is started after applying the thin install, the version number of the executable is compared with the version number of the database. If the version numbers are different, the new QIS static data version is automatically applied.

Manual Transfer

You can manually apply a QIS database patch in ASE-Q through the Import Database Patch option.

To export the static database patch from ACO:

1 If you are using a USB drive to transfer data, insert the USB drive into your laptop.

2 In ACO, click **File** | **Export Database Patch**.

3 In the Export window, specify your transfer location, then click **OK**.

Select **ASPEN Transfer Location** if you are exporting to Drive A: or C:; use **Other Location** if you need to navigate to a different drive.

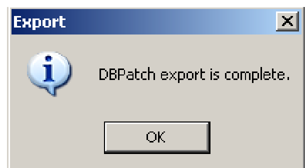


Figure 43: Export notification message

4 When the export is complete, click **OK**.

To import the static database patch into ASE-Q:

1 Insert the USB drive containing the DBPatch.zip file into your laptop.

2 Open **ASE-Q**.

3 Select **File** | **Import Database Patch**.

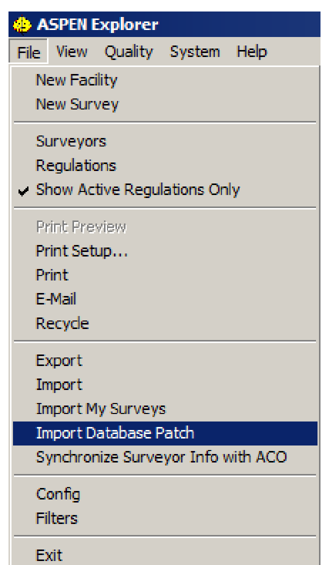


Figure 44: ASPEN File menu - Import Database Patch option

4 In the Import window, choose Other Zip File Location, then use the binoculars to navigate to the DBPatch.zip file on the USB drive.

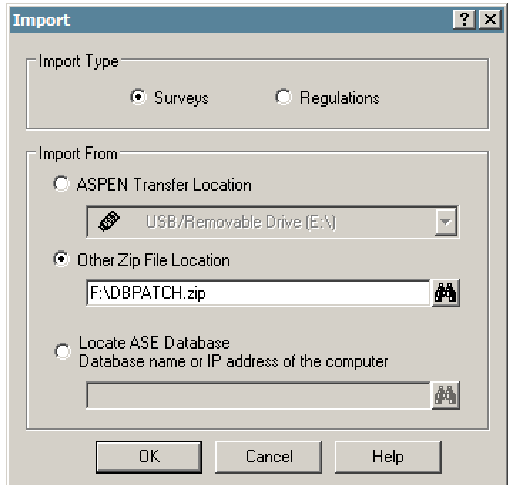


Figure 45: Import - DBPatch.zip file

5 Click **OK** to import the QIS database patch.

Upload QIS Data

QIS surveys that are completed in the QIS Tool are uploaded to national and available in the QW reporting system.

All QIS data uploads (insert/updates/deletes) are initiated from the state. Surveyors do not need to initiate a QIS upload. ACO and ASE-Q automatically upload records after users perform certain tasks.

- QIS events are uploaded nightly, 5 days a week.
- QIS data is uploaded directly into the CASPER tables on the national server.
- QIS data may be uploaded before the certification kit.
- No survey record is required at the national level to upload QIS data.
- Data uploaded is event-based data stored in tables on the state and national database servers to support the QIS survey process.
- Data in the QIS tables for a given event is uploaded as a single transaction. Failures to upload any QIS data will rollback the entire transaction, and no data for that event is uploaded.
- There are no edits or data transformations applied to the QIS data as it is uploaded to the national system. Therefore, database errors are the only errors that may cause QIS data to not be uploaded. These are monitored by production control and no user intervention is required.
- The TRANSTRACK table on the national server logs the QIS transactions and their status.

QIS Surveys

The QIS survey process supports nursing home facilities for which MDS Resident Assessment data is available. The QIS Tool, which enables surveyors to read QIS data and conduct QIS surveys, is enabled only in ASE-Q. In ACO, the QIS Tool is read-only, and provides summary views for management purposes.

This chapter gives you the information you need to:

- Create QIS surveys, manage survey teams, and transfer QIS survey files
- Use the QIS Tool to conduct Recertification surveys and revisits, and RO Comparative (FMS) surveys and revisits, using the QIS survey process.
- Backup and restore QIS data during the QIS survey
- View completed QIS surveys in ACO

Create a QIS Recertification Survey in ACO

Like ASPEN surveys, you create the QIS survey in ACO, then select the **Quality Indicator Survey** checkbox in Survey Properties.

Currently, QIS supports Recertification and revisits, and RO Comparative (FMS) surveys and revisits for nursing home providers. You can add a Complaint survey type to a Recertification and Revisit, however, QIS does not currently support a stand alone complaint process. If you do enter a different survey type, you will see a warning:

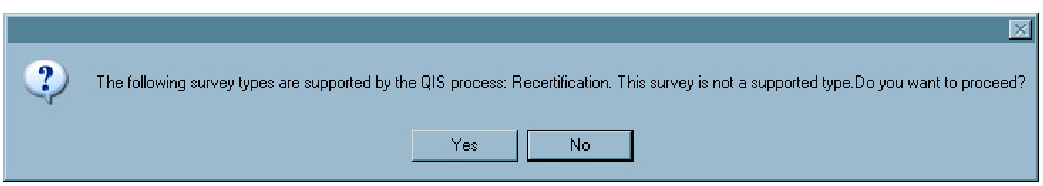


Figure 46: QIS Survey Type Warning message - This survey is not a supported type

To create a QIS recertification survey:

1 In ACO, locate the nursing home in the tree, right-click the name and select **Create Certification**.

2 On the Certification & Surveys tab, scroll to the Survey List section and click **New**.

3 Click **OK** to select the default Health survey.

4 In the Create Health Survey window, enter **Start** and **Exit Dates** for the survey.

Exporting the QIS survey as close to the Exit date as possible uses the most current MDS data, and makes the Resident Reconciliation step easier for the survey team.

If you export a QIS survey, and then change the exit date in ACO, ACO will warn you:

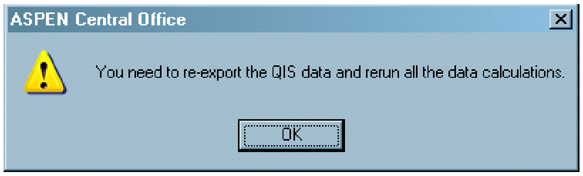


Figure 47: QIS Survey Warning message - exit date changed: You need to re-export the QIS data and rerun all the data calculations

Re-exporting the survey re-calculates the MDS data using the most current information.

5 Select the Regulation Set that applies to the survey.

6 Select the checkbox next to **Quality Indicator Survey**.

Note: After the QIS survey is complete, the Quality Indicator Survey checkbox is grayed out.

---

7 Recertification is pre-selected for survey **Type**. You can add Complaint as a survey Type when appropriate.

8 Click **Update** to define the Team Roster.

9 In the Staff Availability List, put a checkmark next to each surveyor on the team, then click **OK**.

When you select team members for a QIS survey, ACO checks to see if all surveyors have required QIS permissions. If permissions are lacking, ACO provides a warning:

Figure 48: QIS Survey Warning message - One or more of the surveyors defined for the QIS survey doesn't have permission to access QIS in ASE

10 To designate a team leader, highlight the leader's name in the Team Roster section, and click **Leader**.

The team leader can be designated in ACO, or chosen later after the survey is exported to ASE-Q.

11 For Extent, accept the default **A-Routine/Std Survey**. You can select more than one Extent, if appropriate.

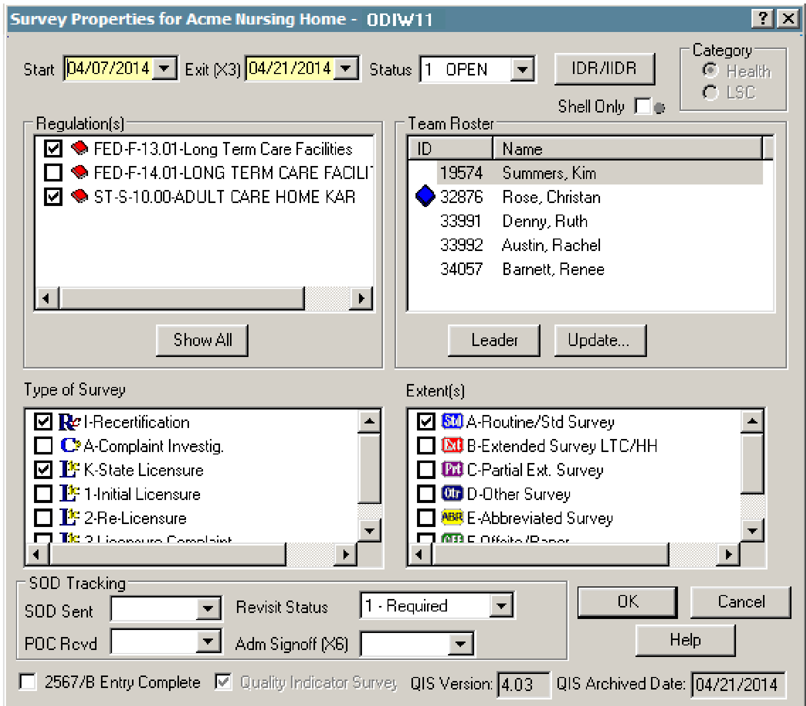


Figure 49: QIS Survey Properties window - A-Routine/Std Survey Extent selected

12 Click **OK** to save the survey. Say **No** to the question about Citation Manager.

13 Click **Done** to close the certification kit.

Export the Survey from ACO (USB)

From ACO, you can export one or more QIS surveys (the surveys and associated MDS data) to any transfer location. Most surveyors transfer files to a USB drive that they can insert into a laptop, and these instructions are written for that method. Survey data remains encrypted during all transfer phases.

You can export QIS and non-QIS surveys at the same time. If ACO cannot find MDS data for a QIS survey, it cancels the export.

For accurate QIS calculations, export the survey close to the survey start date, or the MDS assessment data may change.

The procedures in this section cover basic ASPEN export steps. Your state's encryption procedures may necessitate additional steps.

Note: A survey may become locked due to a power outage or interruption, or when another user is working in it. In this case, you will not be able to export it. In ACO, you can locate and clear locked QIS surveys by going to Database Maintenance | Current Semaphore Locks and selecting QIS Survey Locks.

To export a survey:

1 Insert the USB drive into your laptop.

2 In the ACO tree, locate and expand the certification kit containing the survey. You will see the QIS survey listed beneath. QIS surveys in ASPEN are identified with a QIS icon .

3 Click the survey and drag it to the Export button on the toolbar (you can also right-click the survey and select **Send to**, then **Export**).

4 In the Export window, specify your transfer location, then click **OK**.

Select **ASPEN Transfer** Location if you are exporting to Drive C:; use **Other Location** if you need to navigate to a different drive.

ASPENTx.zip is the default export transfer file name. You can assign another name if you wish.

5 The Survey Export window lists the survey you are exporting. Single surveys are pre-selected for transfer.

6 If you are exporting more than one survey, click **Select All**.

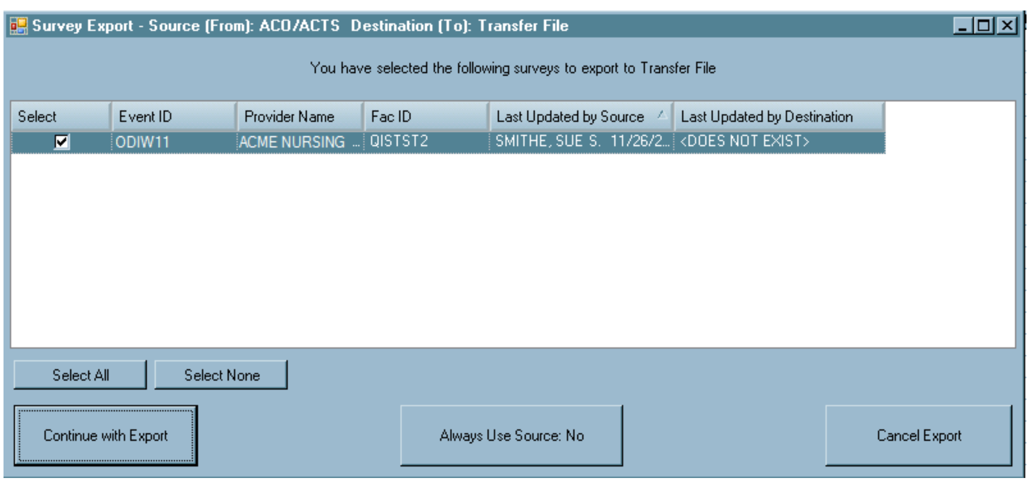


Figure 50: Survey Export window

You can choose to **Cancel Export** at this point. The **Always Use Source** button does not apply the first time you export a survey.

7 Click **Continue with Export** to initiate the transfer.

ACO transfers the survey shell then begins calculating the QIS data. This may take several minutes. You cannot cancel the export during the calculations.

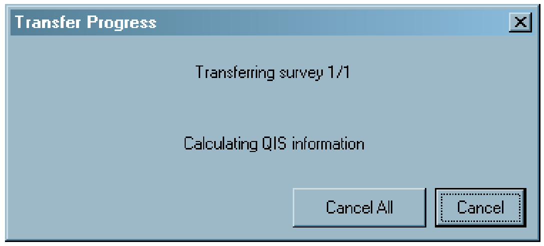


Figure 51: Transfer Progress window

If the survey has been exported previously, it will ask you if you want to recalculate:

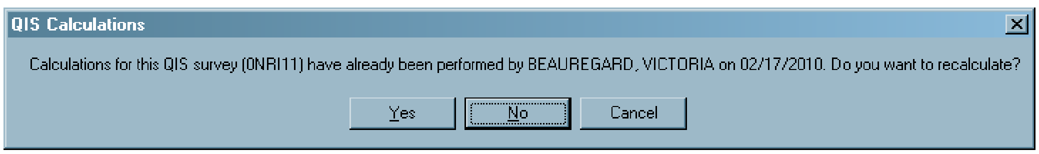


Figure 52: QIS Calculations message window

TIP: You need to recalculate only if you have changed the survey exit date. Answering **Yes** in the QIS Calculations window re-calculates QIS data; answering **No** transfers the survey shell without recalculating QIS data; **Cancel** aborts the export.

When the transfer is complete, the Finalize Transfer window displays the transferred items and shows errors, if any occur.

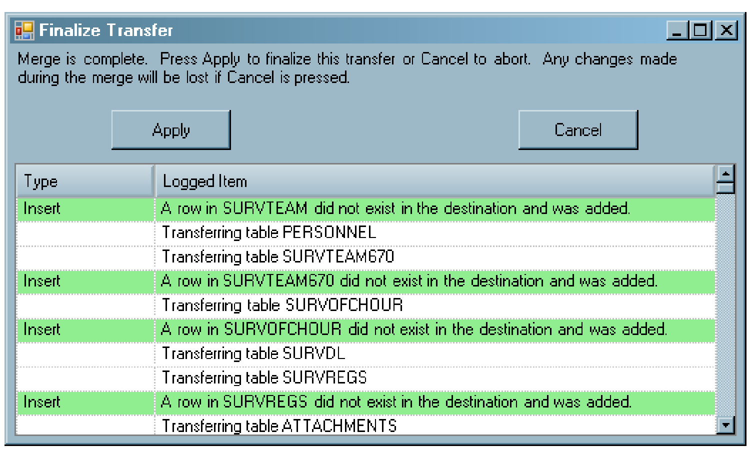


Figure 53: Finalize Transfer window

8 Click **Apply** to complete the transfer to the zip file.

Import the Survey into ASE-Q (USB)

The procedures in this section cover basic ASPEN import steps. Your state's encryption procedures may necessitate additional steps.

To import the survey:

1 Insert the USB drive containing the ASPEN transfer file into your laptop.

2 Open ASE-Q.

3 Click the **Import** button on the ASE-Q toolbar.

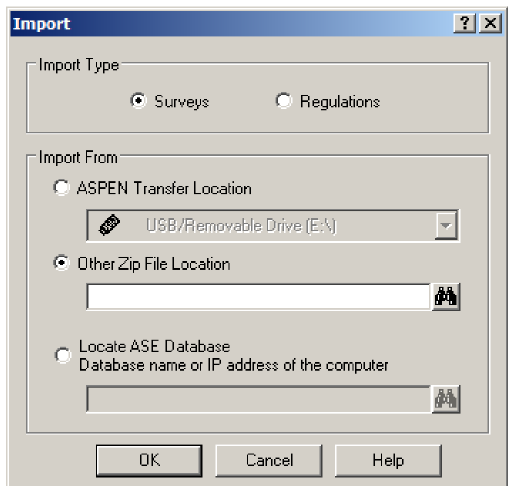


Figure 54: Import - Other Zip File Location selected

4 Navigate to the transfer file on the USB drive, then click **OK**.

If you select **ASPEN Transfer Location** for the USB drive, the file must be in the root of the USB drive and must be called ASPENTx.zip. If your file is in another location or uses another name, select **Other Zip File Location**, then navigate to the file.

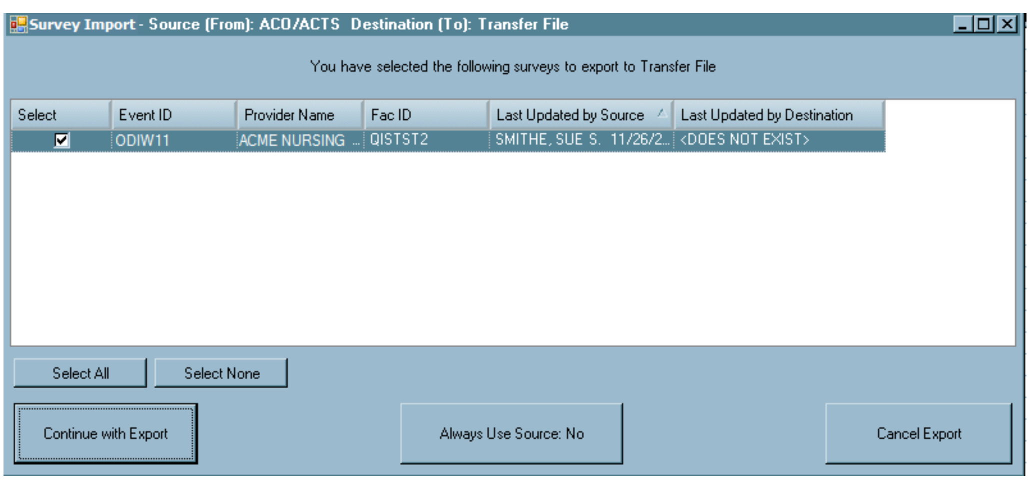


Figure 55: Survey Import window

5 Select the checkbox next to the survey you want to transfer, then click **Continue with Import**.

If the survey has been exported before, you will see a Merge Fields window. Decide if you want to use *Source* or *Destination* information, then select **Continue with Transfer**.

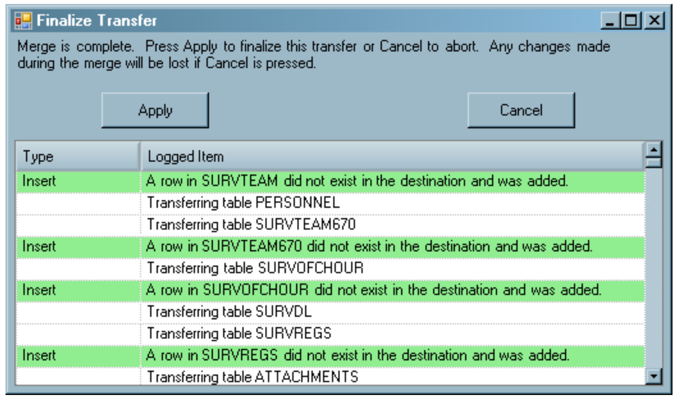


Figure 56: Finalize Transfer window

6 In the Finalize Transfer window, select **Apply** to complete the import.

If you are importing more than one survey, the transfer process should be repeated for each survey.

WARNING! ***TO PREVENT DATA LOSS***, after you have imported the survey into ASE-Q ***AND*** entered survey data using the QIS Tool, do not use the ACO/ASE-Q import or export functions unless explicitly instructed to do so.

Survey Team

Your survey team must be fully defined before beginning a QIS survey. If team members were not added in ACO/ARO, you can add them in ASE-Q. The corresponding survey in ACO/ARO will not reflect the new team members until you export the survey to ACO/ARO when finished.

Add team members before distributing the survey. Otherwise, all team members will need to add new surveyors on their own machines.

To add team members in ASE-Q:

1 Right-click the survey in the tree and select **Team Roster.** The Team Roster window appears with a list of the current team members.

2 Click the **Update** button to open the Select Surveyors window.

A checkmark by a surveyor indicates the surveyor is on the team. This list includes all surveyors whose personnel info has been imported into ASE-Q on this computer.

3 To add a surveyor to the team, click to place a checkmark by the surveyor.

4 Click **OK** to return to the Team Roster window in which the new team members are now listed.

5 In the Team Roster window, click **Done**.

To specify the team leader:

1 Right-click the survey and select Team Roster.

An existing team leader is indicated by a blue diamond next to the name.

2 Highlight the leader's name and click **Leader**, then click **Done**.

To manage replacement surveyors during a survey:

Occasionally surveyors need to be replaced while the survey is in progress. The process varies depending on where the team is in the survey. There are detailed instructions for this procedure in the Team Composition Changes section of your current QIS Checklist.

Navigate the QIS Tool

The QIS Tool is a system of menus and sub-menus that follow the QIS Checklist workflow as the team leader (primary surveyor) and survey team (secondary surveyors) conduct the survey.

Dependencies are built into the QIS Tool. In general, you proceed through the survey following the defined order. Some screens will not open until the previous screens are complete. There are a few screens that may be completed at any time.

TIP: The QIS Tool includes handwriting recognition software that "learns" a surveyor's handwriting. It may take time for the handwriting recognition software and surveyors to become accustomed to each other, so it may be beneficial to provide separate training sessions for surveyors to practice.

There are three main areas for navigating QIS, described in the following sections.

- QIS Navigator
- QIS toolbar
- QIS menus

To open the QIS tool:

1 In ASE-Q, locate your survey in the tree. QIS surveys in ASPEN have a QIS icon .

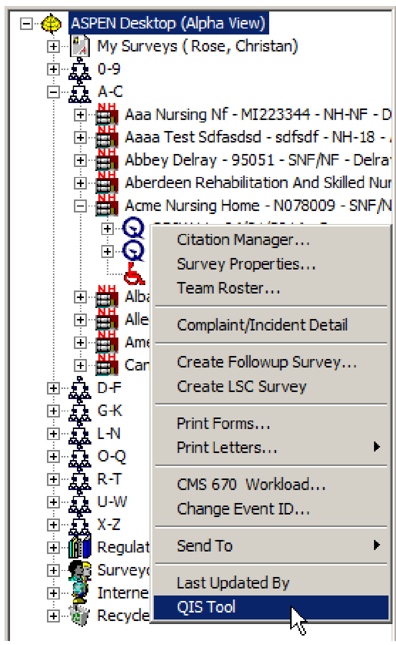


Figure 57: ASE-Q tree right-click menu

2 Right-click the survey and select **QIS Tool**.

-or-

Open QIS by selecting **QIS Tool** in Citation Manager.

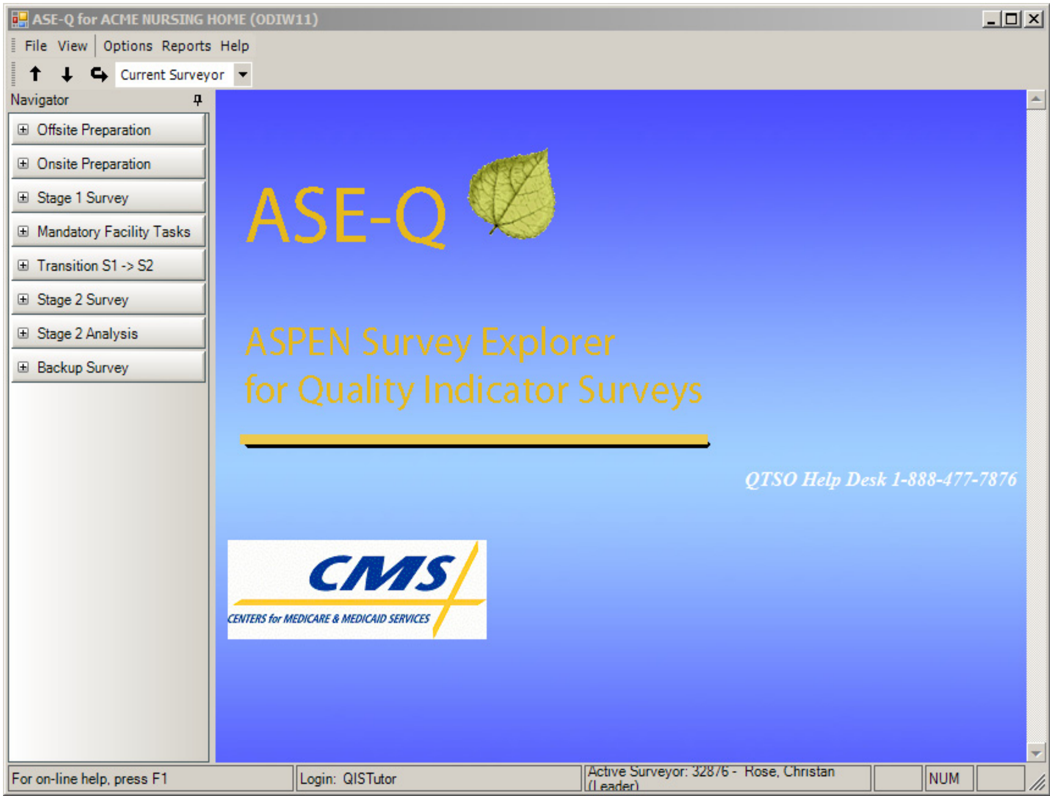


Figure 58: QIS Tool splash screen

When you open the QIS Tool, ASE-Q is immediately minimized and de-activated. You will still see the ASE-Q button on your task bar, but you cannot use ASE-Q while QIS is open.

QIS Menus

The QIS **File** menu contains only the Exit command.

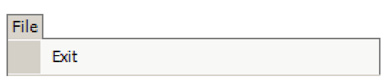


Figure 59: QIS File menu

View offers menu commands and displays the keyboard shortcuts for toolbar options.

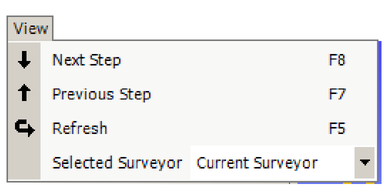


Figure 60: QIS View menu

Options contains four commands you may need when conducting a survey.

- Initiate/Remove Care Area/Tag
- Surveyor Notes
- Select Stage 2 Residents
- MDS 3.0 Viewer

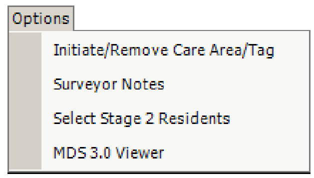


Figure 61: QIS Options menu

Initiate/Remove Care Area/Tag

If the surveyor notices an issue with a resident, use this command to initiate the care area or tag directly. When you initiate a tag directly, QIS directs you to the appropriate care areas you should initiate instead of the tag.

Note: Surveyors are not encouraged to initiate tags directly on a standard survey because that skips the QIS process. You can initiate a tag directly on a revisit. On a revisit, the screen opens to the tag list, and there is no warning to initiate a care area.

Surveyors can use **Initiate/Remove Care Area/Tag** to initiate a facility task to share with another surveyor who is already assigned the task.

Initiate/Remove Care Area/Tag may also be used to remove any care areas that were triggered in error.

Surveyor Notes

This option opens a notepad where surveyors can jot down notes. These notes stay on the surveyor's laptop and are included when Stage 1 and Stage 2 data is synchronized. After synchronization, the Team Leader can see notes from all team members. Surveyor notes are archived with the completed survey. In ACO/ARO, the Management Views have a read-only display of surveyor notes for each member of the survey team.

Select Stage 2 Residents

When investigating and citing a facility task, the surveyor often needs to refer to a resident. The surveyor can use this screen to find the internal ID number (Stage 2 #) for the resident to include in documentation. In addition, the surveyor can select a checkbox so the resident will show on the Stage 2 Report, so the report can contain all residents that may appear in a citation by ID number.

MDS 3.0 Viewer

Selecting MDS 3.0 Viewer opens the ASPEN MDS Viewer. The ASPEN MDS Viewer can remain open as long as QIS is open, which enables surveyors to toggle between viewing assessment data and entry of QIS data.

Reports provide menu access to QIS reports. Most of these may also be printed from the survey screens during the survey.

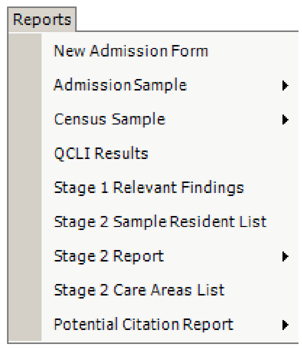


Figure 62: QIS Reports menu

QIS Toolbar

The QIS Toolbar is immediately under the menus.

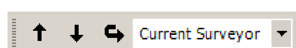
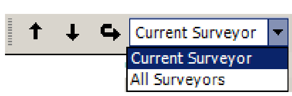


Figure 63: The QIS Toolbar

 The up and down arrow symbols on the toolbar allow you to move up and down through survey activities in the Navigator.

 The curved right arrow is disabled.



The **Current/All Surveyors** drop-down dictates the view of the survey. The drop-down is available only for the team leader on the primary laptop. For other surveyors the view is set to **Current Surveyor** and de-activated.

Secondary surveyors see only their assigned activities, notes, and survey data. Team leader activities in the Navigator are visible, but unavailable, to secondary surveyors.

The team leader has the option to see either the **Current Surveyor** view, which displays the team leader's activities, or the **All Surveyors** view, which displays assigned activities for all surveyors. After data is synchronized among team members, the team leader can use the All Surveyors option to view all surveyors' questions, responses, and documentation for tags.

Navigator

The Navigator is in the left pane of the QIS window.

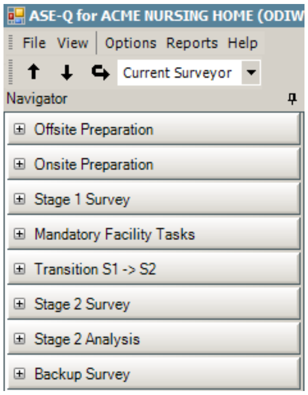


Figure 64: QIS Navigator - Recertification Survey

When you expand the Navigator and select a QIS survey activity, the activity's screen displays in the right pane:

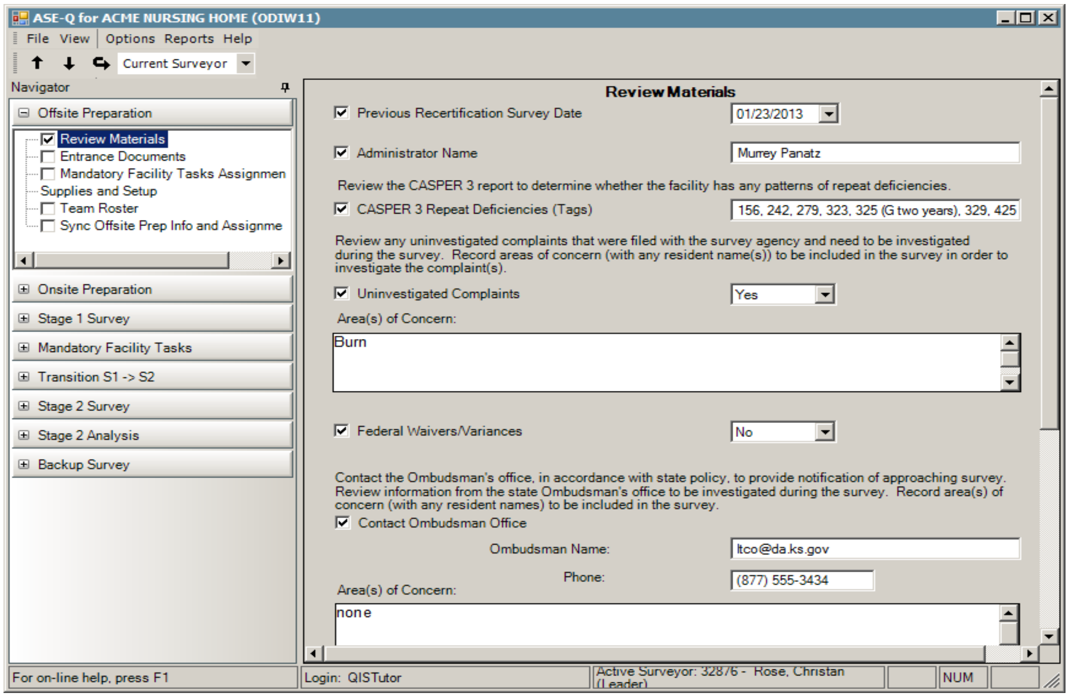


Figure 65: QIS Navigator - Review Materials

The Navigator lists the activities surveyors must perform as they conduct the survey.

Managed Activities

Managed activities are dependent on prior activities. The surveyor cannot move onto the next activity before the dependent activities are complete.

Non-Managed Activities

Non-managed activities, such as Mandatory Facility Tasks, can be completed in any order.

The Table of Completion Criteria describes the required entries for each activity.

More ...

"QIS Survey Table of Completion Criteria" on page 186
"QIS Revisit Survey Table of Completion Criteria" on page 194

Pinning the Navigator

The Pin allows you to display or hide the Navigator.

Click the pin, which turns it sideways, then move your mouse away from the Navigator to retract the Navigator into a button on the sidebar.

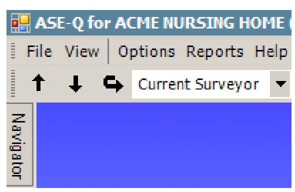


Figure 66: QIS Navigator - Unpinned

Click the Navigator button on the left when you need to see the Navigator menu temporarily. Click the pin again (turn it upright) to pin the Navigator in the open position.

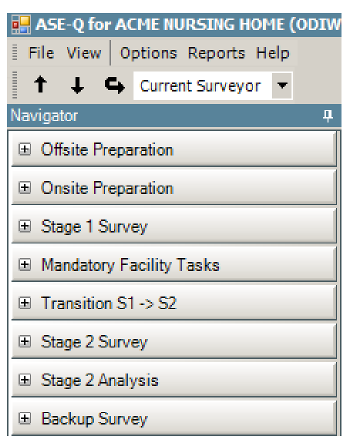


Figure 67: QIS Navigator - Pinned

Retracting the Navigator is not needed during Stage 1 survey activities, since Stage 1 screens displayed in the right pane have plenty of real estate. In fact, some surveyors prefer to widen the Navigator (you can select the border and drag it to the right) in the early part of the survey. When you begin Stage 2, some of the screens become quite dense, and for those activities, unpinning the Navigator improves readability.

Save Data

Screens in QIS save automatically, either when leaving the screen, or when you enter information in a grid, the screen saves when you move to the next row or leave the grid. Team Meeting, Stage 2 Investigation, and Potential Citations screens have individual Save buttons, for those occasions when the surveyor has the screen open for an extended period of time.

QIS Stage 2 investigative documentation screens save every 5 minutes by default. It is recommended that you retain the default, but you can set a specific save interval in ASE-Q, by selecting System|System Configuration|State Customization.

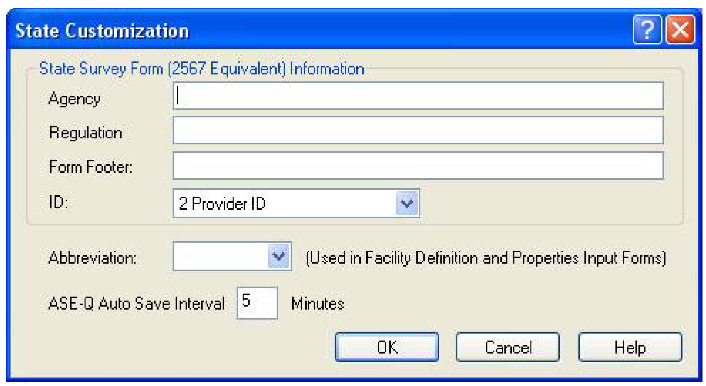


Figure 68: State Customization screen

On the State Customization screen, type in your own number for the ASE-Q Auto Save Interval. If the interval is empty or 0, no file save will occur.

Retrieving Saved Text

The backup file for investigative documentation text resides in a subfolder called “DataBackup” in the ASEQ applications folder. The name of the file will be created using the resident’s Stage 2 number and surveyor ID.

For instance, if ASE-Q resides in the folder C:\ASEQ:

A standard survey (ABCD11) modified by surveyor STF01, for a resident with a stage 2 ID of 21, will save to the file:

C:\ASEQ\DataBackup\ABCD11\Stage2\RsdntStaffBkup-21-STF01.txt.

A revisit survey (ABCD12) with the same surveyor and resident, will save to the file:

C:\ASEQ\DataBackup\ABCD12\Revisit\RsdntStaffBkup-21-STF01.txt.

You can use this file to retrieve any text you have lost, and copy it back into QIS.

Note: If your laptop is switched off, or loses power, the current screen's data will not be saved.

Earn Checkmarks

Survey activities that are dependent on previous activities are not activated until the previous activities are complete. QIS inserts the checkmark in the Navigator when an activity is complete. QIS requires responses in every field and text area on the screen before considering an activity complete.

After synchronizing with secondary surveyors, it is the team leader's responsibility to verify that all combined activities are complete and have earned checkmarks.

The team leader has a checkbox in the Navigator next to every activity (excluding information-only screens).

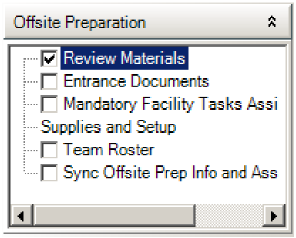


Figure 69: Team Leader activities

Secondary surveyors have checkboxes only for activities they complete themselves, such as assigned investigation activities and sync points.

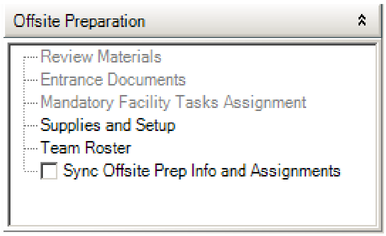


Figure 70: Secondary surveyors' activities

Team leader survey activities are visible but inactive for secondary surveyors. For certain activities, secondary surveyors are allowed, but not required, to participate -- those activities are activated for secondary surveyors but do not have a checkbox.

QIS Keyboard Shortcuts

QIS contains two useful keyboard shortcuts to assist surveyors. Ctrl-D inserts the date and time at the cursor insertion point. Ctrl-D is available in all documentation areas in QIS. *Example:* 08/11/2014 3:33:50 PM .

Ctrl-N inserts the current resident's ID (Stage 2 #), if known, or provides a list of all residents available for selection. Ctrl-N is available in Surveyor Notes, Facility Task and Stage 2 investigative documentation areas, Stage 1 Relevant Findings, and Potential Citations.

On screens related to a specific resident, Ctrl-N inserts the Resident ID for that resident. On screens that are not dedicated to a single resident, such as Surveyor Notes, Ctrl-N opens a Select Resident screen that lists all residents in the resident pool. The surveyor can choose the resident, and QIS inserts the resident's ID at the cursor location. *Example:* Resident #25 .

Conduct the QIS Survey

This document does not provide surveyor training. Instead, we will visit each survey activity listed on the Navigator and provide tips and hints about how to maximize use of QIS for those screens.

The menus below use the team leader's view of the QIS Tool.

Offsite Preparation

The Offsite Preparation section provides a list of tasks for the team leader to complete prior to entering the facility.

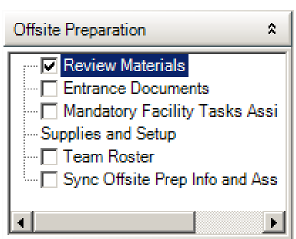


Figure 71: Offsite Preparation menu

Review Materials

The Review Materials screen gives the team leader a place to document any concerns that arise while reviewing materials in preparation for the survey.

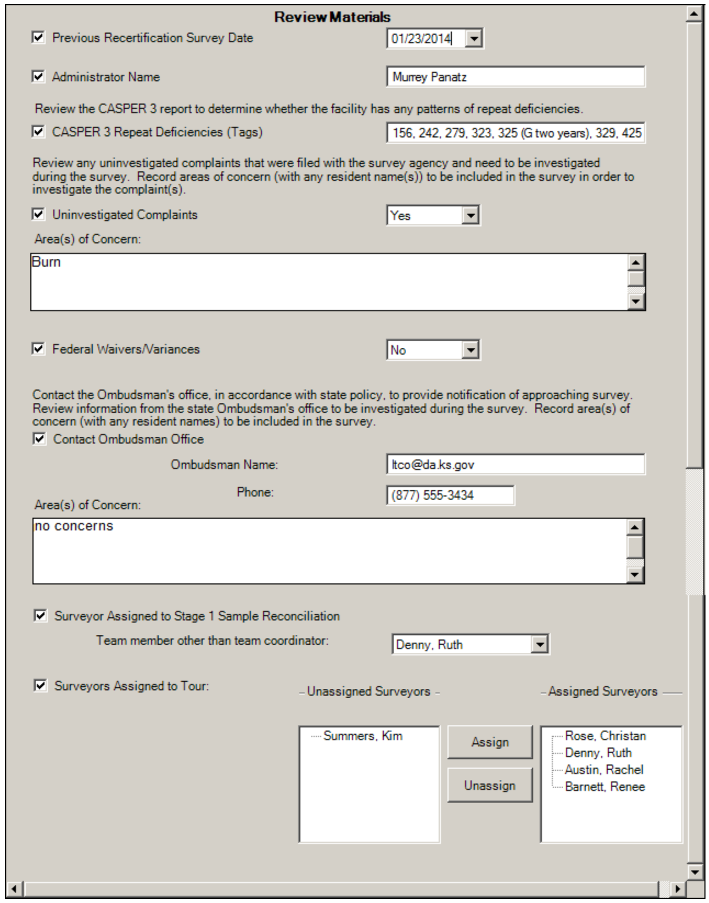


Figure 72: Offsite Preparation - Review Materials screen

QIS inserts the checkmark above each field or section when it is complete. Every field on the screen, including text areas, requires entry before the screen is considered complete. If you have nothing to add in a text box, CMS requests that you type "No concerns".

When assigning surveyors to the Tour, select one or more surveyors in the left pane and click **Assign**.

When all sections on the screen are checked, QIS inserts a checkmark next to Review Materials in the Navigator once you move off the screen.

Entrance Documents

The team leader prints the Entrance Documents. These documents ensure the survey team gathers the materials needed for the survey.

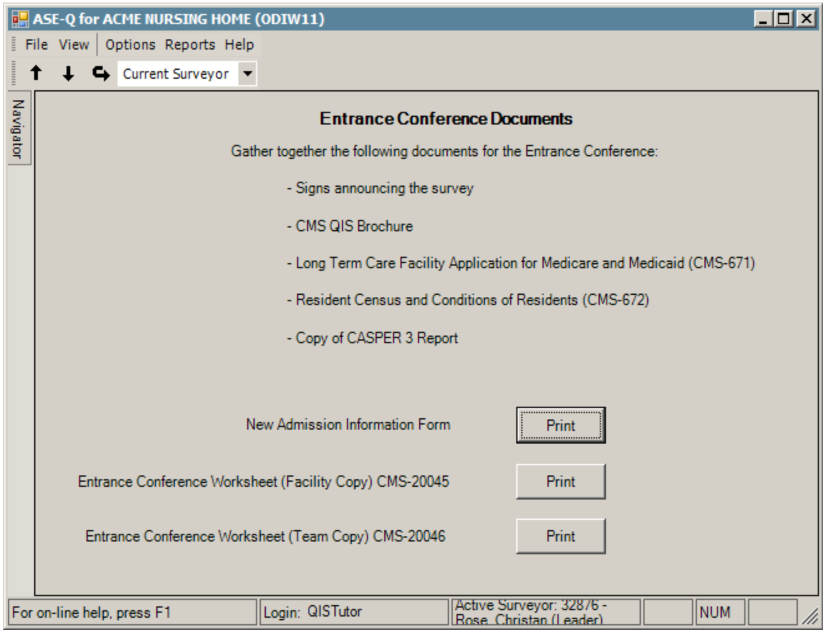


Figure 73: Offsite Preparation - Entrance Documents screen

Select **Print** next to each of the three reports. When the report generates, you can choose to send it to a printer or save as PDF.

All three reports must be generated before the screen is considered complete.

Mandatory Facility Tasks Assignment

The team leader uses the Mandatory Facility Tasks Assignment screen to assign facility tasks to the survey team.

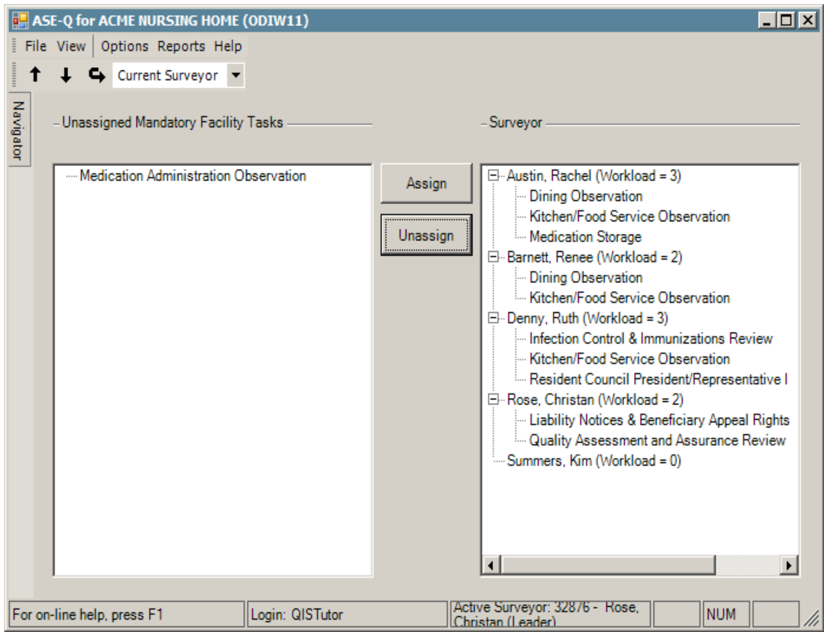


Figure 74: Offsite Preparation - Mandatory Facility Tasks Assignment screen

Select one or more tasks from the left pane (click, ctrl-click, and shift click all work); then select the surveyor to whom you want to assign in the right pane. Click the **Assign** button.

If you want to change assignments, select the **+** sign to expand the surveyor list. Highlight one or more tasks and click **Unassign**.

The screen is complete when all tasks are assigned.

If more than one surveyor is performing a task, assign the task to one of them. The other surveyor can then surveyor-initiate the task, by selecting **Options | Initiate/Remove Care Area | Tag Screen**.

Supplies and Setup

Supplies and Setup is an information-only screen, and does not require a checkmark in the Navigator.

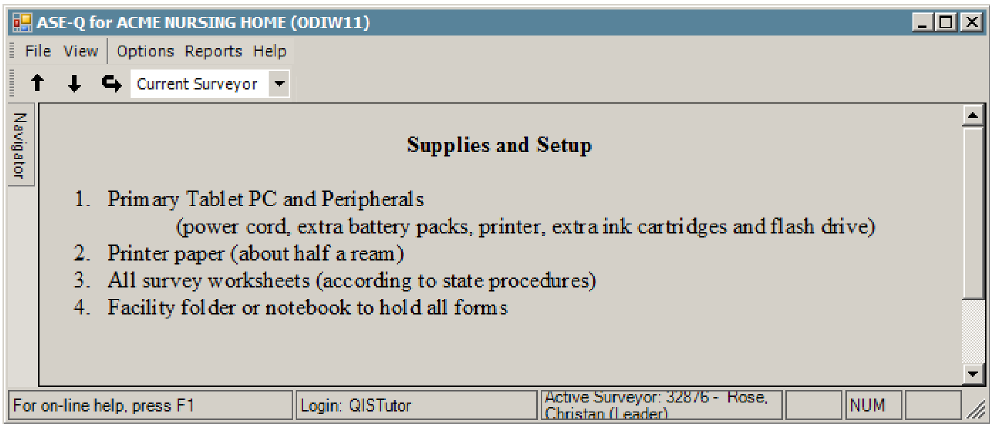


Figure 75: Offsite Preparation - Supplies and Setup screen

Team Roster

The team roster screen determines how the survey team shares data during the QIS survey process.

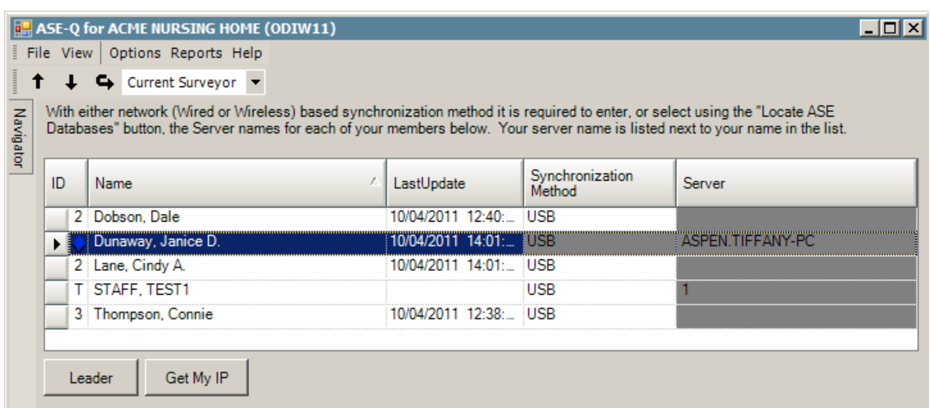


Figure 76: Offsite Preparation - Team Roster screen

By default all users are set to communicate via USB. If the team is using only USB to share data, no changes are required.

Once this screen is set up for the survey team, you do not need to make any other changes during the synchronization process.

If necessary, you can use this screen to change the team leader (primary) surveyor on the team. While you can use the Synchronize Now button to share that change with other surveyors, the simplest (and recommended) method is for each surveyor to change the leader in ASE-Q using Citation Manager or Survey Properties.

WARNING! If an embedded RO surveyor is on the survey team, we recommend using the wired option. If a state is using wired networking to share data then those entries are made here.

WARNING! The team leader cannot perform the Sync Offsite Prep Info and Assignments step, and earn a check mark, until the embedded RO surveyor's wired connection is set up, and the RO is added to the team.

More ...

"Wired Communication" on page 19
"RO Surveyors (embedded or observational)" on page 115

Sync Offsite Prep Info and Assignments

The Sync Offsite Prep Info and Assignments screen guides the team leader and secondary surveyors through the data synchronization task. The Status field notifies the team leader and survey team if synchronization was successful, or if there was an error.

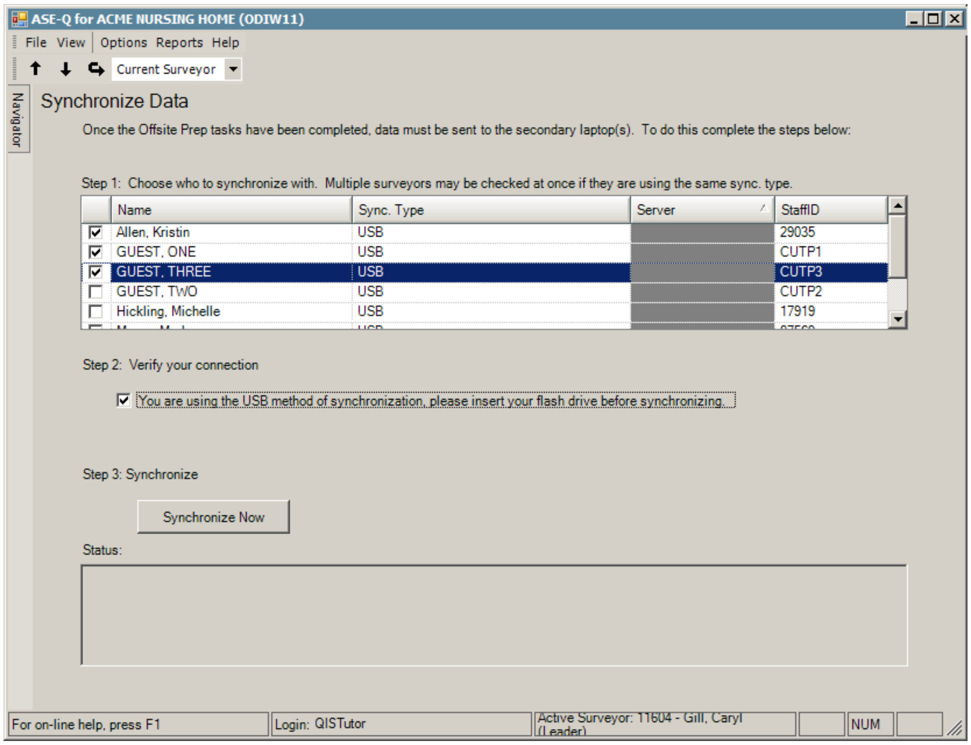


Figure 77: Offsite Preparation - Sync Offsite Prep Info and Assignments screen

This screen is not enabled until the team leader earns checkmarks for Review Materials, Entrance Documents, Mandatory Facility Tasks Assignment, and Team Roster screens.

More ...

"Synchronization Procedures" on page 103

Onsite Preparation

The Onsite Preparation section provides a list of tasks for the team leader and survey team to complete prior to beginning Stage 1 of the survey.

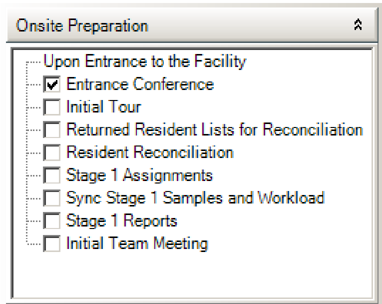


Figure 78: Onsite Preparation menu

Upon Entrance to the Facility

This screen is information-only, and provides instructions and requests for the survey team when they enter the facility.

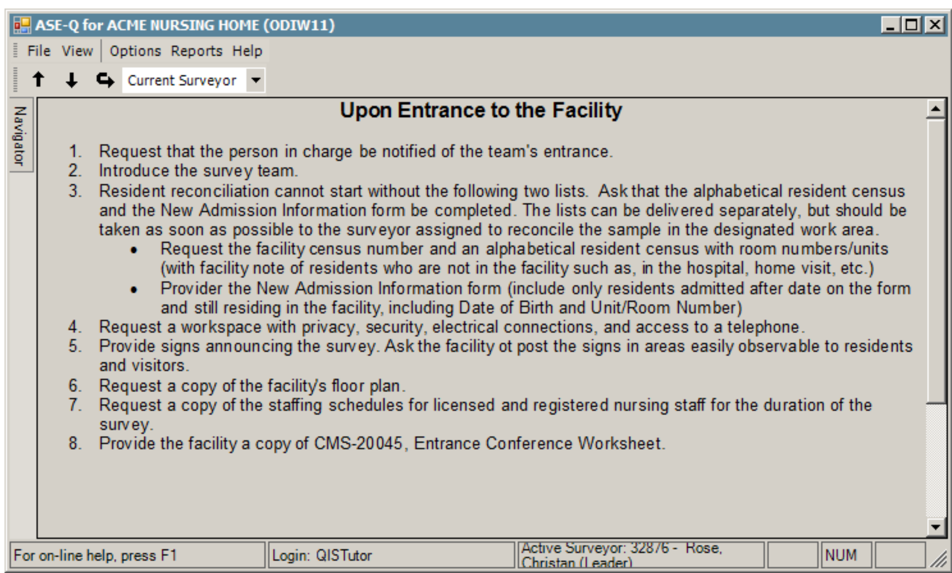


Figure 79: Onsite Preparation - Upon Entrance to the Facility screen

Entrance Conference

The Entrance Conference screen gives you a place to enter the date and time of the Entrance Conference and any notes you may want to record.

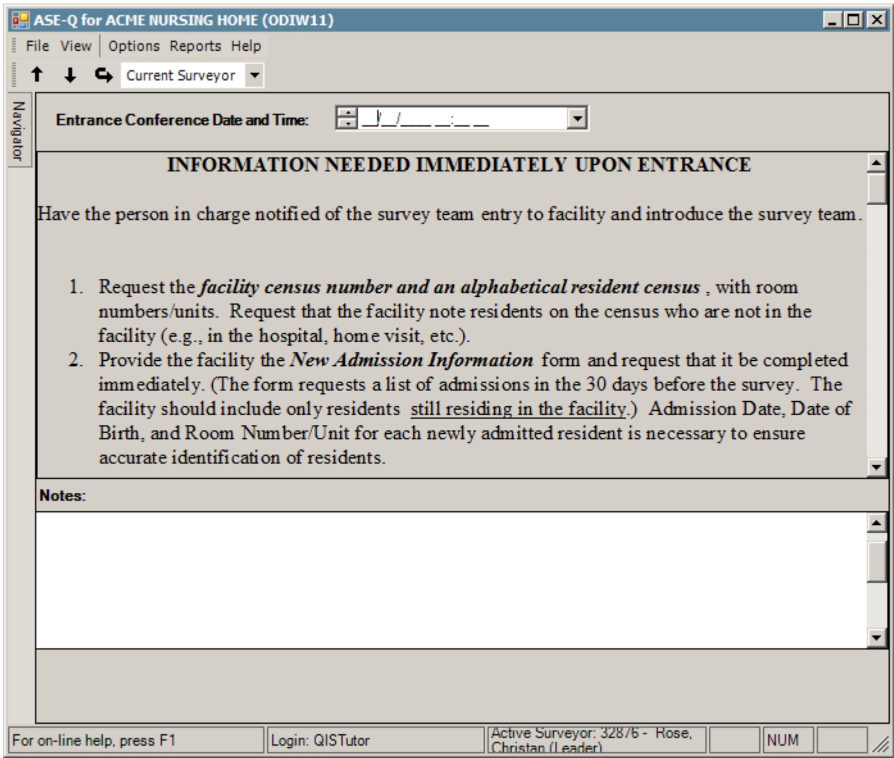


Figure 80: Onsite Preparation - Entrance Conference screen

Date/time and notes are required for the screen to be complete.

The down arrow to the right of the date/time field opens a calendar. The time defaults to the current time. You can change the time by either typing over, or by clicking in the time section and using the spinner control on the left to increase or decrease the value.

Initial Tour

Surveyors assigned to the tour can use this screen to note concerns observed during the initial tour. These notes are merged with the primary laptop during the Sync Stage 1 Survey Data.

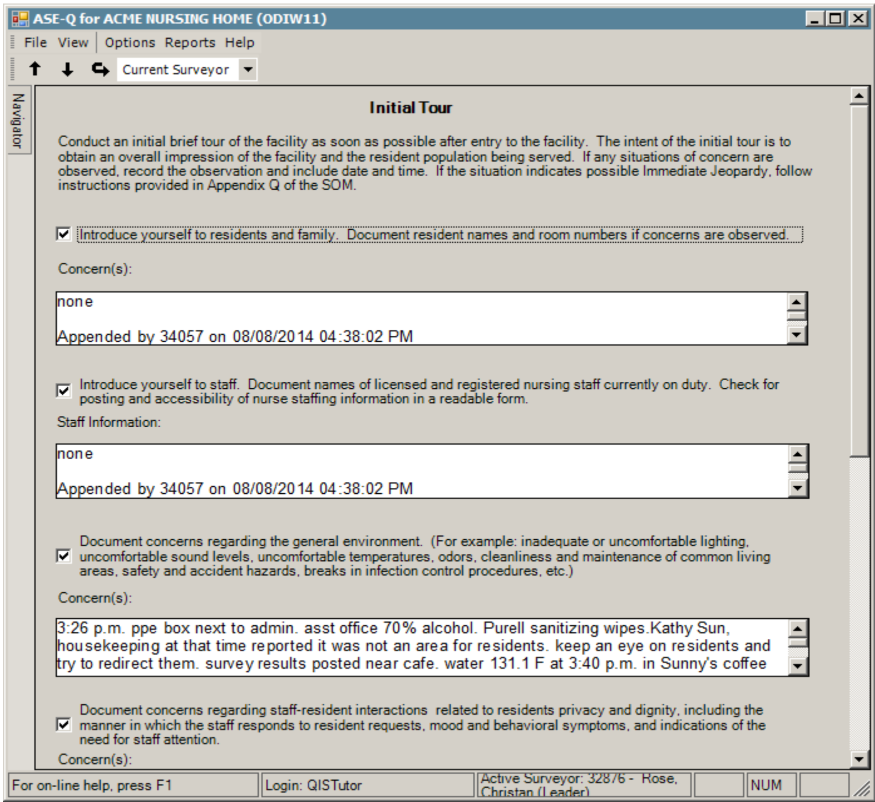


Figure 81: Onsite Preparation - Initial Tour screen

As each surveyor completes the text fields, QIS supplies the checkmarks that apply to that section.

After Stage 1 synchronization, the team leader should ensure all fields contain text for the screen to be complete.

Returned Resident Lists for Reconciliation

Indicate the date and time the Returned Resident Lists were received from the facility. If you place a checkmark in the box, QIS will enter the current date and time. You can use either the calendar or the spinner control to change the date and time.

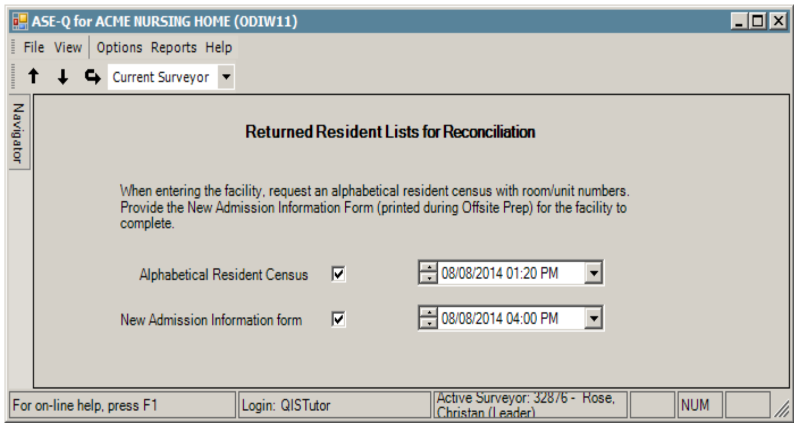


Figure 82: Onsite Preparation - Returned Resident Lists for Reconciliation screen

Resident Reconciliation

The Resident Reconciliation screen allows the survey team to reconcile the resident pool.

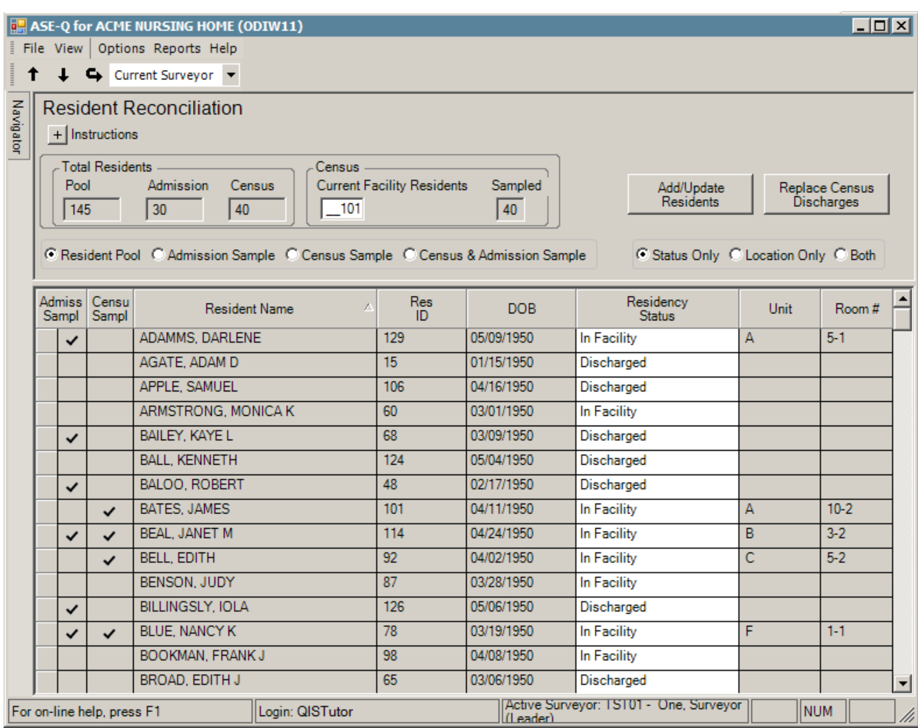


Figure 83: Onsite Preparation - Resident Reconciliation screen

Click the **+Instructions** button to display step-by-step instructions for completing this screen.

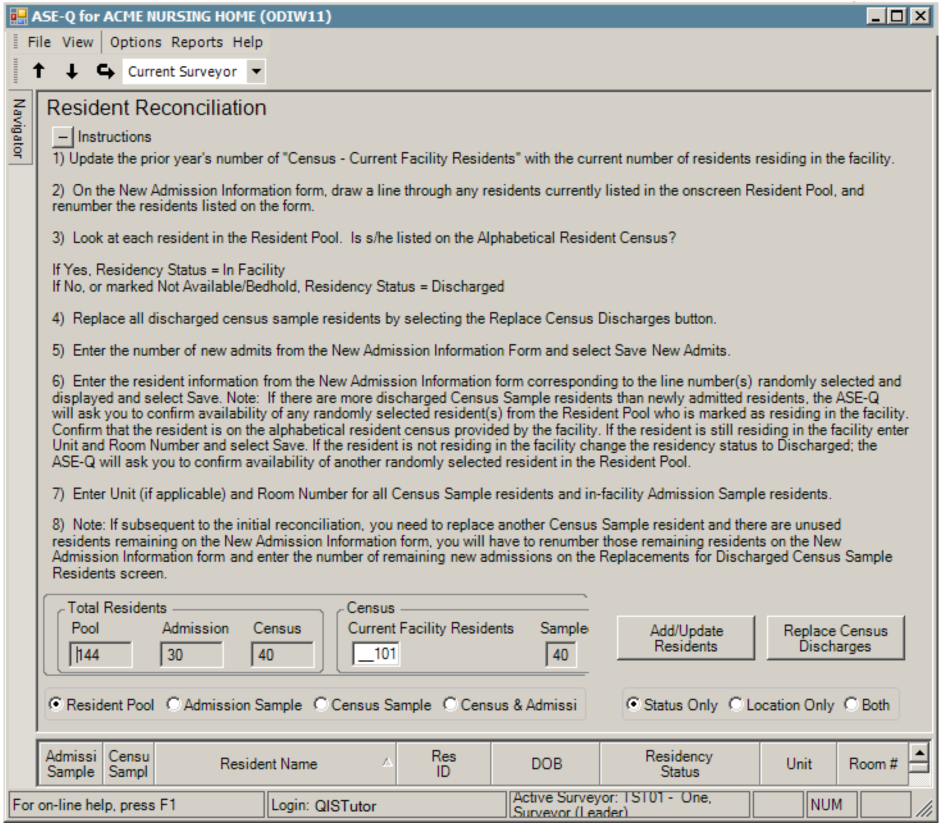


Figure 84: Resident Reconciliation screen - Step-by-Step Instructions

For the screen to be complete, enter the current Residency Status for all residents in the pool. Replace any discharged Census sample residents. In-Facility Admission residents and Census sample residents require entries in the Room # column.

The radio buttons on the left above the resident names filter the resident list. You can show all residents in the pool, all residents in the admission sample, all residents in the census sample, or all residents in the census & admission sample.

The radio buttons on the right above the resident names set the tab order on the grid. If you select **Status Only**, the tabs move down the Residency Status column, where you can use the drop-down menus to select **In Facility or Discharged** (you can also type **I** or **D** as you tab through the rows).

If you select **Location Only**, the tab order moves from the **Unit** column to **Room**, then to the next row. If you select **Both**, the tabs will move from **Status** to **Unit** to **Room**, then to the next row.

The **Unit** and **Room** columns are free format text entry.

QIS provides a warning message if a census sample resident has been discharged.

After a status has been entered for all of the pre-selected census residents, select **Replace Census Discharges** to replace any discharged census residents. This opens the Replacements for Discharged Census Sample residents window. There are two sources of replacement residents: new admissions, then if there are not enough replacements in new admissions, you can use residents from the pool.

Add/Update Residents opens the Add/Update Residents window, where you can add new residents or edit residents previously added by surveyors. Type new resident information on the empty top line, then press **Enter** if you need to add another resident. Any new residents will be saved when you select **OK**. If you need to make changes to existing surveyor-added residents, edit the row for that resident.

Stage 1 Assignments

The Stage 1 Assignment screen lists unassigned residents in the left pane. The team leader can sort residents by name, unit, or room.

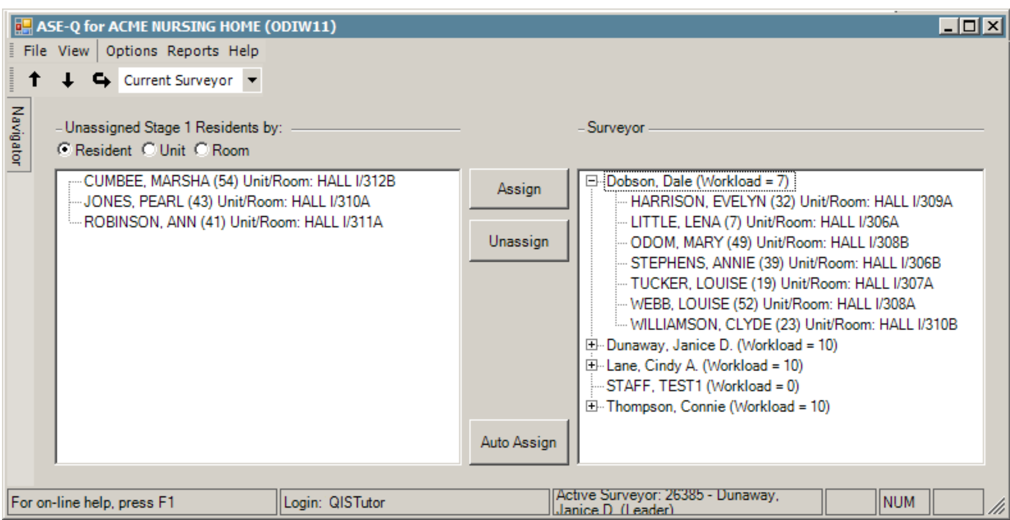


Figure 85: Onsite Preparation - Stage 1 Assignments screen

Members of the survey team are listed in the right pane.

You can manually assign residents by selecting one or more residents in the left pane, then highlighting the surveyor name in the right pane, then clicking **Assign**.

You can use **Auto Assign** to randomly assign residents to surveyors based on location (unit).

To change assignments, click the **+** next to the surveyor name to display the residents, then select one or more residents and click **Unassign**.

Sync Stage 1 Samples and Workload

After earning checkmarks for Onsite Preparation tasks, the team leader pushes the resident data and team assignments to the survey team.

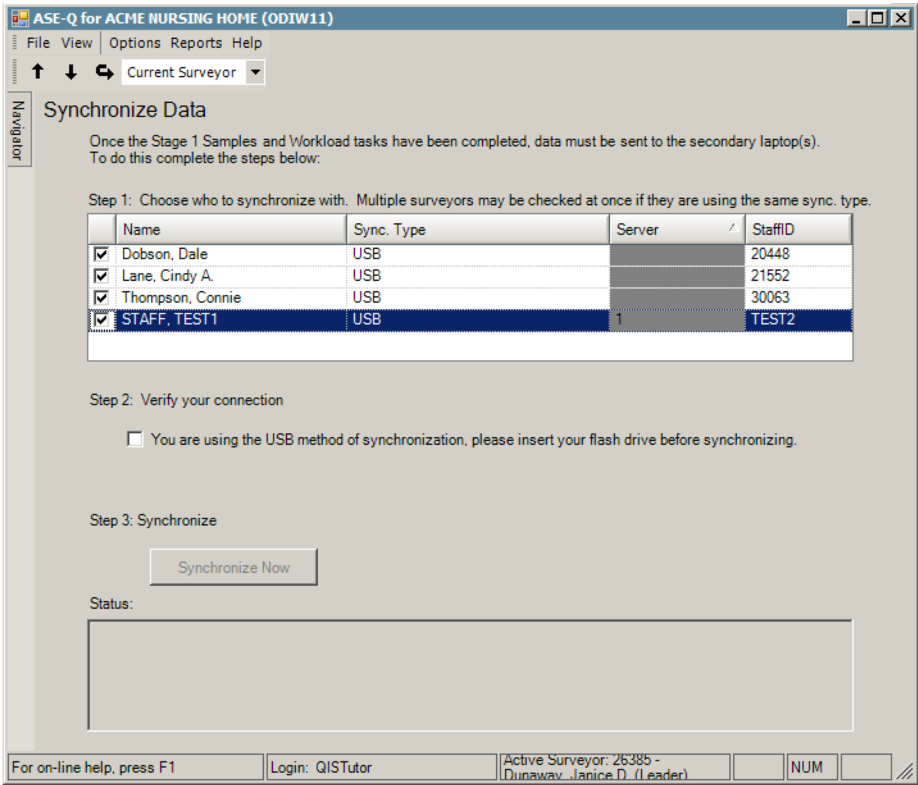


Figure 86: Onsite Preparation - Sync Stage 1 Samples and Workload screen

More ...

"Synchronization Procedures" on page 103

Stage 1 Reports

After resident reconciliation and Stage 1 assignments, the team leader generates reports on the Stage 1 Reports screen.

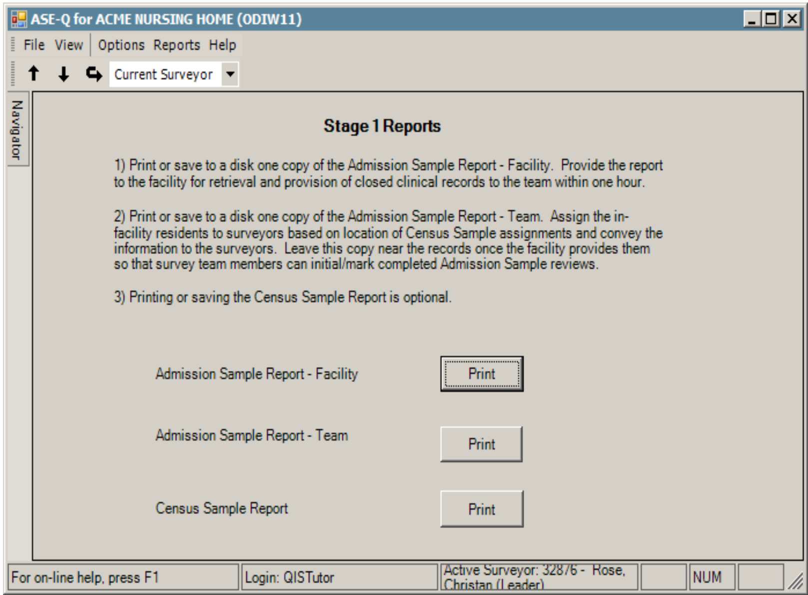


Figure 87: Onsite Preparation - Stage 1 Reports screen

The Census Sample Report is optional, but the other two reports must be generated and printed for the screen to be complete.

Initial Team Meeting

This screen provides the survey team with a place to document the initial team meeting. You must enter text in each section to earn the checkmark.

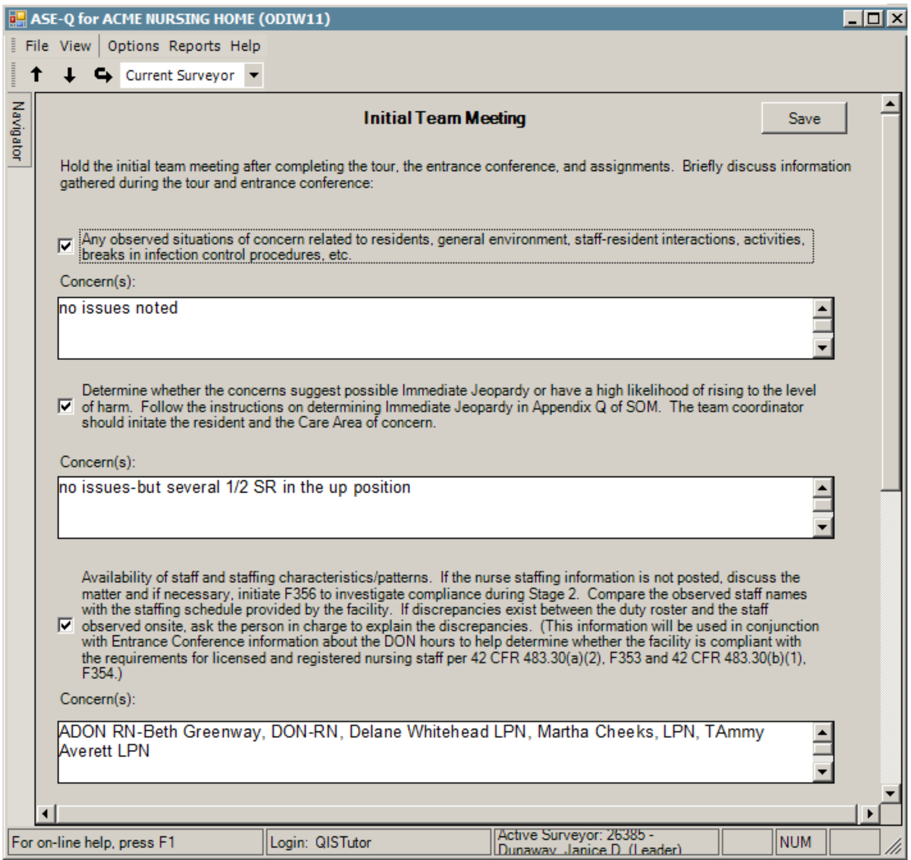


Figure 88: Onsite Preparation - Initial Team Meeting screen

The **Save** button allows users to periodically save data during the meeting.

Stage 1 Survey

The Stage 1 Survey section provides a list of tasks for the team leader and survey team to complete during the first part of the survey.

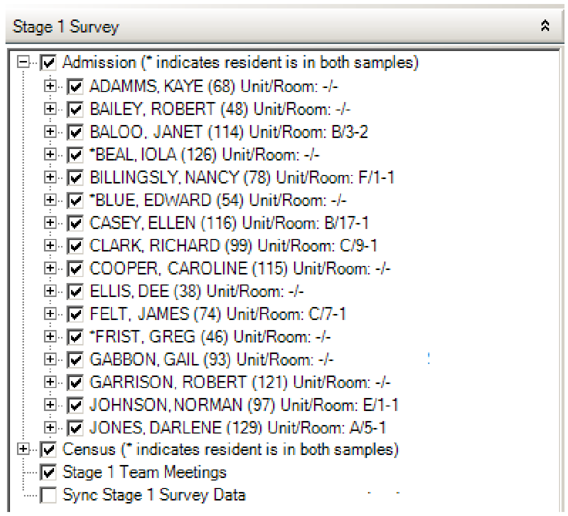


Figure 89: Stage 1 Survey menu

Admission

We recommend that the Navigator be widened during the Stage 1 Survey activities. It is easier to read the resident names/questions and the menu won't constantly shift to maximize space.

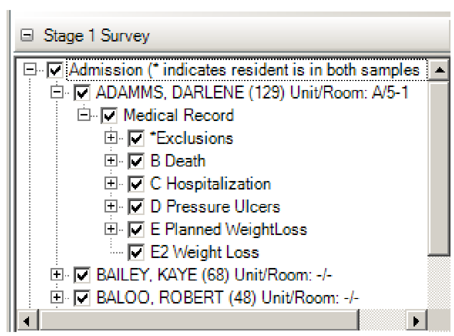


Figure 90: Stage 1 Survey - Admission menu, expanded

Expand the admission item to see a list of all admission sample residents. Expand the resident's name to see the Medical Record inquiries.

Check boxes next to each name show which residents have been completed.

Next/previous arrows appear on the Stage 1 survey screens to help you navigate through the resident questions. These have the same functionality as the next/previous buttons on the toolbar.

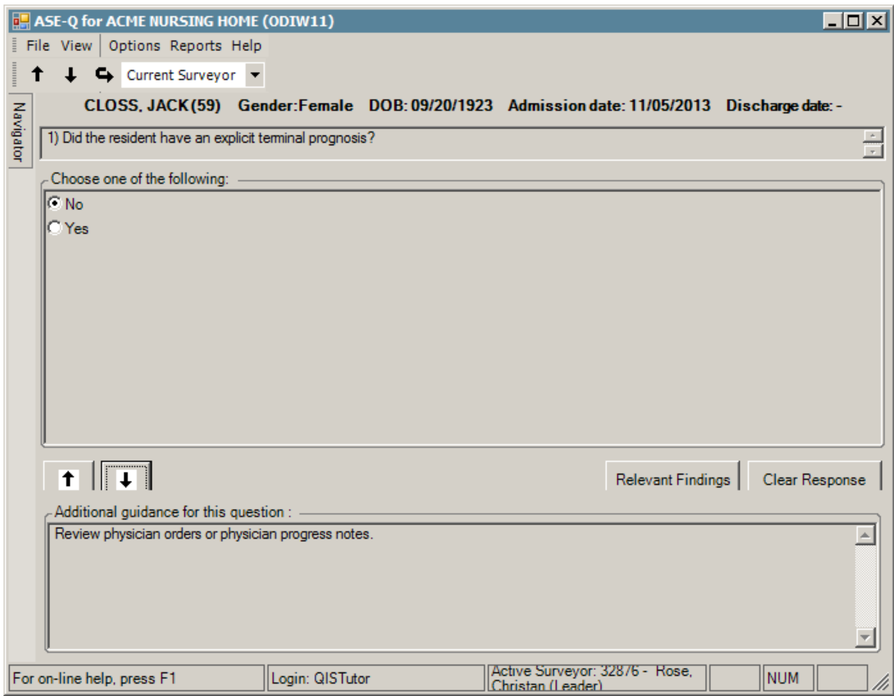


Figure 91: Stage 1 Survey - Admission screen

Census

Expand Census to see the census sample residents assigned to the current surveyor.

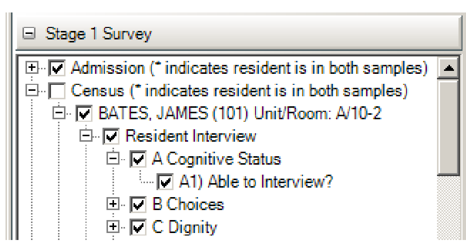


Figure 92: Stage 1 Survey - Census menu, expanded

Team leaders can change the **Current Surveyor** droplist to **All Surveyors** to see the full list of census sample residents.

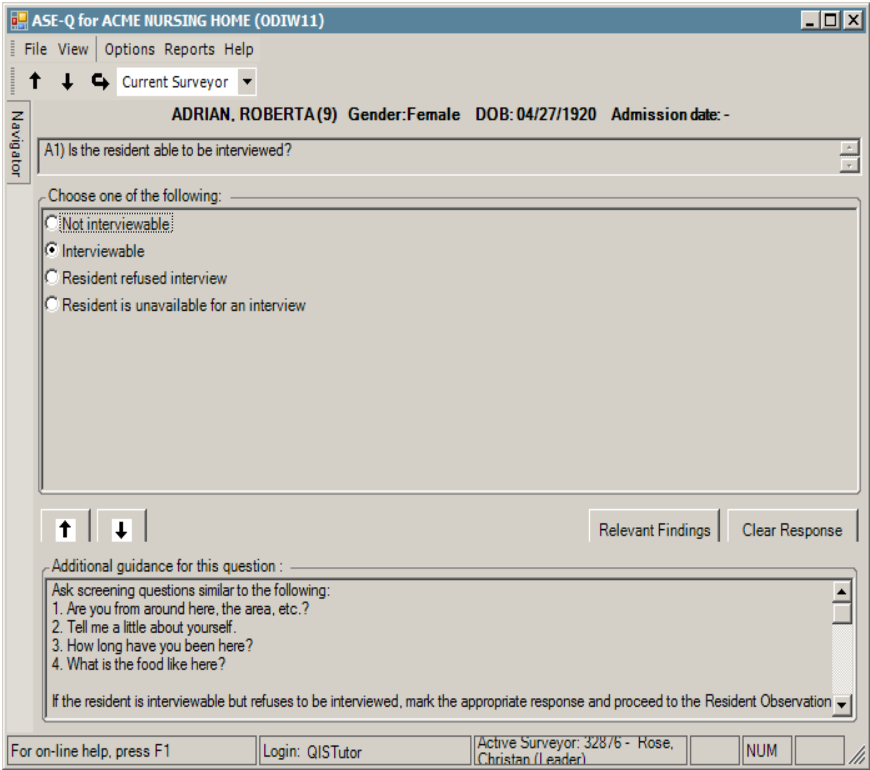


Figure 93: Stage 1 Survey - Census screen

Stage 1 Team Meetings

A place to document the Stage 1 team meeting. Each section must be complete.

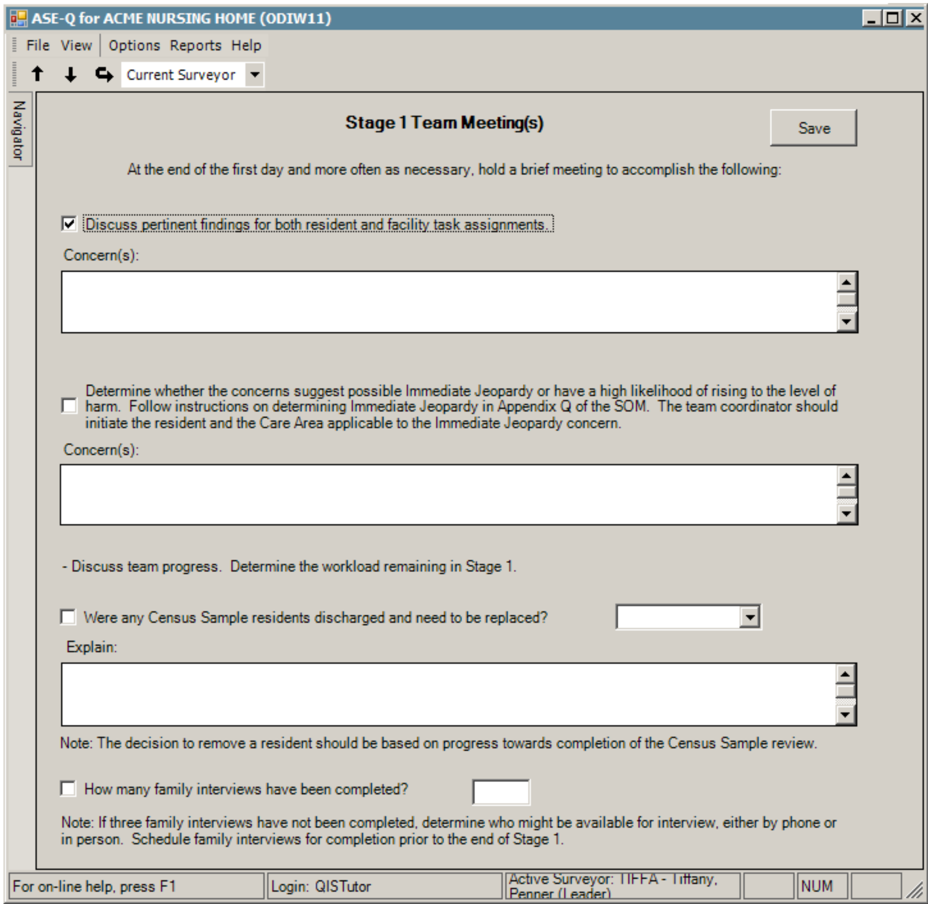


Figure 94: Stage 1 Survey - Stage 1 Team Meeting(s) screen

The **Save** button allows users to periodically save data during the meeting.

Sync Stage 1 Survey Data

After the survey team completes Stage 1 of the survey, the team leader pulls each secondary surveyors Stage 1 data into the primary laptop.

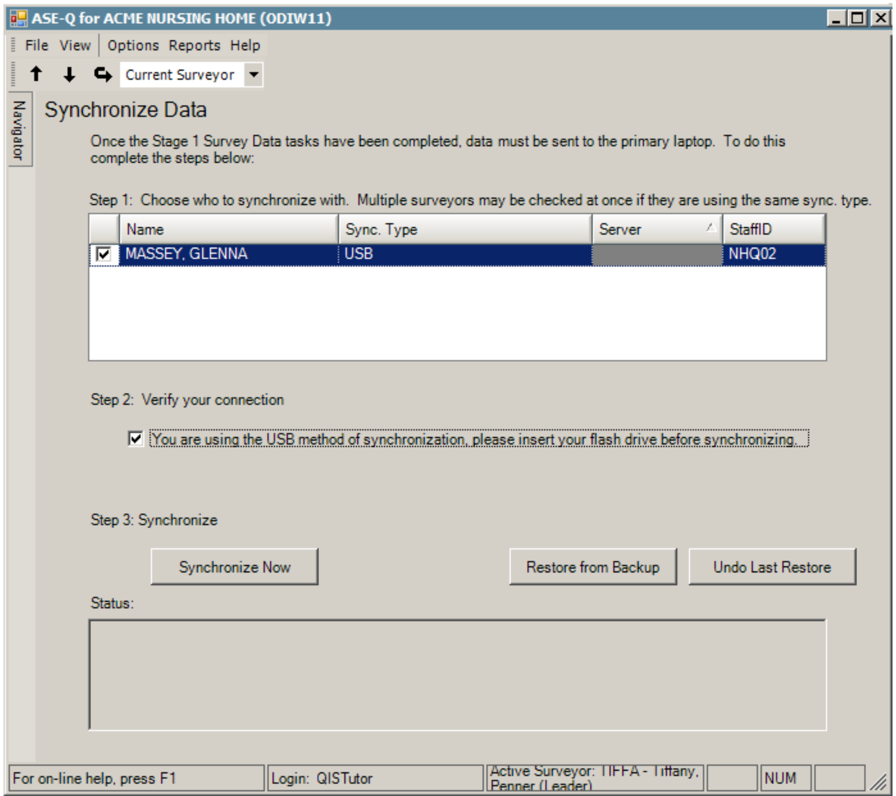


Figure 95: Stage 1 Survey - Sync Stage 1 Survey Data screen

After the Stage 1 data synchronization is complete, the team leader should verify that all Stage 1 tasks earned a checkmark.

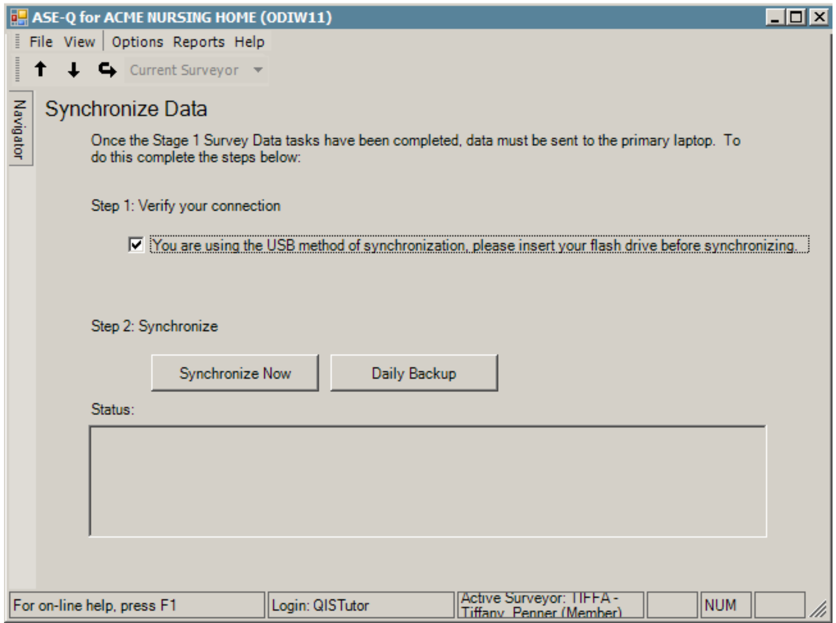


Figure 96: Stage 1 Survey, Secondary Surveyor Daily Backup screen

More ...

"Synchronization Procedures" on page 103
"Team Leader Daily Backup" on page 110
"Secondary Surveyor Daily Backup" on page 111

Mandatory Facility Tasks

Each Mandatory Facility Task must be either completed or removed (i.e. for Liability Notices or Resident Council, if applicable) for every QIS survey. They may be completed at any time during the survey.

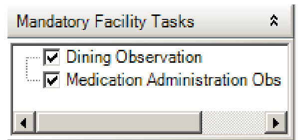


Figure 97: Mandatory Facility Tasks menu

Mandatory Facility Tasks have the same basic structure:

The top section of the screen is the Facility Task Pathway. This is a set of instructions to the surveyor for completing the facility task. You can minimize the Pathway, once you've read it.

The midsection contains a list of Critical Element questions that the surveyor needs to answer **Yes** or **No** (or sometimes **N/A**, if available). You should enter notes in the CE Investigative Documentation section before answering the CE.

When a CE is answered No, the related tag is added to the Potential Citations list (the last section of this screen). Any CE Notes that were entered before the CE question was answered No are copied to the tag's Potential Citation Documentation.

All CE questions must be answered to complete the task.

The last section is a list of Potential Citations that is generated when you answer No to any of the CE questions above.

You must choose a **Severity** and enter documentation to complete the facility task.

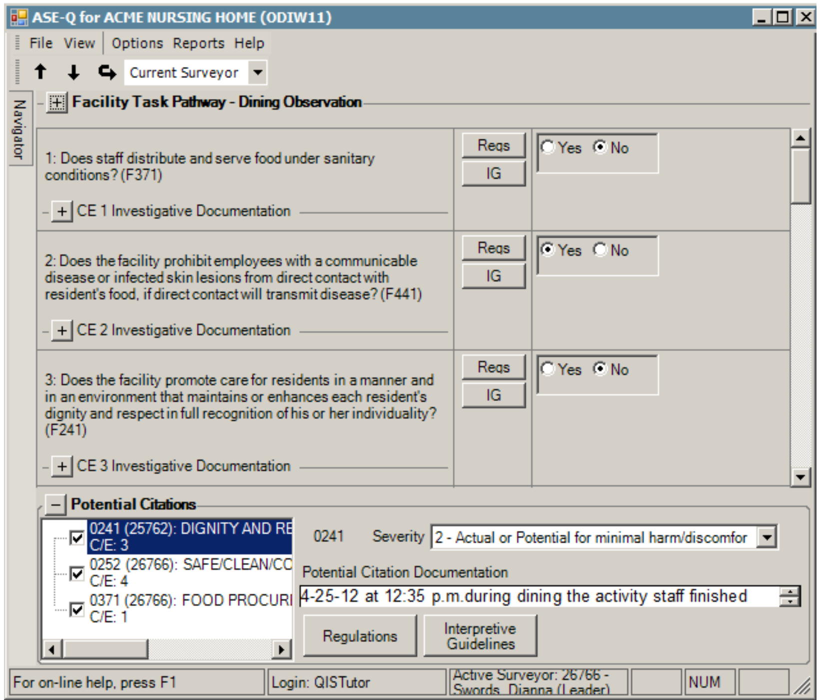


Figure 98: Mandatory Facility Tasks - Dining Observation screen

Some Mandatory Facility Tasks have sections embedded in the CE questions that allow you to enter additional resident information.

Transition S1 -> S2

This section guides the survey team during the transition to Stage 2 of the survey.

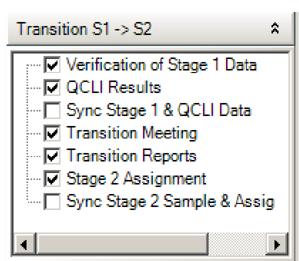


Figure 99: Transition S1 -> S2 menu

Verification of Stage 1 Data

The team leader uses this screen to check if information is missing from the Admission and Census questions in Stage 1.

If information is missing from a surveyor, the team leader needs to make sure data was synchronized with that surveyor.

If information is still missing, the team leader can complete the task (select the All Surveyors view, then complete missing data on Stage 1 screens). Alternatively, surveyors can complete the screens on their secondary machines, then re-sync with the team leader.

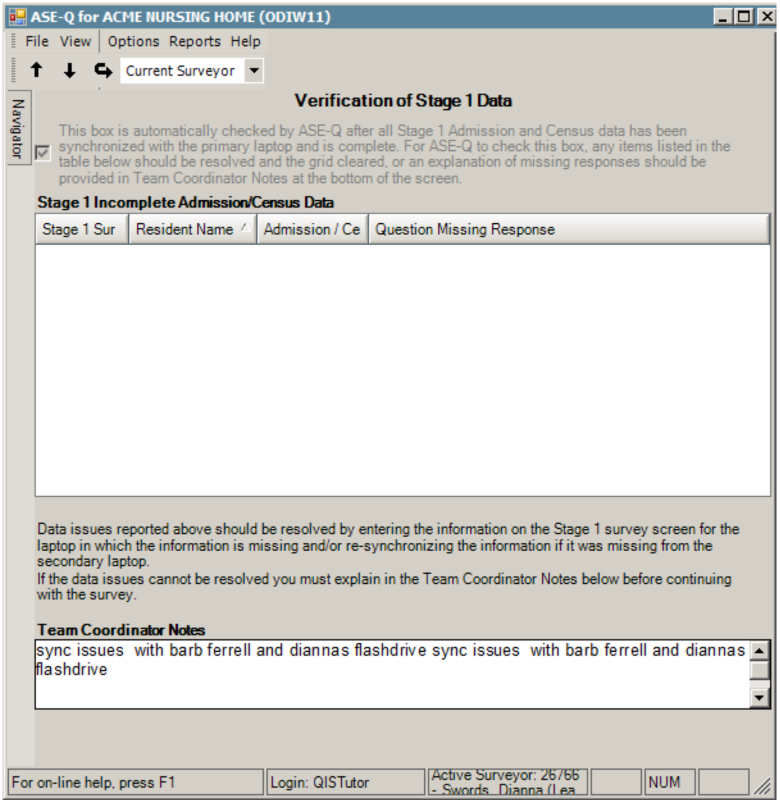


Figure 100: Transition S1 --> S2 - Verification of Stage 1 Data screen

After the team leader verifies the data, the system selects the checkbox at the top of the screen.

Remaining questions should be explained in the Notes section. This screen is considered complete if either the list of incomplete information is empty, or there are notes entered for any appropriately incomplete information (e.g. a resident halts an interview).

More ...

"Synchronization Procedures" on page 103

QCLI Results

Select **Calculate QCLIs** to calculate the Admission and Census QCLIs and to generate the Stage 2 sample.

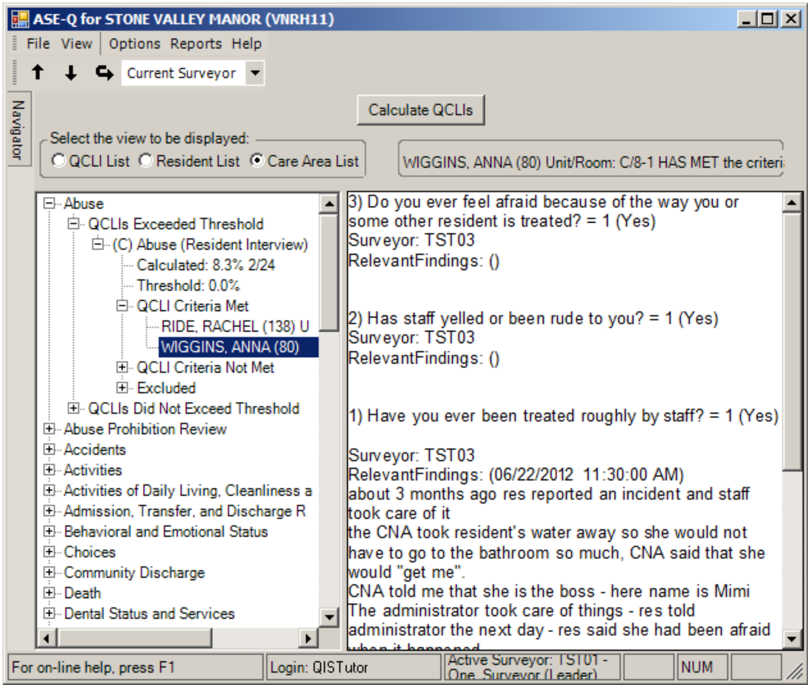


Figure 101: Transition S1 --> S2 - QCLI Results screen

The Calculate QCLIs button is enabled for team leaders only, and may be used up until the Stage 2 survey process begins.

The QCLI Results screen can be used to determine a resident's status in the QCLI calculation (numerator, denominator, or exclusion).

You can sort residents by QCLI List, Resident List, or Care Area.

Highlight the resident to see responses in the right pane.

Sync Stage 1 & QCLI Data

After calculating the QCLI data, the team leader synchronizes Stage 1 and QCLI data--pushing the information to the survey team.

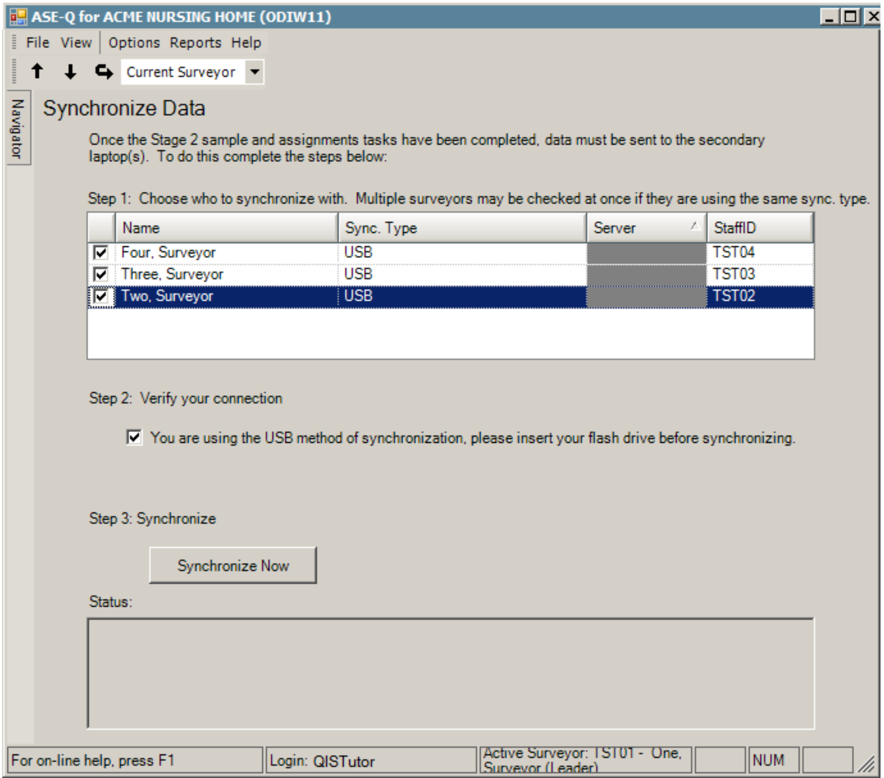


Figure 102: Transition S1 --> S2 - Sync Stage 1 and QCLI Data screen

More ...

"Synchronization Procedures" on page 103

Transition Meeting

This screen provides a place to document the transition team meeting, where surveyors can discuss the combined Stage 1 preliminary findings to identify the triggered care areas, QCLIs, and associated resident information.

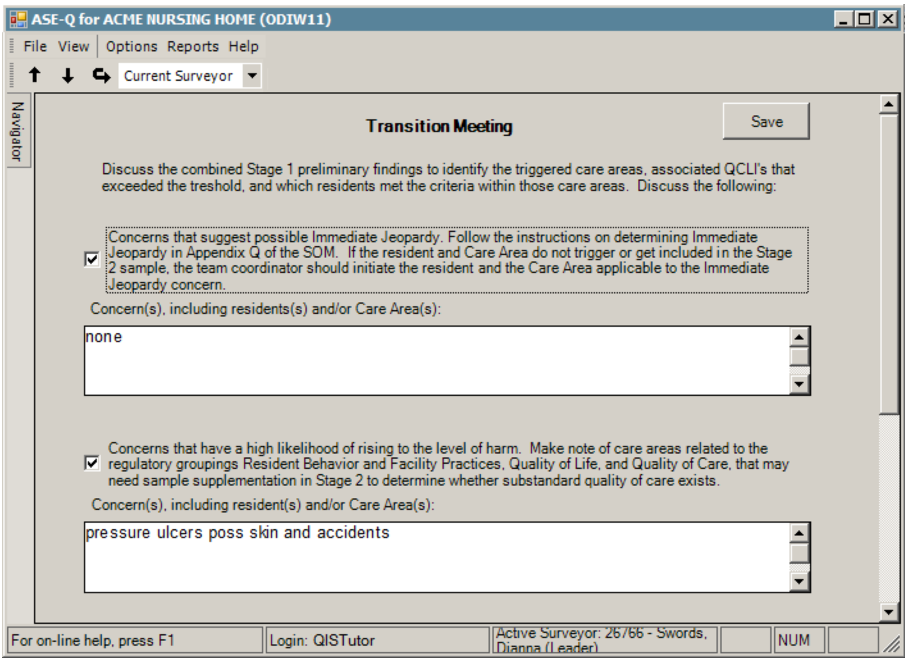


Figure 103: Transition S1 -> S2 - Transition Meeting screen

Each section must be completed by the team leader before continuing to the next dependent screen.

The **Save** button allows users to periodically save data if they are on screen for a while.

Transition Reports

The team leader must print or view the two reports listed before proceeding to the next screen. All surveyors may see these reports.

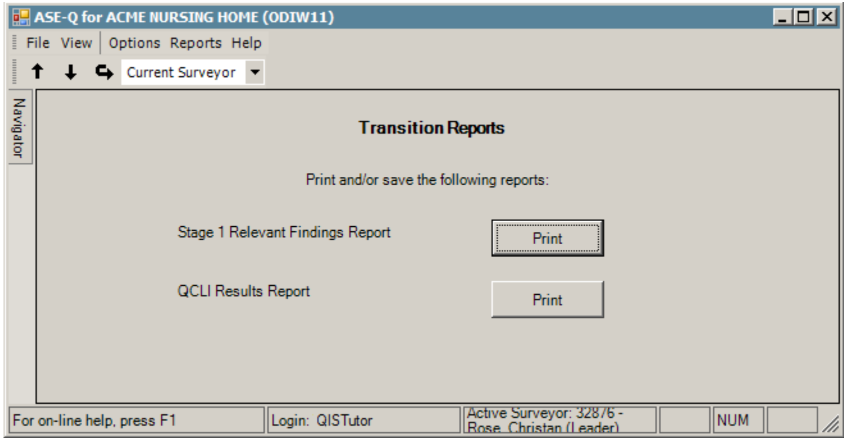


Figure 104: Transition S1 -> S2 - Transition Reports screen

Stage 2 Assignment

The Stage 2 Assignment screen allows surveyors to be assigned to the triggered and initiated Stage 2 residents and care areas.

The triggered residents list may be sorted by Resident, Care Area or Stage 1 Surveyor.

Select **Auto Assign** to assign residents to the Stage 1 surveyor that interviewed the resident. If there is no Stage 1 surveyor, then the residents will be randomly assigned among the surveyors.

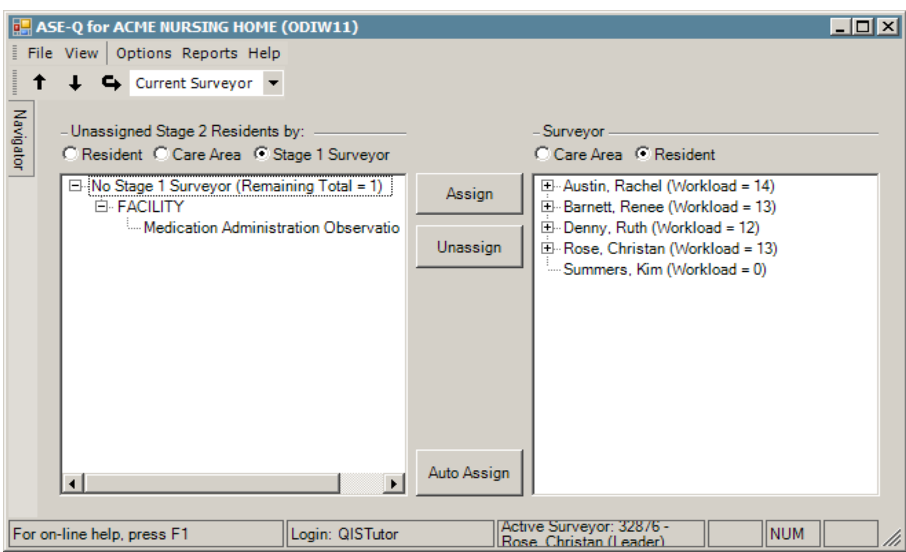


Figure 105: Transition S1 -> S2 - Stage 2 Assignment screen

If the team leader changes the resident pool, the changes are automatically synchronized with the Stage 2 Sample, ensuring that the added residents are available on secondary surveyors' laptops.

Sync Stage 2 Sample & Assignments

After calculating the Stage 2 sample and assigning tasks, the team leader synchronizes the Stage 2 Sample and Assignments--pushing the information to the survey team.

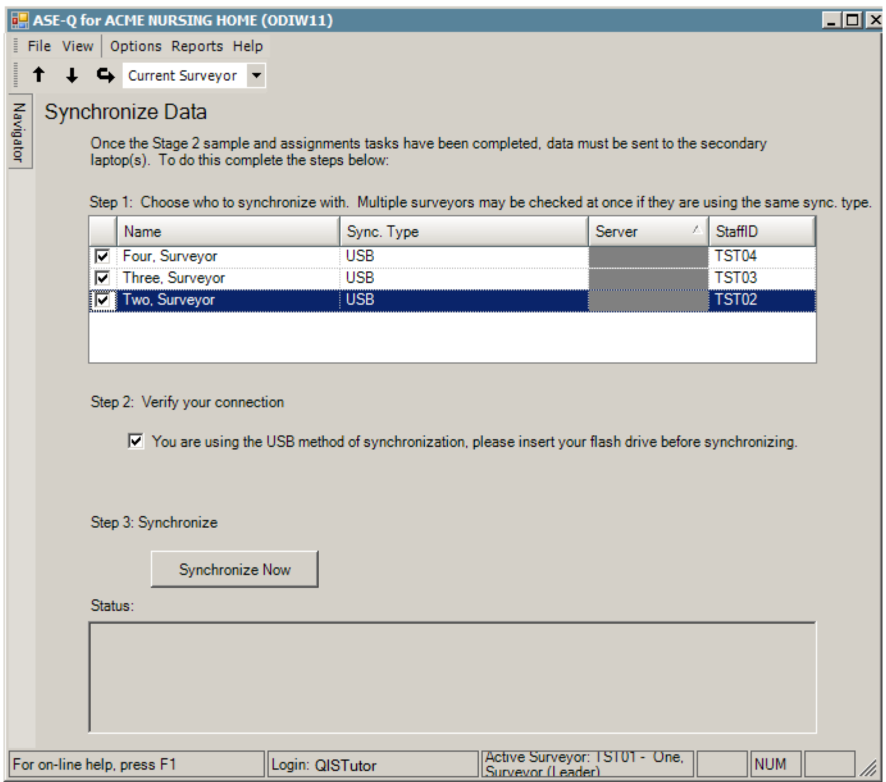


Figure 106: Transition S1 --> S2 - Sync Stage 2 Sample & Assignments screen

More ...

"Synchronization Procedures" on page 103

Stage 2 Survey

The Stage 2 Survey section provides a list of tasks for the team leader and survey team to complete during the second part of the survey.

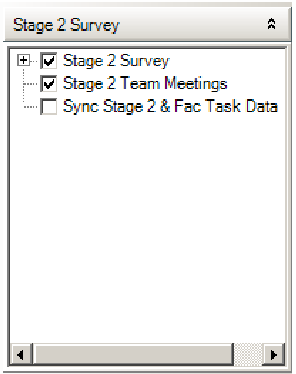


Figure 107: Stage 2 Survey menu

Stage 2 Survey Menu

The Stage 2 Survey menu item expands to show sub-menus for

- Facility - triggered facility tasks,
- Tags - initiated by surveyors, and
- Residents and the care areas that were either triggered or initiated by the surveyors.

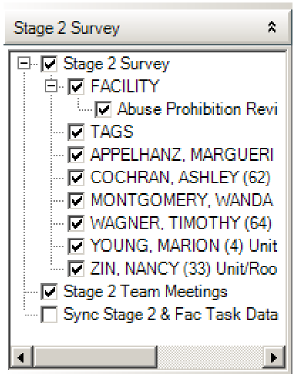


Figure 108: Stage 2 Survey - expanded menu

Facility

Triggered Facility task screens work the same way as Mandatory Facility Tasks screens.

More ...

"Mandatory Facility Tasks" on page 79

Tags

Each tag will have one CE question to answer. If the CE is answered No, the associated tag is added to the Potential Citations list, where the surveyor enters Severity and documentation for the tag.

Residents

Each resident with care areas triggered or initiated for them will be listed here for review. Tapping the resident Name opens the investigation screens for that resident.

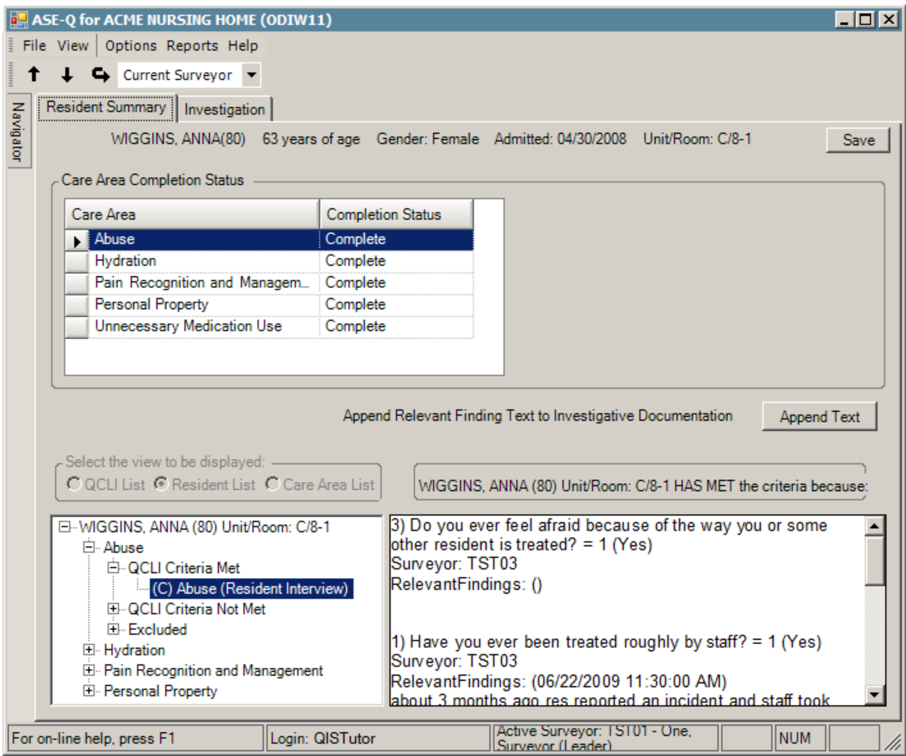


Figure 109: Stage 2 Survey - Stage 2 Survey screen, Resident Summary tab

The Resident Summary tab shows a list of the care areas for the resident and whether the care area has been completed by the surveyor or not. It also shows a list of QCLIs for the resident and any findings text. You can use **Append Text** to append findings text to the investigative documentation.

The Investigation tab displays the full CE Pathway for each care area. The initial view of this screen shows expanded care areas if not all CE questions have been answered, and collapsed care areas if all CE questions are answered.

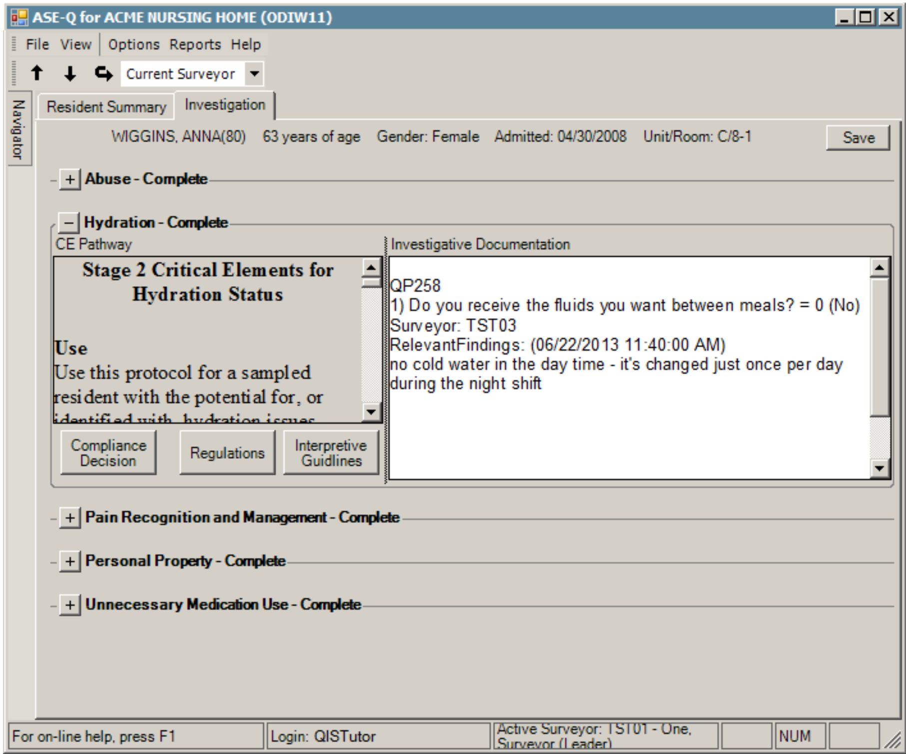


Figure 110: Stage 2 Survey - Stage 2 Survey screen, Investigation tab

Investigative Documentation

A text area is available for entering Investigative Documentation. The text area can be widened as needed.

TIP: To enter the current date and time, right-click in any investigative documentation area and select **Date/Time** (or press **Ctrl-D**).

Press **Ctrl-N** to insert a resident's Stage 2 #, or to select it from a list.

You can select **Save** to save entries immediately. QIS will save your entries when you tab out of the field or change tabs. By default, investigative documentation is saved every 5 minutes.

Buttons enable the Compliance Decision, Regulations, and Interpretive Guidelines screens to open in a pop-up window.

More ...

"Mandatory Facility Tasks" on page 79
"QIS Keyboard Shortcuts" on page 57
"Save Data" on page 55

Stage 2 Team Meetings

The Stage 2 Team Meetings screen provides areas of discussion and notes for surveyors, so they may evaluate the potential for noncompliance, determine the need for additional investigation or sample supplementation, and make any workload adjustments.

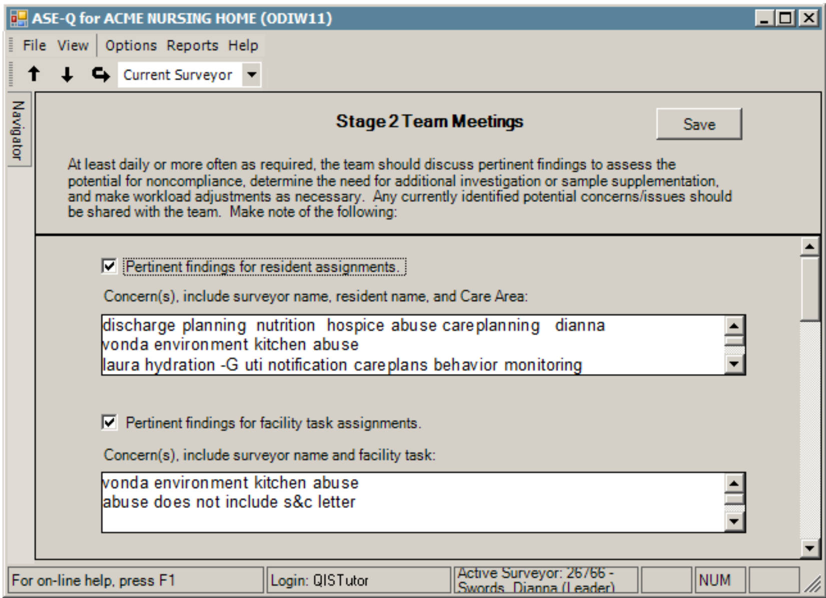


Figure 111: Stage 2 Survey - Stage 2 Team Meetings screen

Sync Stage 2 & Fac Task Data

After the survey team completes Stage 2 of the survey, the team leader pulls each secondary surveyors Stage 2 and facility task data into the primary laptop.

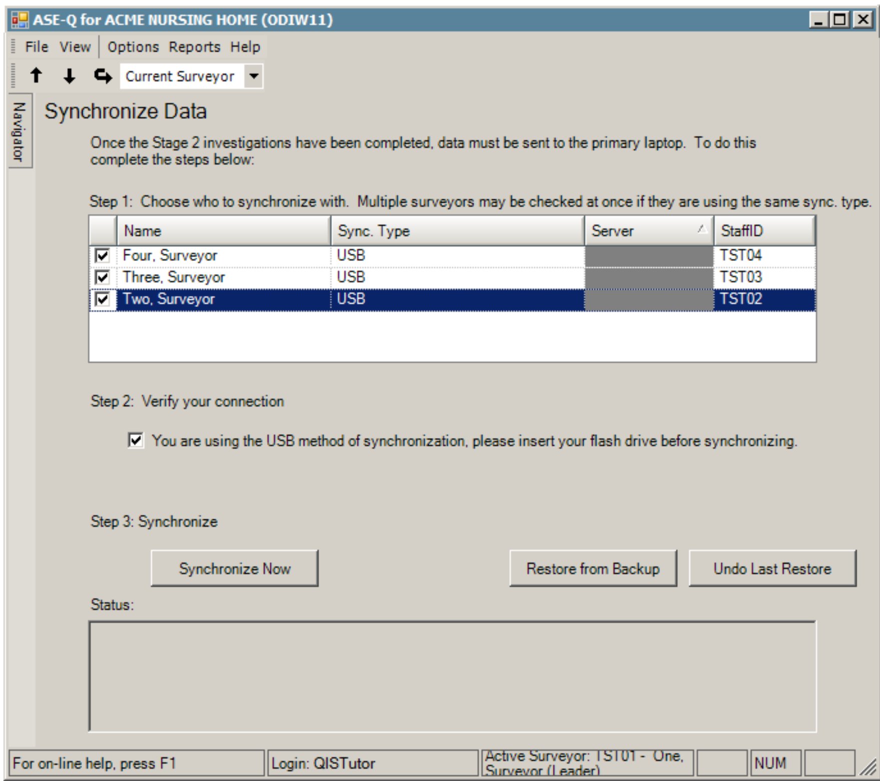


Figure 112: Stage 2 Survey - Sync Stage 2 & Fac Task Data screen

After the synchronization is complete, the team leader should verify that all Stage 2 tasks earned a checkmark.

More ...

"Synchronization Procedures" on page 103
"Team Leader Daily Backup" on page 110
"Secondary Surveyor Daily Backup" on page 111

Stage 2 Analysis

The team leader and secondary surveyors use this section to verify Stage 2 data, analyze Stage 2 data, make decisions regarding potential citations, print the final reports, and conduct the exit conference.

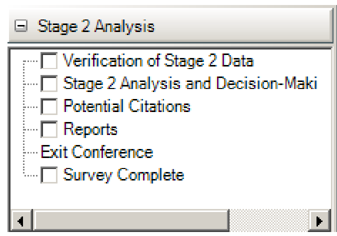


Figure 113: Stage 2 Analysis menu

Verification of Stage 2 Data

The Verification of Stage 2 Data screen displays any missing data from the Stage 2 survey process.

There are four sections: Mandatory Facility Tasks, Medication Administration Error Rate, Additional Information, and Stage 2 (which includes Stage 2 care areas for residents, Triggered Facility Tasks, and Surveyor Initiated Tags).

To continue to Potential Citations (and get the checkbox at the top of the screen checked):

- Any items in the Mandatory Facility Tasks grid should be resolved and the grid cleared.
- In Additional Information, the number in the Entered column should equal the number in the Required column, or an explanation provided in Team Coordinator Notes. Exception: Liability Notices & Beneficiary Appeal Rights Review for CE1 must be complete (must have at least one resident entered) if CE1 is answered Yes.
- In Stage 2, care areas and triggered tasks should be resolved and the grid cleared, including potential citation documentation and a severity for any cited tag. Exception: Extended Survey may be incomplete.
- If there is a deficiency at severity level 2, 3 or 4, part 2 of Quality Assurance and Assessment Review must be completed (response to CE3 and CE4 must be ‘Yes’ or ‘No’).

- Mandatory Facility tasks must be complete (nothing in that grid).
- QA must be cleared.

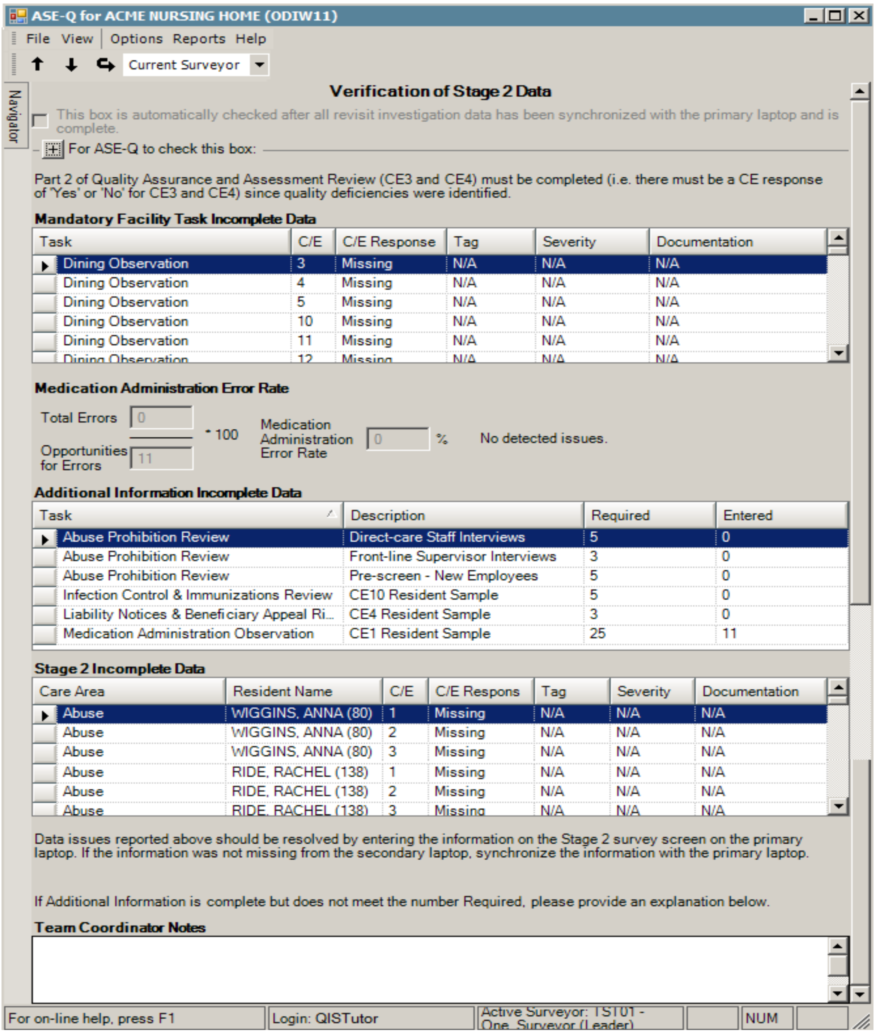


Figure 114: Stage 2 Analysis - Verification of Stage 2 Data screen

Stage 2 Analysis and Decision-Making Meeting

The Stage 2 Analysis and Decision-Making Meeting screen is designed to discuss the potential citations and accompanying documentation resulting from the Stage 2 investigations to determine whether noncompliance exists based on the gathered evidence.

Enter some text in the other notes fields to earn completion status.

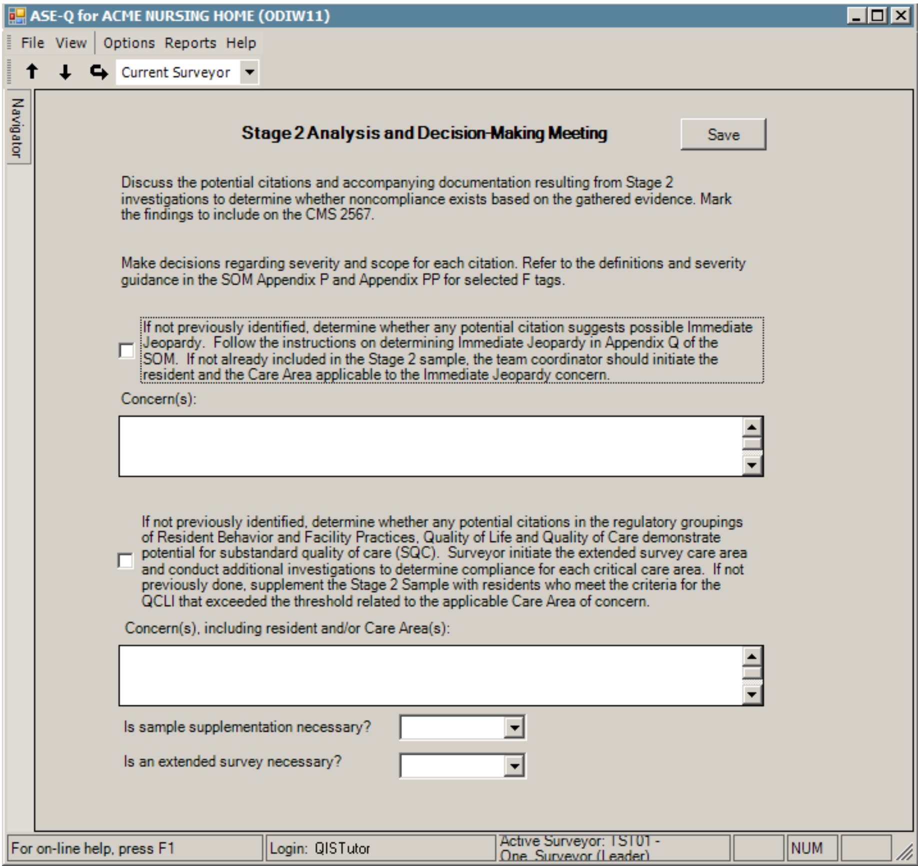


Figure 115: Stage 2 Analysis- Stage 2 Analysis and Decision-Making Meeting screen

Potential Citations

The survey team uses the Potential Citations screen to review a list of all possible citations generated in Stage 2 by all surveyors on the team, so they can decide whether a tag should be cited for the facility or not.

After the Stage 2 sync, the team leader has read/write access to Potential Citations enabled, which displays data from all surveyors. Secondary surveyors have read-only access to this screen.

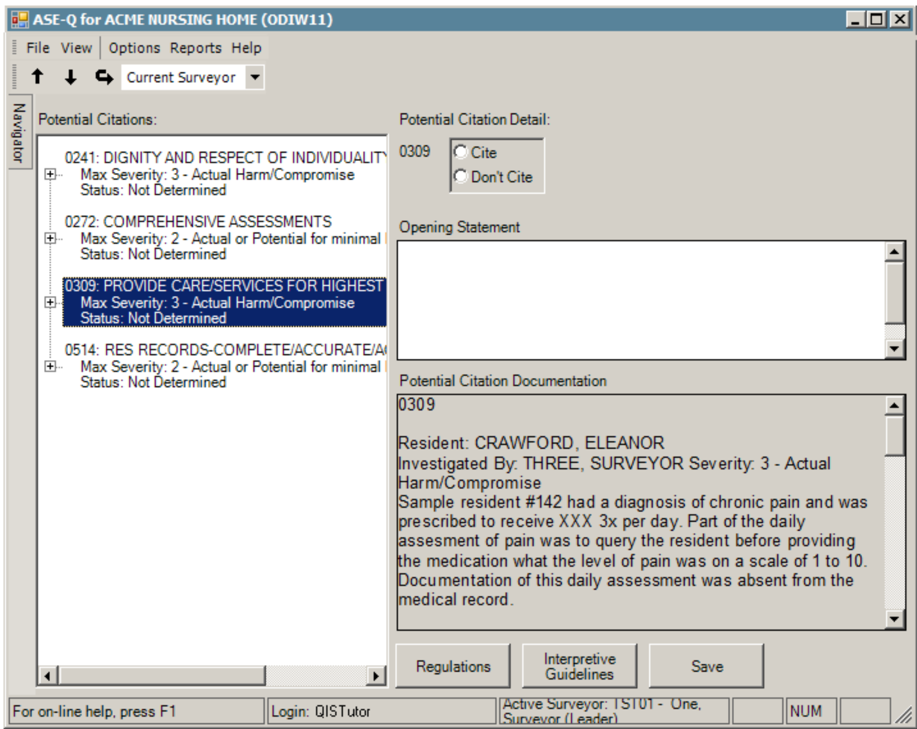


Figure 116: Stage 2 Analysis - Potential Citations screen

All tags must have a citation status. To cite a tag, select the tag from the list, then select the appropriate S/S. To not cite a tag, select Don’t Cite, then select the Reason for Not Citing. Select Save if you want to save changes immediately.

Reports

The Reports screen is not enabled until there is a checkmark for Potential Citations. Reports to be viewed or printed are the Potential Citation Report and the Stage 2 Sample Resident List. Both reports must be generated for the screen to be complete.

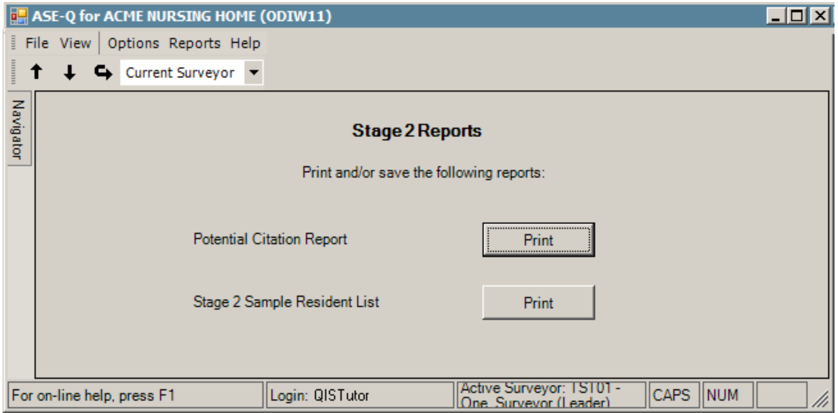


Figure 117: Stage 2 Analysis - Stage 2 Reports screen

Exit Conference

The Exit Conference screen is information-only and does not require any surveyor input.

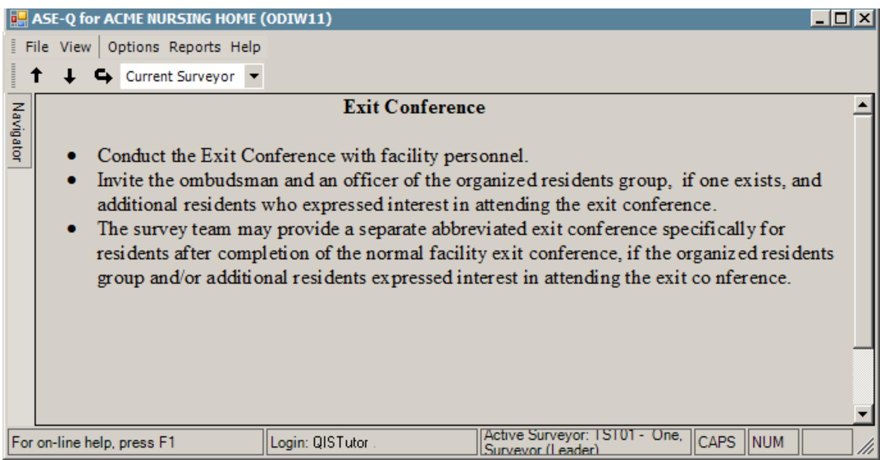


Figure 118: Stage 2 Analysis - Exit Conference screen

Survey Complete

The team leader uses the Survey Complete screen to double-check that all data is complete before transferring the QIS survey back into ACO.

On the secondary surveyor Navigator, this step is disabled.

The Survey Complete detail view includes two grids, Incomplete Potential Citation Data, and Substandard Quality of Care. A checkbox is provided for the team leader to indicate the survey is complete and ready for transfer.

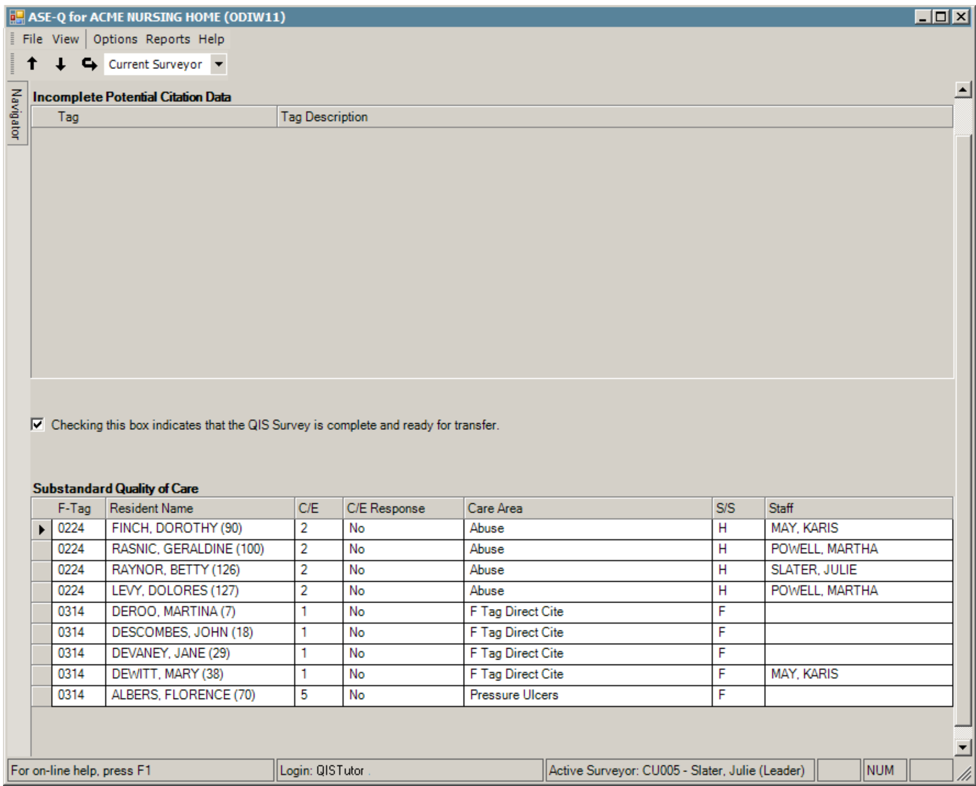


Figure 119: Stage 2 Analysis - Survey Complete detail view

Incomplete Potential Citations Data

Any incomplete tags appear in the Incomplete Data grid. If any data appears in this grid, the survey complete checkbox is disabled until all items are cleared.

Checking this box indicates that the QIS survey is complete and ready for transfer

When the team leader selects the checkbox, and moves to another step or exits the QIS Tool, the QIS system saves the date for use during the transfer process.

Substandard Quality of Care

Citations displayed in this grid were cited at SQC.

Extended Survey

In the Survey Complete detail view, the system warns the surveyor to initiate Extended if SQC is identified.

If you increase the Scope and Severity (S/S) of a tag, and the system determines that the tag is cited as Substandard Quality of Care, and the extended survey is not yet initiated, the system displays a warning.

To complete the QIS survey - team leader:

1 Select the Stage 2 Analysis section in the Navigator.

2 Select the Survey Complete option.

3 Review the Incomplete Potential Citation Data grid for incomplete data.

If data appears in the grid, the **Checking this box indicates that the QIS survey is complete and ready for transfer** checkbox is disabled until the grid is cleared.

4 If data appears in the Incomplete Potential Citation Data grid, return to Potential Citations and complete the data.

-or-

If data does not appear in the Incomplete Potential Citation Data grid, select the **Checking this box indicates that the QIS survey is complete and ready for transfer** checkbox.

More ...

“Verification of Stage 2 Data” on page 92
“Potential Citations” on page 95

Backup Survey

The Backup Survey section enables the team leader to perform daily backups of the survey data during the survey process. Do not use the Backup Survey | Survey Export step to export the completed QIS survey.

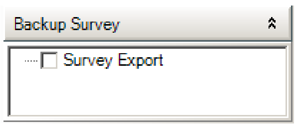


Figure 120: Backup Survey Menu

Survey Export

The team leader uses the QIS Backup | Survey Export steps to create a backup file of the primary computer's data at the end of each day. The daily backup should occur whether or not the primary computer has synchronized with the secondary computers during the day. If surveyors using secondary computers reach a sync point at the end of the day, they can sync with the Team Leader before the Team Leader performs the backup.

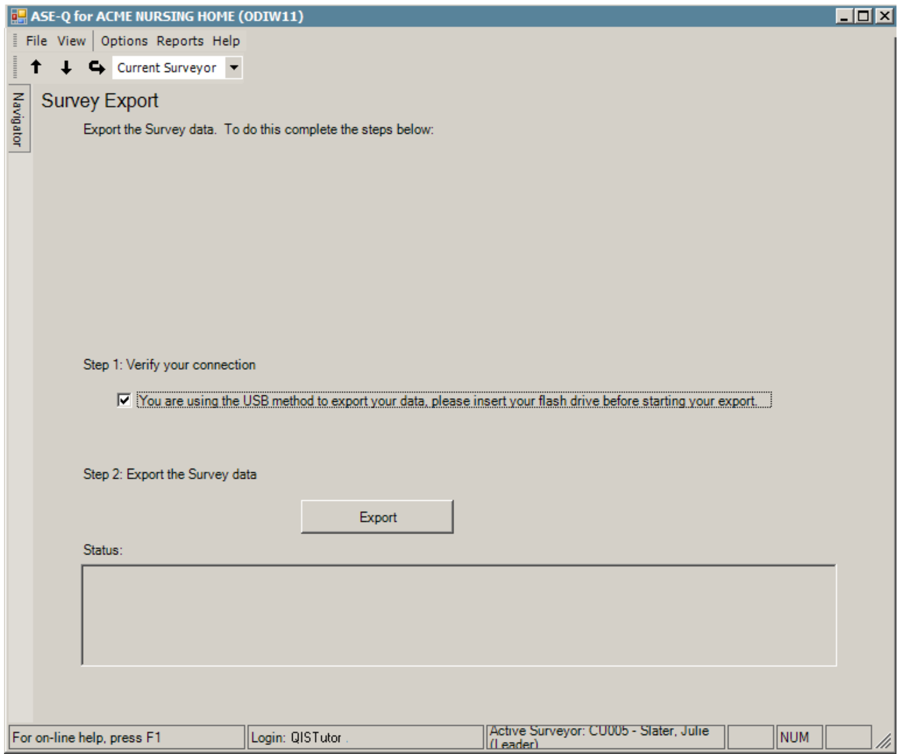


Figure 121: Backup Survey - Survey Export screen

More ...

Procedure: "Team Leader Daily Backup" on page 110
Procedure: "Secondary Surveyor Daily Backup" on page 111

Load Cites

Follow your state's procedure for loading citations into ASE-Q when the QIS survey is complete.

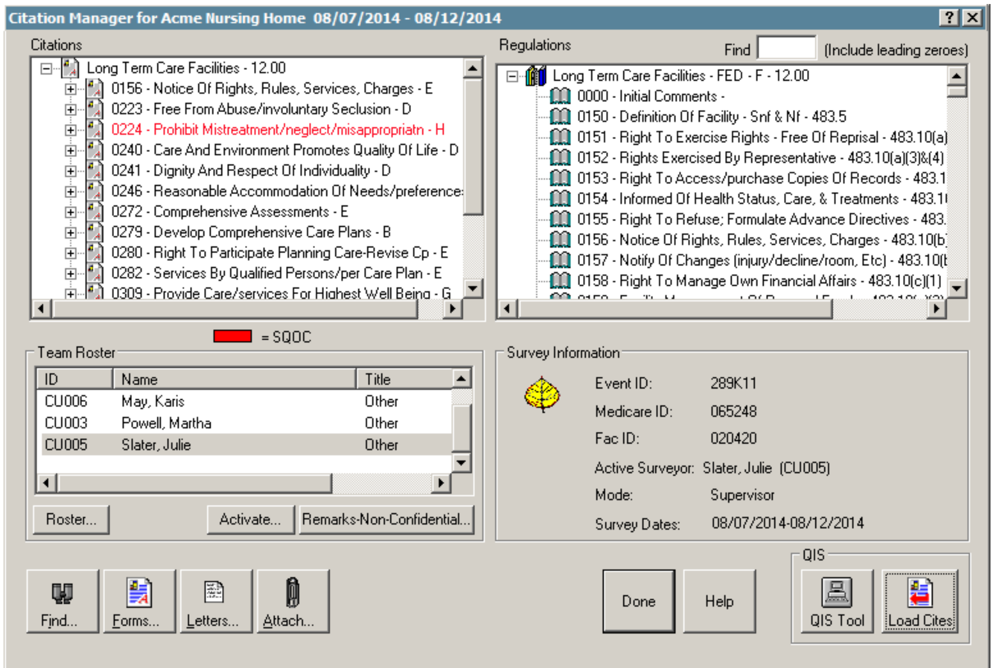


Figure 122: ASE-Q - Citation Manager, Load Cites

Import the Completed QIS Survey into ACO

During the QIS survey transfer into ACO, ASPEN compares both Source and Destination survey information to see:

- If the team leader selected the **Checking this box indicates that the QIS survey is complete and ready for transfer** checkbox.
- If the complete set of QIS survey data is on the **Destination** computer.
- If the complete set of QIS survey data is on *both* the **Source** and **Destination** computers.

Source

The Source is where the data comes ***from***. When the team leader exports the complete QIS survey from ASE-Q to a transfer file on a USB drive, the USB transfer file is the **Source**.

Destination

The Destination is where the data ***arrives*** after the transfer is complete. When the team leader imports the complete QIS survey into ACO from the transfer file on the USB drive, QIS survey data is transferred to the **Destination**--the QIS survey shell retained in ACO.

To transfer a complete QIS survey:

1. Export the complete QIS survey to a transfer file on your USB drive.
2. Insert the USB drive containing the transfer file into the USB port on the Destination computer (i.e. desktop).
3. Open ACO, and select **Import**.
4. In the Import window, select **Zip or mdb file**, then select the **Binoculars** button and navigate to the transfer file on your USB drive.
5. Select the file and click **Open**.
6. Click **OK** to begin the import.
7. In the Survey Import window, select **Continue with Import**.

   If the team leader selected the **Checking this box indicates that the QIS survey is complete and ready for transfer** checkbox, then the Source (ASE-Q) QIS survey data is marked complete.

   If the original QIS survey shell at the Destination (ACO) does not have the checkbox selected, the system knows the QIS survey being imported is the complete survey, and continues the transfer process without displaying a message.
8. In the Finalize Transfer window, click **Apply**.

To receive a message that complete QIS survey data is on the Destination:

1 In the Survey Import window, select **Continue with Import**.

If the team leader did not select the **Checking this box indicates that the QIS survey is complete and ready for transfer** checkbox, then the Source (ASE-Q) QIS survey data is not considered complete.

If the QIS survey shell at the Destination (ACO) does have the **Checking this box indicates that the QIS survey is complete and ready for transfer** checkbox selected, ASPEN displays the message:

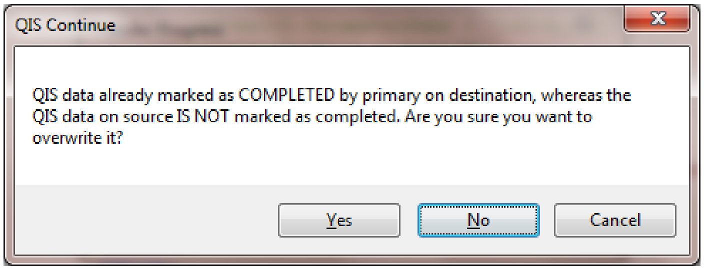


Figure 123: QIS Source data not complete, overwrite Destination message

2 Select **Yes** to overwrite the Destination (ACO) survey information and continue the transfer process.

Note: Select **No** to cancel the transfer process.

3 In the Finalize Transfer window, click **Apply**.

To receive a message that complete QIS survey data is on both Source and Destination:

1 In the Survey Import window, select **Continue with Import**.

ASPEN compares the QIS survey data, and if the **Checking this box indicates that the QIS survey is complete and ready for transfer** checkbox is selected for both Source and Destination, ASPEN displays the message:

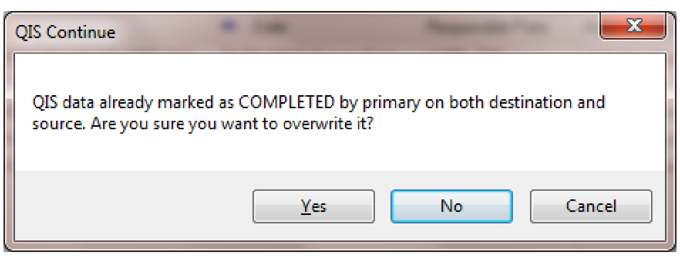


Figure 124: QIS data complete on Source and Destination, overwrite Destination message

2 Select **Yes** to overwrite the Destination (ACO) survey information and continue the transfer process.

Note: Select **No** to cancel the transfer process.

3 In the Finalize Transfer window, click **Apply**.

QIS Survey Import Date

The date a completed QIS survey was imported back into ACO is displayed in the QIS Archived Date field in the Survey Properties window.

To view the QIS archived date:

1 In ACO, select the **Alpha** tab.

2 Locate the facility in the tree, and click the **+** to expand the facility.

3 Click the **+** to expand the Survey tree.

4 Right-click the appropriate survey, then select **Survey Properties** from the menu.

The QIS Archived Date field in the QIS section at the bottom of the window displays the date the QIS survey was imported into ACO.

Synchronization Procedures

Each time you synchronize to a USB drive or to another location, QIS creates a folder at that location named using the survey's EventID. Inside the folder are files for each synchronization, named <sync point name>-<surveyor staff ID>.zip.

There are six synchronization points during a QIS survey.

At each synchronization point, QIS screens guide the team leader and secondary surveyors through each step.

Browse button

During synchronization procedures, if you select the Browse button to save or find a sync file, and bypass selecting the flash drive, the event ID **IS NOT** added to the path for synchronization screens.

If you select the flash drive and not the Browse button, the event ID is added to the path for synchronization screens.

Synchronize Mobile Computers (USB)

Data is pushed from the team leader's (primary) laptop to the surveyors' (secondary) laptops, or pulled from the secondary surveyors laptops to the team leader's laptop. The team leader can create one copy of the survey data on a USB drive, and secondary surveyors can pass the USB drive to each other. Secondary surveyors can each create a copy of their survey data on the USB drive for the team leader.

Team Leader Synchronization Points - Push

- Sync Offsite Prep Info and Assignments
- Sync Stage 1 Samples and Workload
- Sync Stage 1 & QCLI Data
- Sync Stage 2 Sample & Assignments

Secondary Surveyor Synchronization Points - Pull

- Sync Stage 1 Survey Data
- Sync Stage 2 & Fac Task Data

To synchronize from team leader to secondary surveyors:

1. Insert the USB drive into the team leader's laptop.

   When you insert the USB drive, the drive window may open. Close the window if this occurs.

2. Select the appropriate sync point on the QIS Navigator.

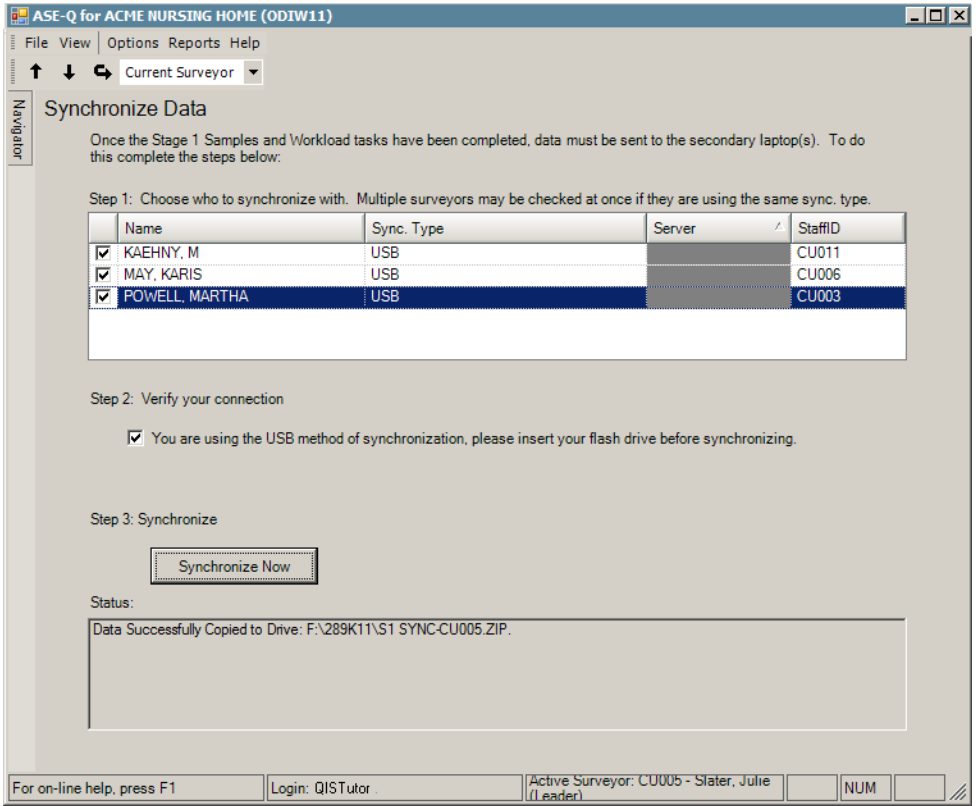


Figure 125: Synchronize Data - Team Leader

3 Select all team members using the same **Sync Type (USB)**.

When you are syncing with more than one team member at a time, their Sync Type must be the same.

4 Select the checkbox next to **You are using the USB method of synchronization, please insert your flash drive before synchronizing**.

The Synchronize Now button activates.

5 Click **Synchronize Now**.

The QIS Synchronization window opens with a list of external devices plugged into your laptop. In most cases, only the USB drive is listed.

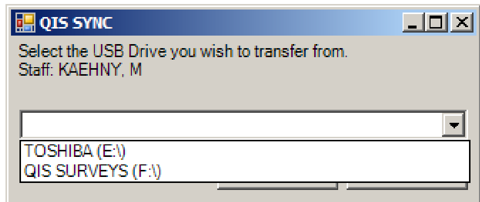


Figure 126: QIS Sync window - Team Leader

6 Select the USB drive, then click **OK** to sync.

Click **Browse** to navigate to a location other than a flash drive.

TIP: The USB drop-down in the QIS Synchronization window displays the device name if one has been assigned. If you have multiple, un-named USB drives plugged into your laptop, click **Browse** for full navigation features.

The Status section of the Synchronize Data window shows the final status of the sync. A message indicates if the sync was successful or if there is an error.

7 Safely remove the USB drive according to your state's procedures.

The team leader must put a checkmark next to all members of the survey team (indicating all surveyors have been selected for synchronization) for the screen to be complete.

Secondary Surveyors

8 Insert the USB drive into the secondary laptop.

9 In QIS, use the Navigator to go to the sync point.

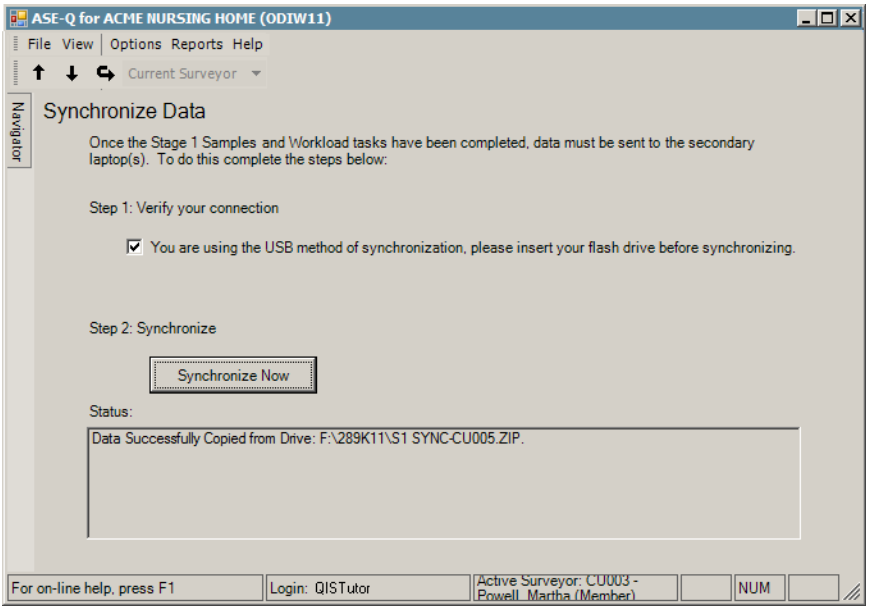


Figure 127: Synchronize Data - Secondary Surveyors

10 Select **You are using the USB method of synchronization, please insert your flash drive before synchronizing**.

11 Click **Synchronize Now**.

The QIS Synchronization window displays a drop-down list of external devices plugged into your laptop. In most cases, only the USB drive is listed.

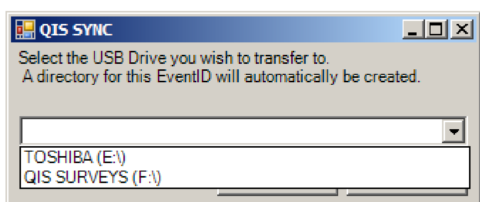


Figure 128: QIS Sync window - Secondary Surveyors

12 Select the USB drive or click **Browse** to navigate to another location, then click **OK** to sync.

The Status section of the sync window displays the sync result, with a message indicating the sync was successful or that there was an error.

When the sync is successful and you leave the screen, QIS refreshes the workflow menu in the Navigator.

13 Safely remove the USB drive according to your state's procedures.

To synchronize from secondary surveyors to the team leader:

During **Sync Stage 1 Survey Data** and **Sync Stage 2 & Fac Task Data**, secondary surveyors synchronize their data with the team leader.

Each secondary surveyor must perform this procedure.

1 Insert the USB drive into the secondary surveyor's laptop.

2 Use the QIS Navigator to go to the sync point.

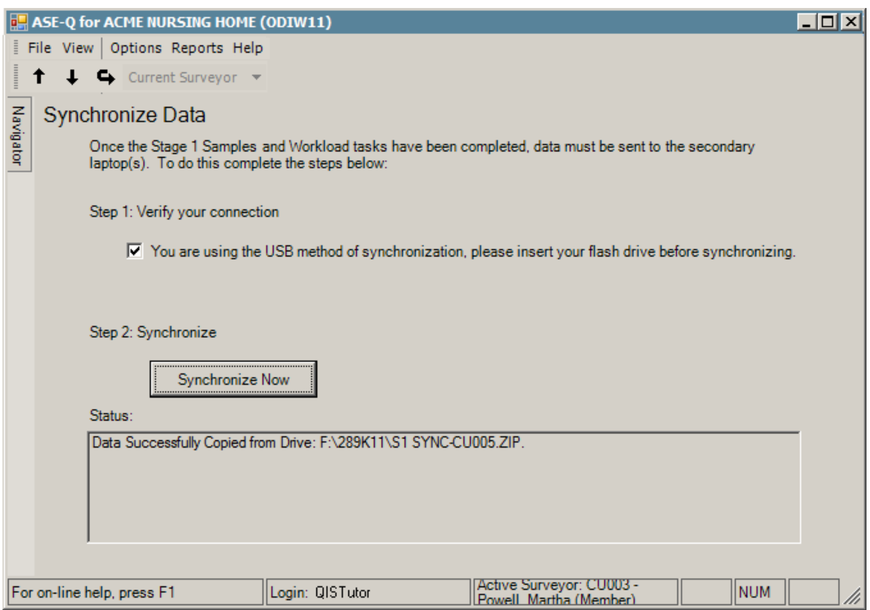


Figure 129: Synchronize Data - Secondary Surveyors

3 Select **You are using the USB method of synchronization, please insert your flash drive before synchronizing**.

4 Click **Synchronize Now**.

5 Select your USB drive or other location, then click **OK** to sync.

6 If the sync is successful, safely remove the USB drive.

After all secondary surveyors synchronize their data using the USB drive, the team leader has two options to complete the synchronization procedure.

Team Leader

Option 1: Select all surveyors using the same sync type

1 Use the Navigator to go to the sync point.

2 Select all the team members who are using the same sync type.

3 Select **You are using the USB method of synchronization, please insert your flash drive before synchronizing**.

4 Click **Synchronize Now**.

The QIS Synchronization window displays the name of the surveyor with which it will sync:

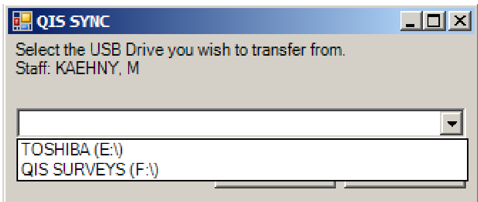


Figure 130: QIS Sync window - Team Leader

5 Insert the surveyor's USB drive into the primary laptop.

6 Select the USB drive, then click **OK** to sync.

When the sync is complete and successful, QIS opens the QIS Synchronization window with the name of the next surveyor.

7 Safely remove the first surveyor's USB drive, then insert the next surveyor's USB drive.

Continue until each surveyor's data is synchronized with the primary laptop.

Once the data from all USB drives is synchronized with the primary laptop, QIS marks the task complete.

Option 2: Select each surveyor individually

1 Use the Navigator to go to the sync point.

2 Select one surveyor.

Note: Using Option 2, you can choose surveyors having any sync type. This example uses USB drives to synchronize.

3 Select **You are using the USB method of synchronization, please insert your flash drive before synchronizing**.

4 Click **Synchronize Now**.

The QIS Sync window displays the name of the selected surveyor.

5 Insert the surveyor's USB drive.

6 Select the USB drive, then click **OK** to sync.

7. When the sync is complete and successful, remove the USB drive.
8. De-select the currently selected surveyor, then select another surveyor.
9. Repeat with each surveyor until all data is synchronized.

   Once the data from all USB drives is synchronized with the primary laptop and you leave the sync screen, QIS marks the task complete.

Backup and Recovery

The Backup Survey section in the Navigator contains a Survey Export step available only to the team leader. This screen allows the team leader to perform the daily backup task.

Team Leader Daily Backup

The Backup Survey/Survey Export task backs up all the team leader's survey and QIS data.

If the team leader performs the backup to a USB drive, the system creates a folder on the selected USB drive using the survey event ID as the folder name, and BACKUP as the sub-folder name

Example: F:\VNRH11\BACKUP

The backup filename uses the following file format: Year, Month, Day<tilde>Military Time (Hour, Minute, Second).

Example: ExportSurvey~130728~174220.ZIP

To back up a survey - team leader:

1. In the QIS Navigator, expand the Backup Survey section.
2. Select **Survey Export**.
   - Verify your connection:

     Insert the USB drive into your laptop and select **You are using the USB method to export your data, please insert your flash drive before starting your export**.
   - Click **Export**.
3. Select **Yes** on the **Are you sure you want to Export the Survey Data** message.
4. Select your USB drive from the droplist, then click **OK** to begin the transfer process.

5 Click **Apply** to complete the backup transfer.

6 Check the Status box. A successful backup will display a message similar to:

Survey Export was Successful to drive: F:\VNRH11\BACKUP\ExportSurvey~130728~174220.ZIP.

7 According to your state's procedure, check that your USB drive contains the backup file.

More ...

"Backup Survey" on page 98

Secondary Surveyor Daily Backup

Secondary surveyors can also create a daily backup file. During Stage 1, secondary surveyors use the Daily Backup button on the Sync Stage 1 Survey Data screen. During Stage 2, use the Daily Backup button on the Sync Stage 2 & Fac Task Data screen.

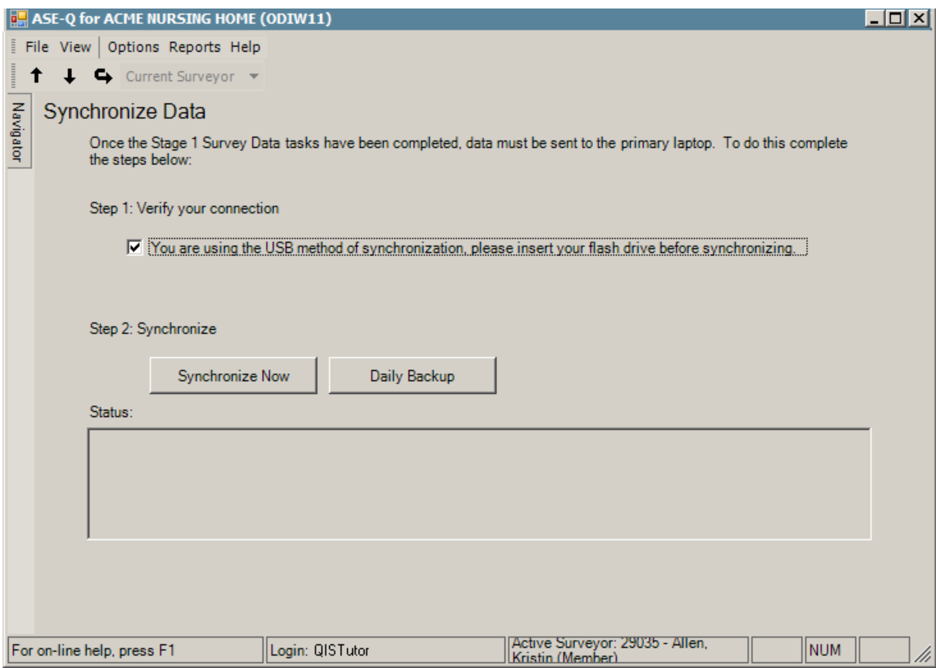


Figure 131: Daily Backup for Stage 1 - Secondary Surveyor screen

If the secondary surveyor performs the backup to a USB drive, the system creates a folder on the selected USB drive using the survey event ID as the folder name, and BACKUP as the sub-folder name

Example: F:\4XMG11\BACKUP

The backup file uses the following file naming format: Year, Month, Day, Military Time (Hour, Minute, Second), and the **surveyor staff ID**.

Examples:

- S1Backup~131029~164220~-49596.ZIP
- S2Backup~131029~164220~-49596.ZIP

To backup a survey - secondary surveyors:

1. In the QIS Tool, expand the Stage 1 Survey section.
2. Select Sync Stage 1 Survey Data.
3. On the Synchronize Data screen:
   - Verify your connection:

     Insert the USB drive into your laptop and select **You are using the USB method of synchronization, please insert your flash drive before synchronizing**.
   - Click **Daily Backup**.
4. Select **Yes** on the **Are you sure you want to run the Daily Backup?** message.
5. Select your USB drive from the droplist, then click **OK** to begin the transfer process.
6. Check the Status box. A successful backup will display a message similar to:

   Daily Backup was Successful to drive: F:\4XMG11\BACKUP\S1Backup~131029~164220~-49596.ZIP.
7. According to your state's procedure, check that your USB drive contains the backup file, the current date, and the staff ID.
8. Repeat steps 1 through 7 for the Stage 2 Survey step. The results should be similar to the Stage 1 Survey step, except the file name begins with S2Backup instead of S1Backup.

Restore From Backup

If it is necessary to restore a backup file, the team leader performs the procedure. The Restore from Backup button is disabled for secondary surveyors.

Secondary surveyors should save their daily backups to the Team Leader's USB drive. If a surveyor cannot continue a survey, the Team Leader can then restore the secondary's data to the primary machine and make reassignments as needed.

There are rare occasions when a secondary surveyor can safely restore a backup to a secondary machine. This usually occurs when all data is lost on the secondary machine. In such cases, the secondary surveyor can temporarily make the Team Leader the active surveyor in ASE-Q on the secondary machine, before opening QIS. This action enables the Restore from Backup button on the synchronization screens.

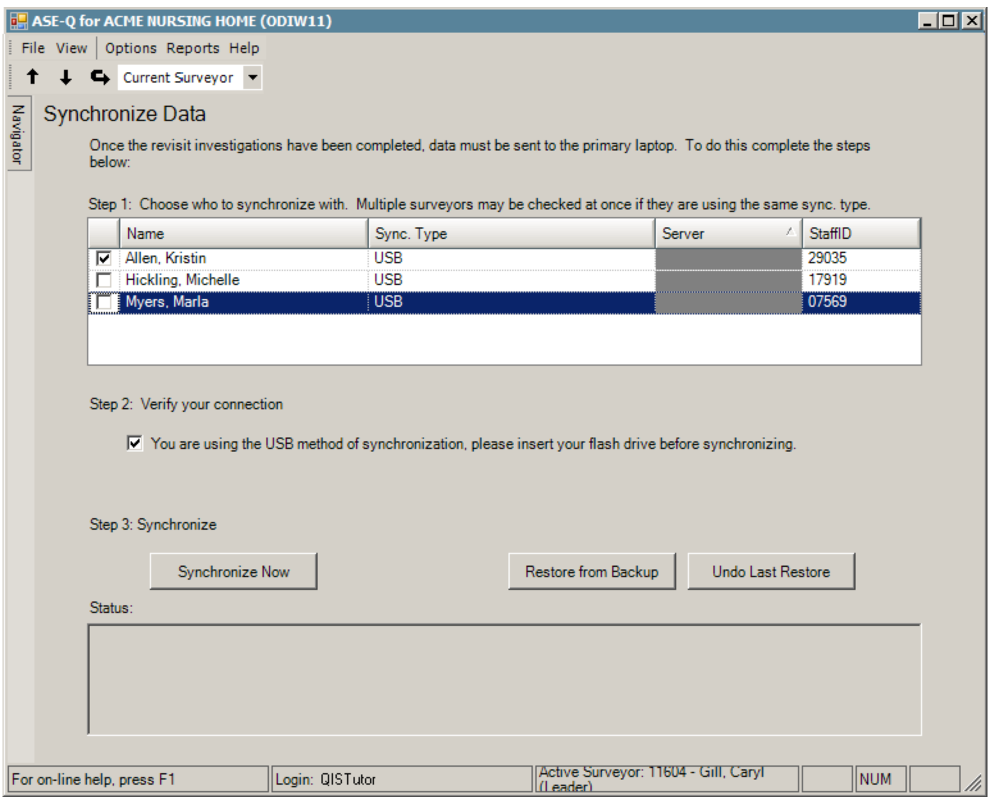


Figure 132: Restore from Backup - Team Leader screen

The Restore from Backup button appears on the Sync Stage 1 Survey Data and Sync Stage 2 & Facility Task Data screens. When you restore from the Sync Stage 1 screen, QIS restores all data from Stage 1. When you restore from the Sync Stage 2 screen, QIS restores all data from Stage 2.

Any time the Team Leader uses Restore from Backup, QIS first creates a restore file that contains a snapshot of the Team Leader's QIS data at the date and time the Restore from Backup was initiated. This snapshot enables the Team Leader to Undo Last Restore.

Only one restore file exists. If the team leader performs a second Restore without undoing the last Restore, QIS will overwrite the restore file with the data created by the first Restore.

WARNING! Always review and confirm your data, in either Stage 1 or Stage 2 as appropriate, before performing a Restore from Backup.

When restoring a backup file from a USB drive, the system displays a directory window for all files located in the BACKUP folder for the given event ID and step, allowing the team leader to select the correct file to restore.

To restore a backup file - team leader:

1 In the QIS Tool, select the Stage 1 Survey section in the Navigator, and then click the **Sync Stage 1 Survey Data** option.

2 On the Synchronize Data screen:

- Select the checkbox for the appropriate surveyor.
- Insert the USB drive into your laptop and select **You are using the USB method of synchronization, please insert your flash drive before synchronizing**.
- Click **Restore from Backup**.

3 Select **Yes** to the **Are you sure you want to run Restore from Backup?** message.

4 Click **Apply** in the Finalize Transfer window.

5 In the QIS Restore window, select your USB drive from the droplist, then click **OK**.

6 Select the appropriate file from the Select a File to RESTORE window, then click **Open** and **OK**.

7 When complete, the Status box on the Synchronize Data screen will display a message similar to:

<Team Member name>: Data Successfully Restored from Backup located on Drive: F:\VNRH11\BACKUP\S1Backup`111108`135103`-45457.ZIP.

8 Repeat steps 1 through 7 to restore a backup file from the Stage 2 Survey step. The results will be similar to the Stage 1 Survey step, except the file names to begin with S2Backup instead of S1Backup.

Undo Last Restore

If the team leader selects the Undo Last Restore button on the Synchronize Data screen or Sync Stage 1 Survey Data or Sync Stage 2 & Facility Task Data steps, the system restores all QIS data for the given survey using the restore file created during the Restore from Backup procedure.

The restore file contains a backup of the current QIS data for the survey at the time the restore from backup was initiated.

To undo the last restore:

1. In the QIS Tool, select the Stage 1 Survey section in the Navigator, and then click the **Sync Stage 1 Survey Data** option.
2. Insert the USB drive into your laptop.
3. To activate the Undo Last Restore button, select a surveyor and mark the checkbox next to **You are using the USB method of synchronization, please insert your flash drive before synchronizing**.
4. Select **Undo Last Restore**.
5. Select **Yes** to the **Are you sure you want to Undo the Last Restore created <date:time>?** message.
6. Select **Yes** to the **QIS data already exists on destination. Do you want to overwrite it with new data?** message, then click **Yes** on the confirmation message to begin the transfer.
7. Click **Apply** on the Finalize Transfer window.
8. When complete, the Status box on the Synchronize Data screen will display the message: **The Undo Last Restore has completed successfully**.
9. Repeat steps 1 through 6 to Undo Last Restore from the Stage 2 Survey step.

RO Surveyors (embedded or observational)

When an RO surveyor is embedded on a state survey, or is conducting a FOQIS, following a few pre-survey procedures can help the survey flow smoothly. This section provides information for states and regional office surveyors who participate in state QIS surveys. Included are procedures for setting up state and regional office laptops to work together, transferring QIS survey shells, synchronizing data during a QIS survey, and other considerations.

Observational surveyors are not part of the survey team. Observers can import the survey from a USB drive using the ASE-Q import function.

More ...

"Observational Surveyors" on page 129

Before Arriving Onsite

The state IT and survey team and RO staff should ensure the survey, laptops, and equipment meets the following requirements.

- Crossover cable - the RO should bring a crossover cable. CMS requires use of a crossover cable to transfer survey shells and synchronize QIS data. This method avoids complications between state and regional software encryption rules.
- Contact the SA team leader, or **state QIS support coordinator**, to check the state's mobile computer setup.
    - Confirm ports are opened in all firewalls, including Microsoft's built-in firewall, which is installed on each computer. These ports must be open for the RO and state survey team to use a wired connection. The ports are used to discover ASE-Q databases on the same network, and for data transfers.

WARNING! If the state has blocked these ports, the embedded RO surveyor and state survey team will not be able to transfer data using the crossover cable.

The three required ports are:

- **2638** for TCP
- **901** for UDP
- **910** for UDP

The RO should be aware that strict state firewalls may block port 910, and if so, prevent the ASPEN Information Service (AIS) and ASPEN from communicating. If state security blocks this port, you may see a message like this:

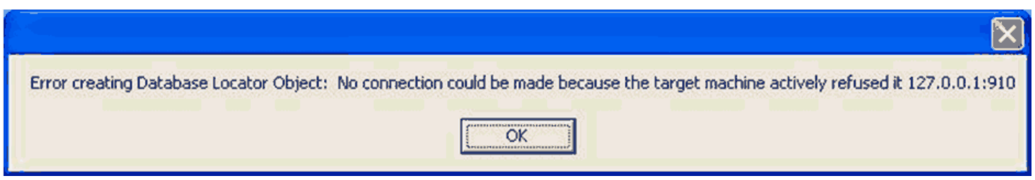


Figure 133: Refusal error

If you see an alert similar to this, contact your state IT administrator.

- Confirm state laptops are set up to use dynamic IP addresses from a DHCP server **(you may need to talk to the state QIS support coordinator)**. The RO doesn't need to enter a dynamic IP address on the RO laptop until arriving onsite.

WARNING! Using dynamic IP addresses is a requirement for using a wired connection between state and RO laptops. If state laptops are using static IP addresses on separate networks, or the laptops use a mix of static and dynamic addresses, transfers cannot be performed. These rules apply to direct wired transfers.

- If the RO is embedded with the state team, confirm the RO is listed in the state database as a special surveyor.

  If the participating RO is not listed in the state database as a special surveyor, the RO will need to add herself to the survey team in ARO before the survey is exported from ACO by the state.
- If this is the RO's first QIS survey embedded with the state, confirm your ASE-Q login includes QIS permissions.

Setting up a wired connection in ASE-Q refers to file transfer and data synchronization procedures.

File Transfer

An ASE-Q to ASE-Q wired connection is used to transfer the QIS survey shell from the team leader's laptop to the RO surveyor's laptop using the Import/Export functions. Import/Export is not used to synchronize QIS survey data during sync points.

WARNING! Use file transfer when you import the initial QIS survey shell. If you re-import the QIS survey shell into ASE-Q after beginning the survey, all your survey data will be lost.

Data Synchronization (Embedded)

You can use a wired connection to synchronize QIS survey data inside a QIS survey. Synchronizing, or syncing, integrates data entered by all surveyors and the team leader at pre-defined sync points during the survey.

Acquire the QIS Survey Shell (Email)

Before beginning the QIS survey, you need to acquire the QIS survey shell from the team leader. The team leader can either email the survey to you as a zip file before the survey begins, or you can use a wired cable connection to transfer the file onsite.

To transfer the QIS survey shell (email):

1. Locate the email sent by the state with the QIS survey shell attachment (zip file) in your email application.
2. Right-click the attachment and select **Save As**.
3. In the Save Attachment window, navigate to the location where you store your survey zip file and select it.
4. Click **Save**, then exit your email application.
5. Open ASE-Q.
6. Click the **Import** button on the ASE-Q toolbar.
7. In the Import window, select **Other Zip File Location**.
8. Click the **Binoculars** button to open the Select for Import window.
9. Navigate to the QIS survey shell zip file location, select it, then click **Open**.
10. In the Import window, click **OK**.

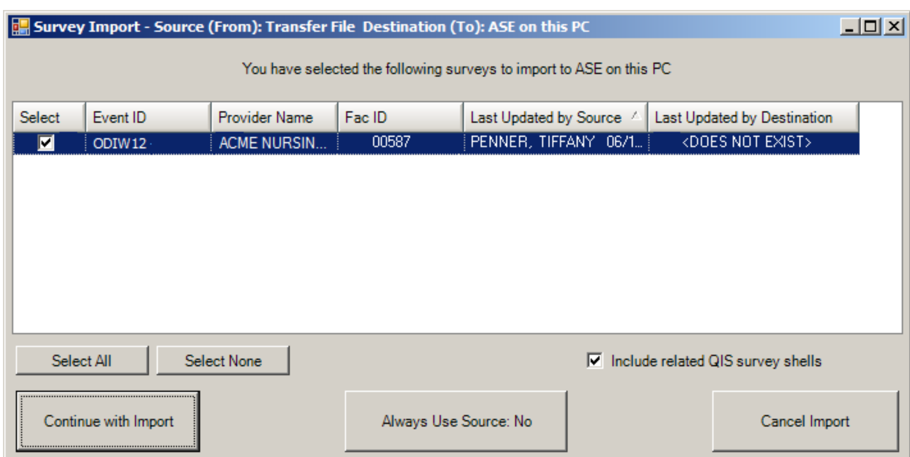


Figure 134: Survey Import window

11. In the Survey Import window, select the checkbox next to the survey you want to transfer, then select **Continue with Import**.

12 In the Finalize Transfer window, select **Apply** to complete the import.

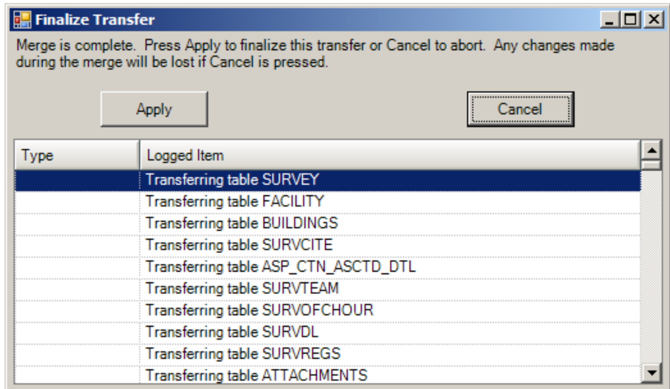


Figure 135: Finalize Transfer window

If you are importing more than one survey, the transfer process will be repeated for each survey.

More ...

"Wired Communication" on page 19

Arriving Onsite

Before the team leader can perform the Sync Offsite Prep Info and Assignments step (and earn a checkmark), team leader and embedded RO surveyor must set up the wired connection between the laptops, add the embedded RO surveyor to the team roster, and transfer the QIS survey shell.

The team leader and the RO need to work together on this procedure.

Note: Each time you connect the crossover cable, you may need to wait up to 60 seconds for the connection to be established before you can initiate a data sync.

To set up the wired connection:

Team Leader & RO

1 Open the QIS survey and use the Navigator to go to the Team Roster (Offsite Preparation).

Team Leader

2 Disable your AirCard.

Note: Disabling the AirCard is the best way to ensure a consistent IP address for your computer during the survey. AirCards often trigger new IP addresses, and the **Get My IP** function sends an error message if it sees more than one IP address.

3 Insert the crossover cable into the adapters on the team leader's and RO's laptops.

4 On the Team Roster screen, select the RO, then select **Wired Network** for the Synchronization Method.

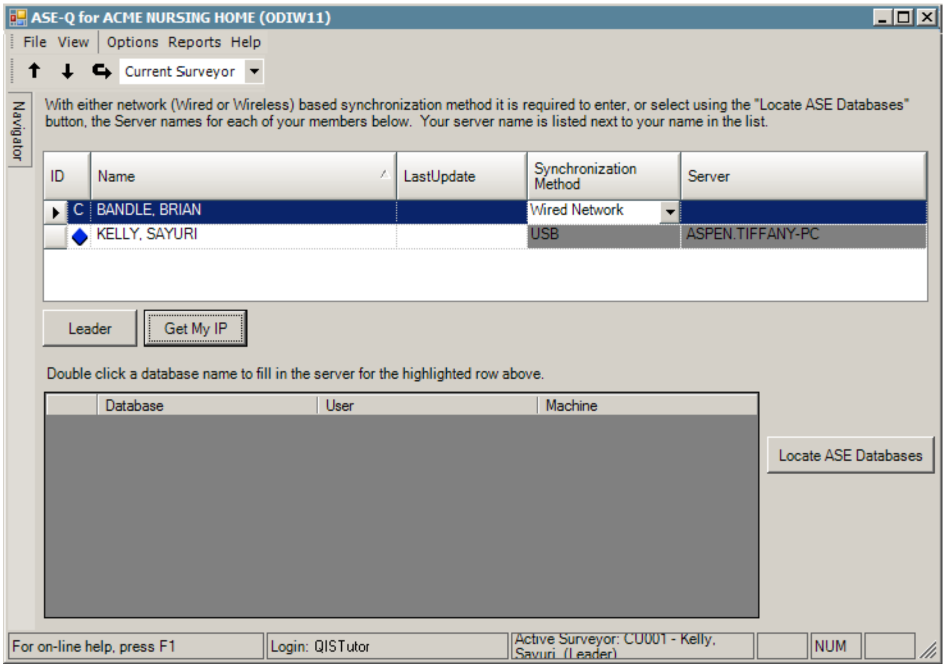


Figure 136: Team Roster window with RO and Wired Network selected

5 Click **Get My IP**. QIS displays the IP address of your laptop.

Note: If 0.0.0.0 is displayed in the IP Address window, the wired network connection is not established. Wait 60 seconds, then click **Get My IP** again.

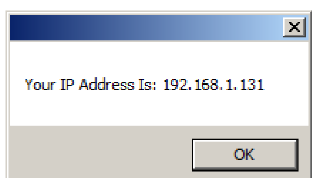


Figure 137: IP address window

6 Write down the IP address or read the IP address to the RO.

RO

7 Enable your wired network connection.

Note: If you have trouble establishing your wired network connection, call the QTSO Help Desk 1-888-477-7876.

8 In the Team Roster screen, select the team leader, then select **Wired Network** for the Synchronization Method.

9 Tab to the Server column and type in the team leader's IP address.

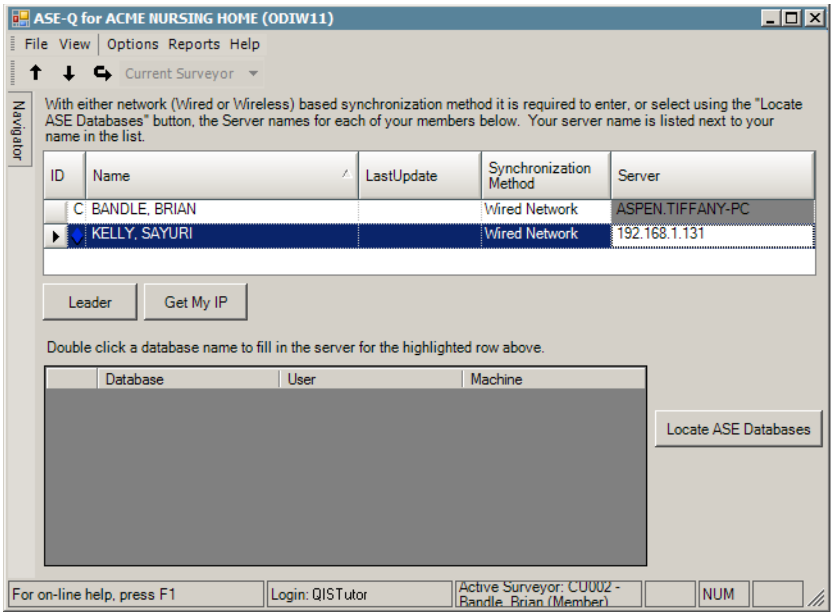


Figure 138: Team Roster window - Wired Network selected & IP Address entered

10 To complete the connection, select your name, then select **Wired Network** for the Synchronization Method.

The wired connection between the team leader's laptop and RO's laptop is complete. During each sync point, connect the crossover cable between the team leader's and RO's laptops and follow the steps on the Synchronize Data screens.

Acquire the QIS Survey Shell (Wired)

Before beginning the QIS survey, you need to acquire the QIS survey shell from the SA team leader. You can use a wired cable connection to transfer the file onsite, or receive the file though email.

CMS requires use of a crossover cable to connect the team leader's and RO's laptops and transfer the survey. This method avoids complications between state and regional software encryption rules.

Note: The ASE-Q to ASE-Q wired connection is only active during the file transfer session. Each time you transfer additional files, you need to set up the connection again. However, you only need to perform the wired transfer once during a survey to import the survey shell. If you re-transfer the survey shell after beginning the survey, all your survey data will be lost.

The RO and the team leader need to work together on this procedure.

To transfer the QIS survey shell (wired):

Team Leader

1 Log in to ASE-Q and open the QIS survey.

2 Remove or disable your AirCard.

> **Note:** Disabling the AirCard is the best way to ensure a consistent IP address for your computer during the survey. AirCards often trigger new IP addresses, and the **Get My IP** function sends an error message if it sees more than one IP address.

3 Insert the crossover cable into the adapters on the team leader's and RO's laptops.

4 In the Team Roster, click **Get My IP**. Write down the IP address.

> **Note:** If 0.0.0.0 is displayed in the IP Address window, the wired network connection is not established. Wait 60 seconds, then click **Get My IP** again.

5 Close the QIS survey and return to the ASE-Q desktop.

> **Note:** If the team leader does not close the QIS survey, the RO will get a survey lock error message.

RO

6 Log in to your laptop before connecting the crossover cable.

7 Enable your wired network connection.

Note: If you have trouble establishing your wired network connection, call the QTSO Help Desk 1-888-477-7876.

8 Open ASE-Q, then click the **Import** button on the ASE-Q toolbar.

9 In the Import window, select **Locate ASE Database**. In the text box, type the team leader's IP address, then click **OK**.

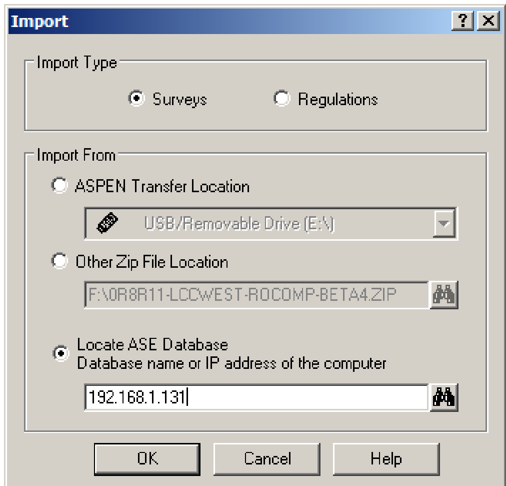


Figure 139: ASE-Q Import window

10 In the Survey Import window, select the survey you want to transfer, then click **Continue with Import**.

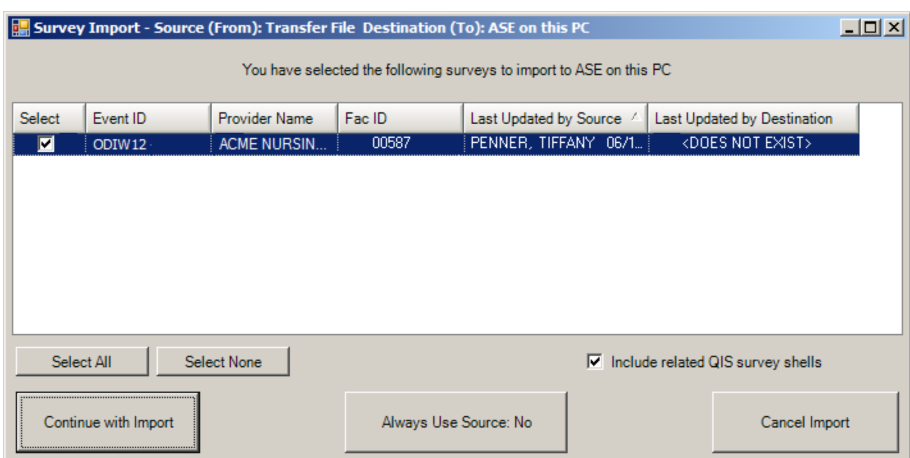


Figure 140: Survey Import window

11 In the Finalize Transfer window, select **Apply** to complete the import.

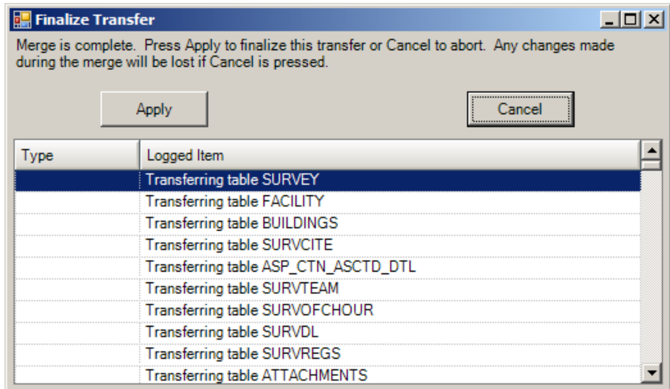


Figure 141: Finalize Transfer window

Synchronize Mobile Computers (Wired)

During the survey, use these procedures when the team leader and embedded RO surveyor need to synchronize data at the established sync points.

Note: In most cases, the Team Leader’s computer will retain the same IP address for the duration of the survey. Some computer activities, such as using the AirCard, may trigger a new IP address. If you see an error message while trying to synchronize (try to synchronize twice, waiting 60 seconds each time), return to “Arriving Onsite” on page 119 and set up a new wired connection using the new IP address.

To synchronize from team leader to RO surveyor:

RO

1 Connect the crossover cable into the adapters on the team leader’s and RO's laptops.

2 Enable your wired network connection.

Note: If you have trouble establishing your wired network connection, call the QTSO Help Desk 1-888-477-7876.

Team Leader

3 Navigate to the sync point.

4 On the team leader’s laptop, the team leader selects the RO staff.

5 Select the checkbox next to **You are using the Wired Network method of synchronization, please connect your network cable before synchronizing**.

The Synchronize Now button activates.

6 Click **Synchronize Now**.

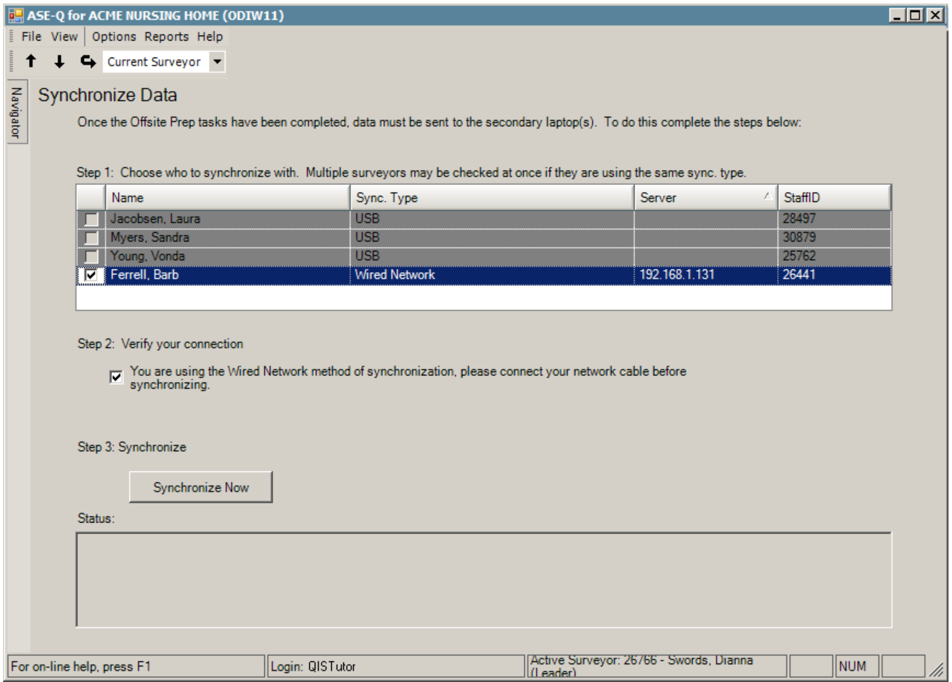


Figure 142: Synchronize Data - Wired, Team Leader

The Status section of the sync window shows the final status of the sync. A message indicates if the sync was successful or if there is an error.

If successful, the final status message is: Data Successfully Prepared for Team Member Synchronization.

The crossover cable remains connected between the team leader’s and RO surveyor's laptops.

RO

7 Navigate to the sync point.

8 Select **You are using the Wired Network method of synchronization, please connect your network cable before synchronizing**.

The Synchronize Now button activates.

9 Click **Synchronize Now**.

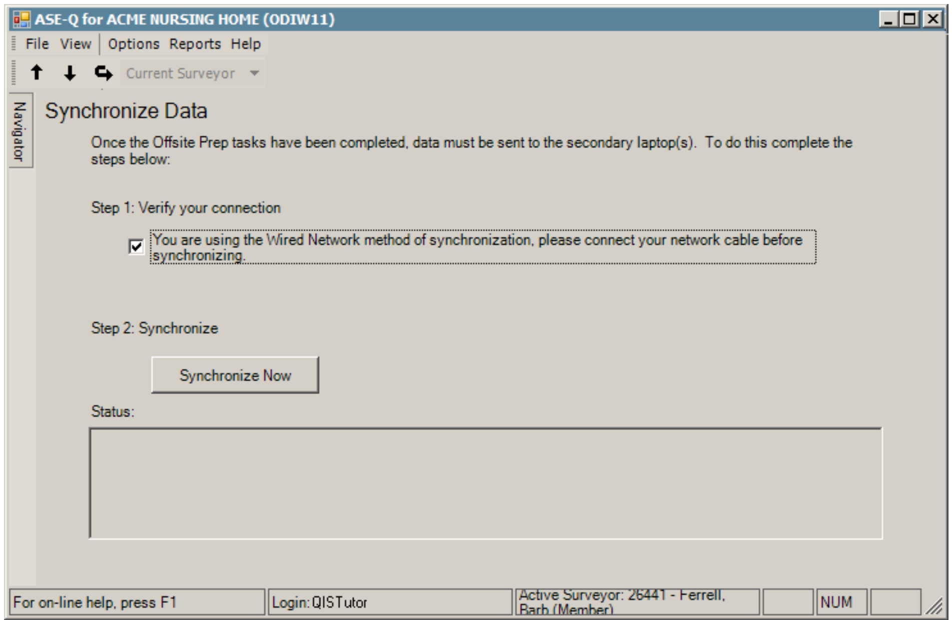


Figure 143: Synchronize Data window - Wired, RO

The Status section of the sync window shows the final status of the sync. A message indicates if the sync was successful or if there is an error.

If successful, the final status message is: Data Successfully Copied from Leader.

When the sync is successful, QIS refreshes the screen.

10 Disconnect the crossover cable between the team leader’s and RO surveyor's laptops.

To synchronize from RO surveyor to the team leader:

RO

1 Connect the crossover cable into the adapters on the team leader’s and RO's laptops.

2 Enable your wired network connection.

Note: If you have trouble establishing your wired network connection, call the QTSO Help Desk 1-888-477-7876.

---

3 Use the Navigator to go to the sync point.

4 Select **You are using the Wired Network method of synchronization, please connect your network cable before synchronizing**.

5 Click **Synchronize Now**.

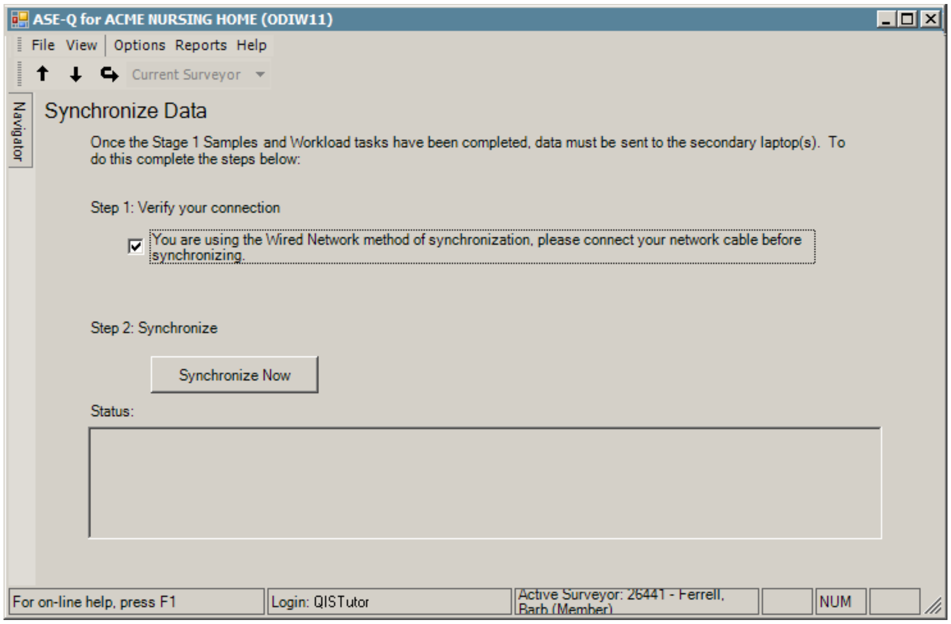


Figure 144: Synchronize Data window - Wired, RO

The Status section of the sync window shows the final status of the sync. A message indicates if the sync was successful or if there is an error.

If successful, the final status message is: Data Successfully Copied to Leader.

The cable remains connected between the team leader's and RO's laptops.

Team Leader

6 Use the Navigator to go to the sync point.

7 Select the RO surveyor.

8 Select **You are using the Wired Network method of synchronization, please connect your network cable before synchronizing**.

9 Click **Synchronize Now**.

The Status section of the sync window shows the final status of the sync. A message indicates if the sync was successful or if there is an error.

If successful, the final status message is: Team Member [surveyor last, first name]: Data Successfully Copied.

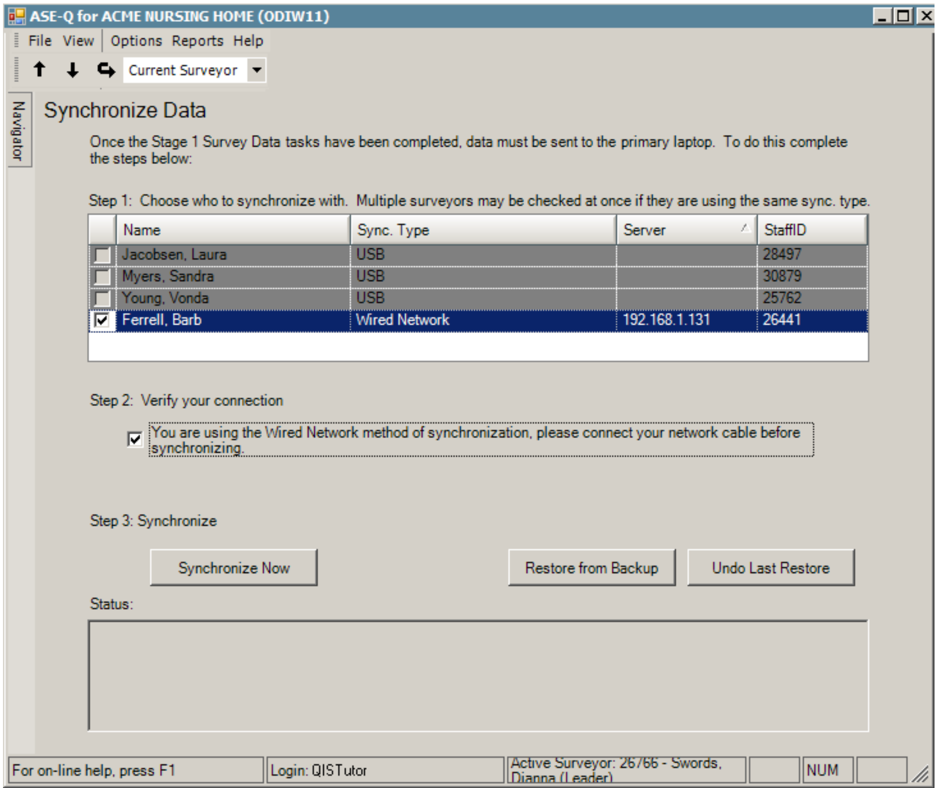


Figure 145: Synchronize Data window - Wired, Team Leader

10 When the sync is successful and you leave the screen, QIS refreshes the workflow menu in the Navigator.

11 Disconnect the crossover cable between the team leader’s and RO surveyor's laptops.

Observational Surveyors

Observational surveyors are not added to the Team Roster, and do not participate in any team activities such as editing findings, syncing, or backups.

At various milestones during the survey, the Team Leader exports the survey from ASE-Q, using ASE-Q's Export function. Observers then import the survey into ASE-Q on the Observer machine. SA Observers can use a USB drive for the transfer; ROs can use the wired connection. With each new import, the Observer should answer **Yes** to the question about overwriting QIS data.

Observers view the survey as a supervisor, which is easily assigned in Citation Manager.

To view the survey as an observer:

1 In the ASE-Q tree, locate and expand the provider record.

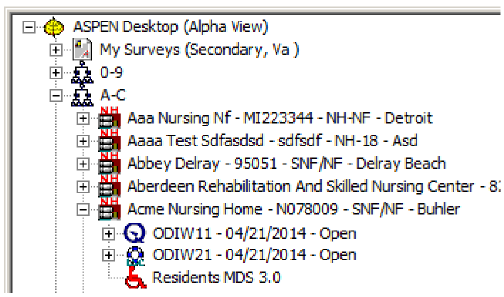


Figure 146: ASE-Q tree with provider record expanded

The QIS survey is listed beneath.

2 Right-click the survey and select **Citation Manager**.

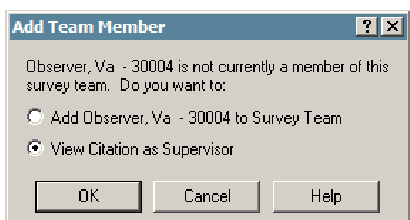


Figure 147: Add Team Member window

3 In the Add Team Member window, select **View Citation as Supervisor**, then click **OK**.

Note: The Add Team Member displays when a staff member who is not on the survey team (such as a Supervisor or Observer) opens Citation Manager. Supervisors and Observers should not add themselves to the survey team.

4 To learn who is the team leader, click **Roster**. The team leader is indicated by a blue diamond.

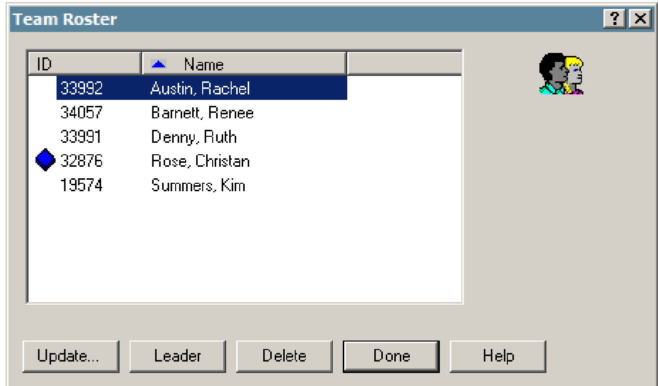


Figure 148: Team Roster window

5 Click **Done** to close this window.

6 In the Team Roster section, highlight the team leader, then click **Activate**.

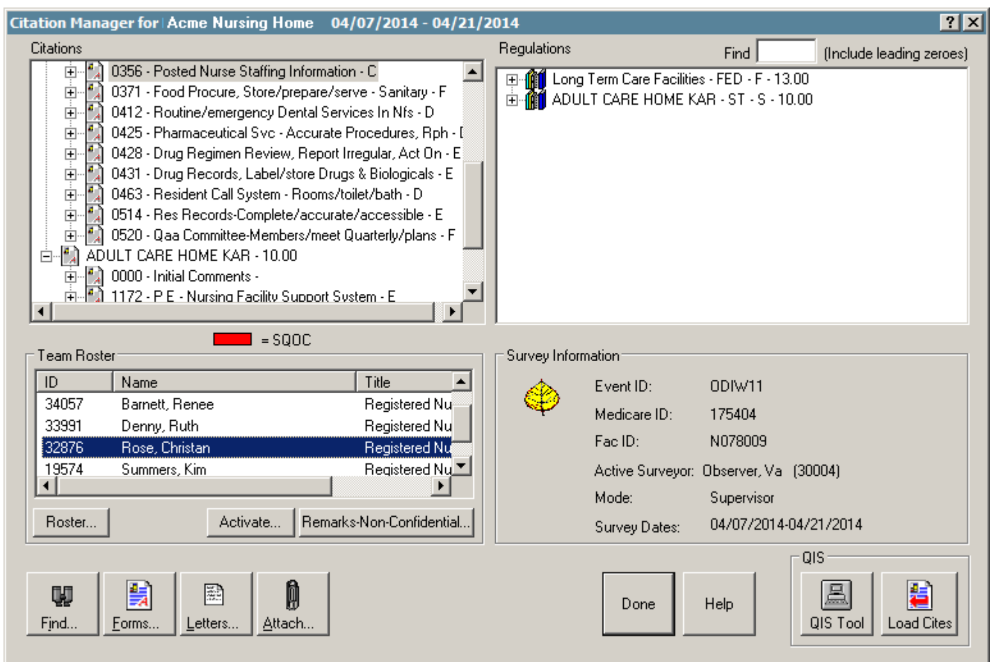


Figure 149: ASE-Q Citation Manager window

7 In the Change Surveyor window, answer **Yes**.

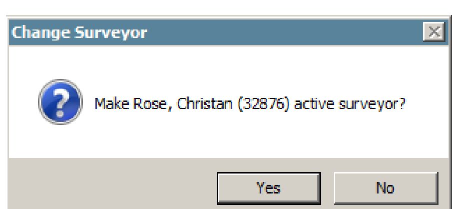


Figure 150: Change Surveyor window

Changing the active surveyor to the team leader allows the Observer to view survey data.

Note: The Observer's ASE-Q security and permissions must be equal to those of the team leader. When activating alternate surveyors, ASE-Q does not provide additional security privileges, although it may provide fewer.

8 In Citation Manager, click **QIS Tool** 

to open the QIS survey.

WARNING! As an Observer, do not add or edit survey information.

Delete QIS Information after the Survey

Security requires that after the QIS survey is complete and imported into ACO, State and RO surveyors should delete the survey and residents information from ASE-Q.

To delete the residents after the survey:

1 In ASE-Q, click the **Alpha** tab on the bottom of the screen, locate the facility in the tree, then click the **+** to expand it.

2 Under the QIS survey event ID, right-click the **Residents MDS 3.0** option and select **Delete Residents** from the popup menu.

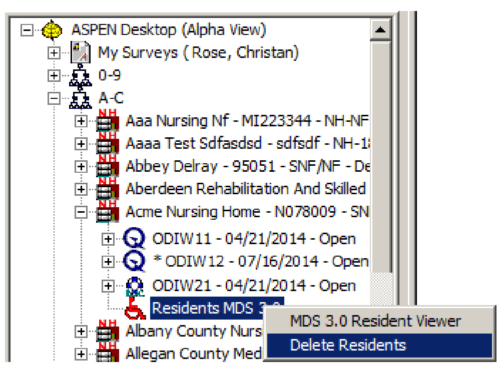


Figure 151: ASE-Q Alpha Tree - Delete Residents option

3 Select **Yes** to delete residents and assessment information, or **No** to cancel.

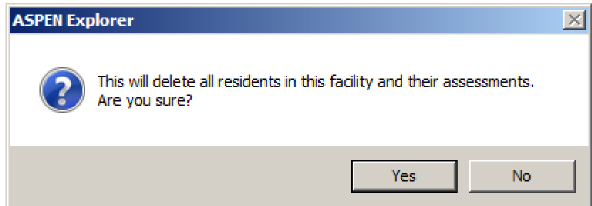


Figure 152: Delete Resident confirmation message

ASE-Q will delete the survey residents and their assessments for the selected facility, and then remove the Residents MDS 3.0 option for that facility.

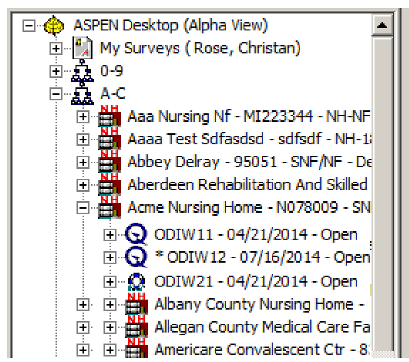


Figure 153: ASE-Q Alpha tree after using the Delete Residents option

To delete the facility after the survey:

1. In ASE-Q, locate your facility in the tree. You may choose to send the entire facility to the Recycler, or you may send an individual survey.
2. Right-click the facility (or survey) and select **Send To | Recycler**. Answer **Yes** to the Recycle message.

   This places the facility (or survey) under the Recycle node in the tree. If you delete only the survey, it will be listed under the facility name.

   You still haven't entirely removed the survey and QIS data from ASE-Q. To do that, you need to remove it from the Recycler.
3. Expand the Recycle node and locate your facility.
4. Right-click the facility and select **Delete**.

View QIS Surveys in ACO/ARO

In ACO/ARO, you can use the QIS Tool to view a completed QIS survey, and print reports on this data.

The QIS Tool in ACO/ARO provides consolidated summaries, called Management Views, of Stage 1 and Stage 2 QIS survey data. Survey data is read-only and users cannot alter data entries. In addition, buttons, validation, data entry, and save functions are disabled.

You can expand the Navigator and use the Next Step/Previous Step buttons to review data in sequence, or directly select the step in the QIS survey you want to review.

To view QIS survey data in ACO/ARO:

1 In AC0/ARO, locate your survey in the tree.

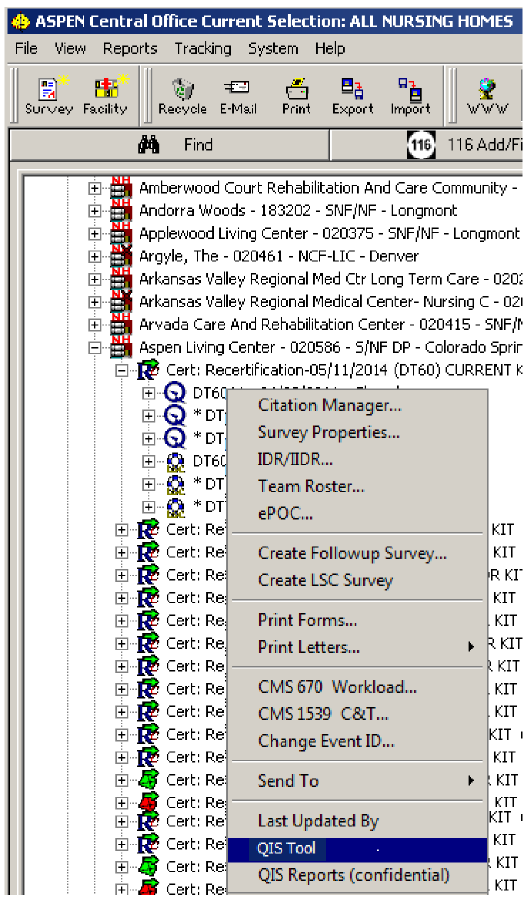


Figure 154: ACO/ARO QIS Tool option

2 Right-click the survey and select **QIS Tool**.

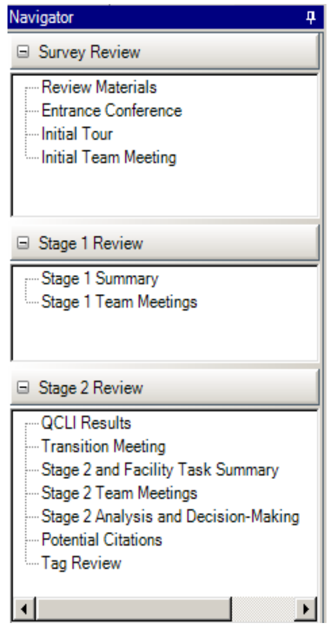


Figure 155: QIS Navigator for ACO/ARO Management views

3 Expand the section in the Navigator you want to review, then select the appropriate summary screen.

To print the Survey Documentation Report

In addition to the Management Views, ACO/ARO provides a Survey Documentation Report to provide information requested by supervisors and the Office of the General Counsel (OGC).

1 In AC0/ARO, locate your survey in the tree.

2 Right-click the survey and select **QIS Reports (confidential)**.

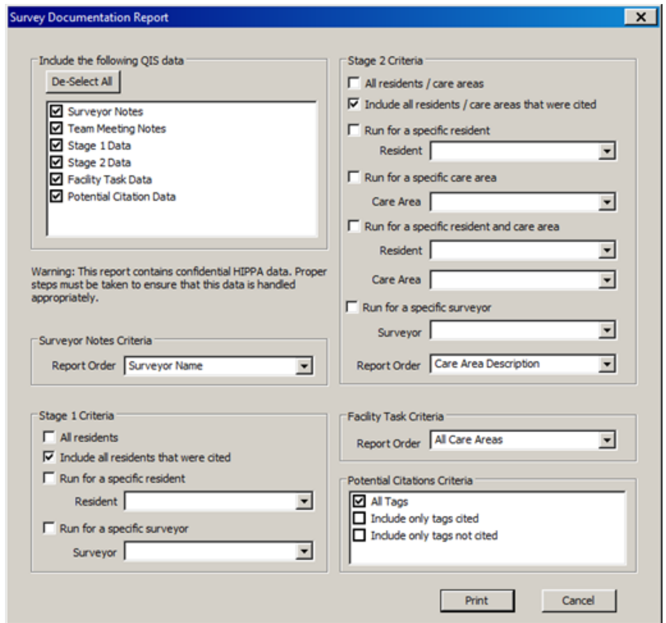


Figure 156: Survey Documentation Report option screen

The Survey Documentation Report screen displays the available options and sub-reports:

- Surveyor Notes
- Team Meeting Notes
- Stage 1 Data
- Stage 2 Data
- Facility Task Data
- Potential Citation Data

3 Use the checkboxes to choose the options for your report(s), then click **Print**.

Each sub-report prints on a different page. If you choose to print for All Residents, the report may take a long time to generate.

QIS Revisit Surveys

For QIS Revisits, screen options and navigation remains the same as a standard QIS survey, however, the Revisit Navigator follows the revisit survey workflow. For revisits of FMS Comparative Surveys, the workflow is the same as revisits of state surveys.

Review Potential Citations Data

Before creating a revisit survey, ensure the prior survey's data is complete. A revisit survey is dependent on a complete QIS survey data set in ACO when the revisit is created.

- Using the QIS Tool in ACO, expand the Stage 2 Review section and select **Potential Citations**.

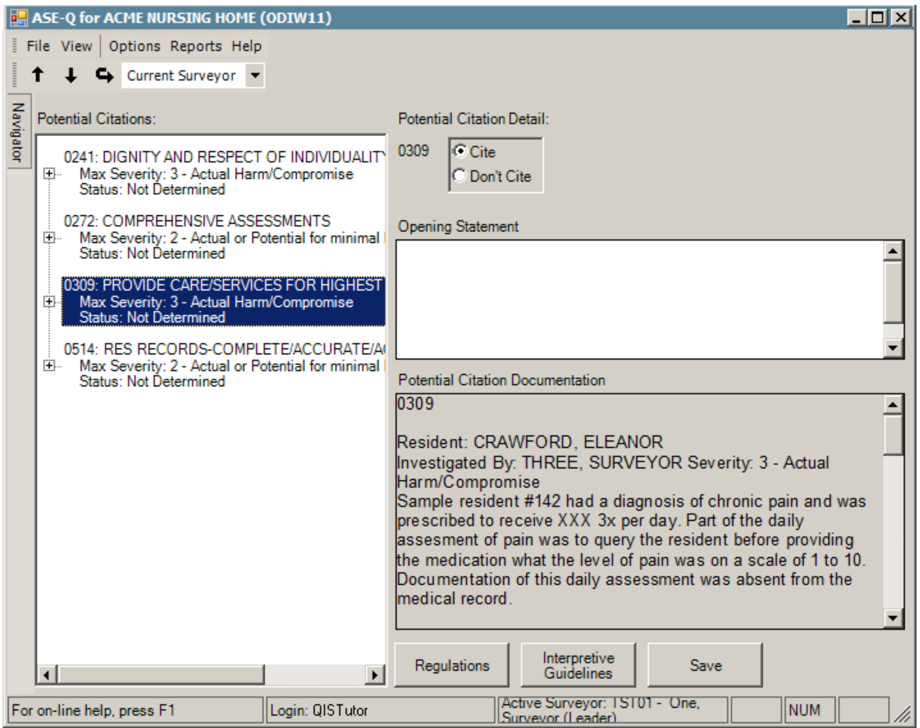


Figure 157: ACO QIS Tool, read-only - Potential Citations summary

ACO retrieves QIS survey data from the state server and displays the information on the right side of the screen.

If Potential Citations has earned a checkmark, and all the information is filled out, the survey is complete.

More ...

"View QIS Surveys in ACO/ARO" on page 133
"QIS RO Comparative Surveys" on page 179

Create the Revisit Survey

QIS Revisit Surveys re-evaluate specific tags cited as noncompliant during the QIS recertification or extended survey to ensure corrective actions are taken on all requirements not in compliance. QIS Revisit surveys are for on-site revisits only.

For QIS Revisit Surveys, this documentation references the QIS recertification survey, though the revisit can be based on either the recertification survey or a prior revisit.

A revisit survey is based on the QIS recertification survey and surveyors will be familiar with the basic software workflow. Some tasks have changed to accommodate the QIS revisit process:

- Revisit survey shells can only be created in ACO.
- If the recertification health survey is a QIS survey, ACO will automatically flag the onsite revisit as QIS survey.
- Stage 1 activities are not conducted during a revisit survey.
- As in a QIS recertification survey, surveyors proceed through the workflow, documenting findings in the QIS software to determine if a cited tag is corrected or should be re-cited.
    - If entered into ACO, the revisit survey includes the completion date for each tag.
- Read-only CMS-2567 data from the prior survey is included for citations with a scope and severity of D or greater.
- Revisit surveys use current MDS data to update each resident's status and identify additional residents meeting QCLI criteria for care areas cited during the recertification survey.
- Surveyors can choose to carry forward the facility Plan of Correction (PoC) information into the revisit survey if that information has been entered into ACO.

WARNING! Prior to creating a revisit survey, the team leader should view the completed survey in the QIS Tool to ensure QIS data from the prior survey is complete.

To create a QIS revisit survey:

1 In ACO, locate the nursing home in the tree and expand the certification kit.

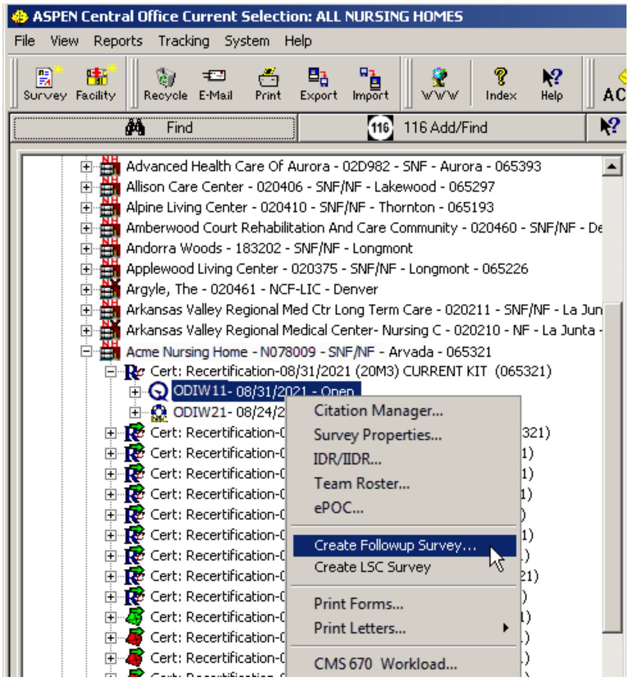


Figure 158: Create Followup Survey in ACO

2 Right-click the appropriate QIS survey and select **Create Followup Survey**.

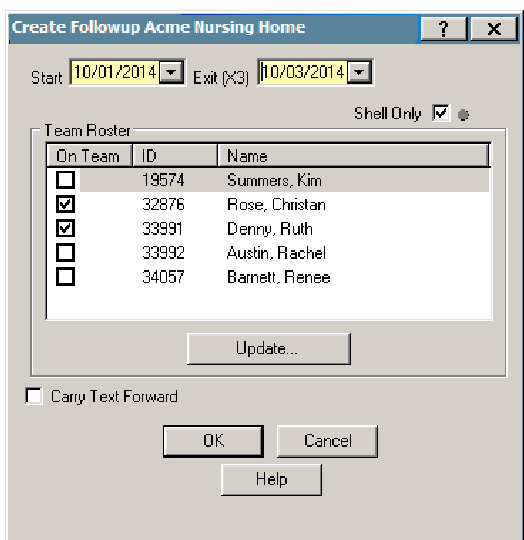


Figure 159: Create Followup window

3 On the Create Followup window, enter **Start** and **Exit Dates** for the QIS revisit survey.

4 Select **Carry Text Forward** if you would like to include the complete CMS-2567 data from the previous survey (in addition to D or greater tag citations). Unchecked is the default setting for this checkbox.

TIP: If entered into ACO, PoC information is automatically carried forward into the revisit survey. PoC text and completion dates are automatically filled in where appropriate in the revisit survey shell.

5 Clear the **On Team** checkbox for surveyors who will not conduct the revisit.

The QIS revisit survey team may not contain the same team members as the previous recertification survey. Names of team members not conducting the revisit survey must be cleared from the On Team column so they will not appear in the Team Roster in the QIS software.

Removing a team member from the On Team list does not remove the surveyor's name from the Team Roster in Citation Manager, or from cited tags.

6 Click **Update** to add new surveyors to the Team Roster as appropriate, then click **OK**.

When you select team members for a QIS survey, ACO checks to see if all surveyors have required QIS permissions. If permissions are lacking, ACO provides a warning:

Figure 160: Warning message received when permissions are lacking

7 Click **OK** to create the revisit survey shell.

The revisit is added to the ACO tree. It has the same event ID as the standard survey, except the last digit is incremented by one. Revisits are identified on the Alpha, Type, and Cert/Survey tabs by an asterisk preceding the event ID.

8 Right-click the revisit survey, then select **Survey Properties**.

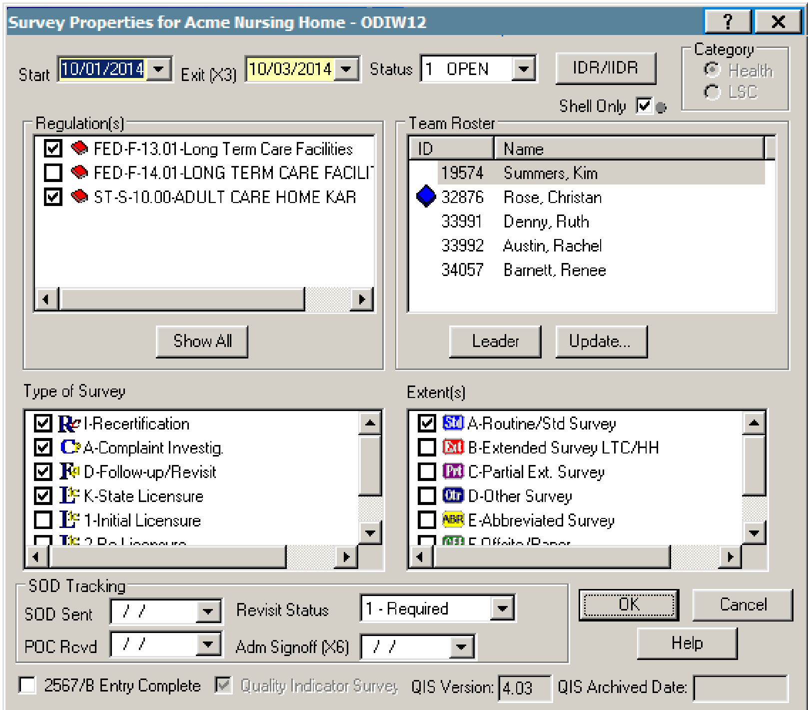


Figure 161: Survey Properties window

Since there is a prior QIS survey, the Quality Indicator Survey checkbox is selected and disabled.

9 To designate a team leader, highlight the leader's name in the Team Roster section, and click **Leader**.

The team leader can be designated in ACO, or chosen later after the survey is exported to ASE-Q.

10 For Type of Survey, select **D-Follow-up/Revisit**.You can select more than one Extent, if appropriate, except E - Offsite/Paper.

A-Routine/Std Survey remains selected. Click **OK**.

Export the Revisit Survey from ACO (USB)

When you export a QIS onsite revisit survey, assessments are based on the exit date of the QIS recertification survey event. Assessments with target dates greater than or equal to the QIS recertification health survey exit date minus 180 days are included.

The MDS QCLI calculations and residency status is based on the full set of assessment data within the date range.

When you export a QIS revisit survey from ACO, you need to include related QIS surveys so the revisit survey can access CMS-2567 survey data. Related surveys are defined as the original 11 survey, or any prior revisits.

To export the QIS revisit survey:

1 Insert the USB drive into your laptop.

2 In the ACO tree, locate and expand the certification kit containing the survey. You will see the QIS revisit survey listed beneath.

3 Click the survey and drag it to the Export button on the toolbar (you can also right-click the survey and select **Send to**, then **Export**).

4 In the Export window, specify your transfer location, then click **OK**.

Select **ASPEN Transfer Location** if you are exporting to Drive C:; use **Other Location** if you need to navigate to a different drive.

ASPENTx.zip is the default export transfer file name. You can assign another name if you wish.

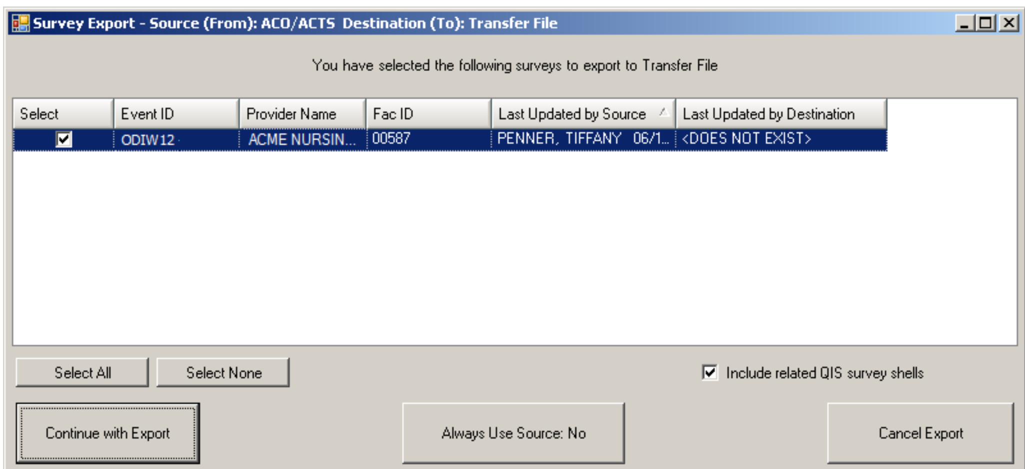


Figure 162: Survey Export window

5 The Survey Export window lists the survey you are exporting.

6 Select the **Include related QIS survey shells** checkbox if it is not is pre-selected.

WARNING! Do not clear the **Include related QIS survey shells** checkbox for a revisit survey, or you will not be able to conduct the QIS Revisit survey. ASE-Q import/export windows offer the OPTION of deselecting a survey and only importing the revisit survey. In some cases, such as an RO observation survey, the prior survey is unnecessary. In certain cases, based on your state's procedure, you may deselect a survey.

You can choose to **Cancel Export** at this point.

7 Click **Continue with Export** to initiate the transfer.

ACO transfers the survey shell, then begins calculating the QIS data. This may take several minutes. You cannot cancel the export during the calculations.

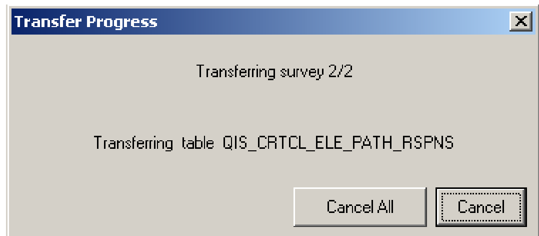


Figure 163: Transfer Progress window

When the transfer is complete, the Finalize Transfer window displays the transferred items and shows errors, if any occur.

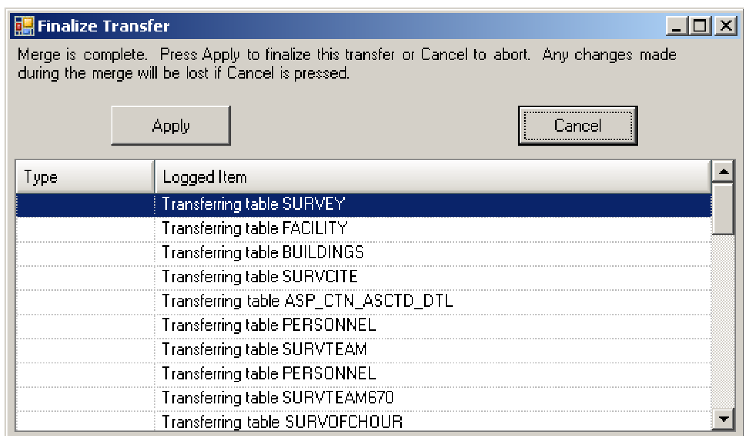


Figure 164: Finalize Transfer window

8 Click **Apply** to complete the transfer to the zip file.

Note: When you export the prior and revisit surveys, the transfer process is repeated for each survey.

Import the Revisit Survey into ASE-Q (USB)

Before you import the QIS revisit survey into ASE-Q, we recommend deleting the original 11 survey first to avoid merge screens. When you import the QIS revisit survey, the original, completed, 11 survey is imported along with the revisit.

To import the QIS revisit survey:

1 Insert the USB drive containing the ASPEN transfer file into your laptop.

2 Open **ASE-Q**.

3 Click the **Import** button on the ASE-Q toolbar.

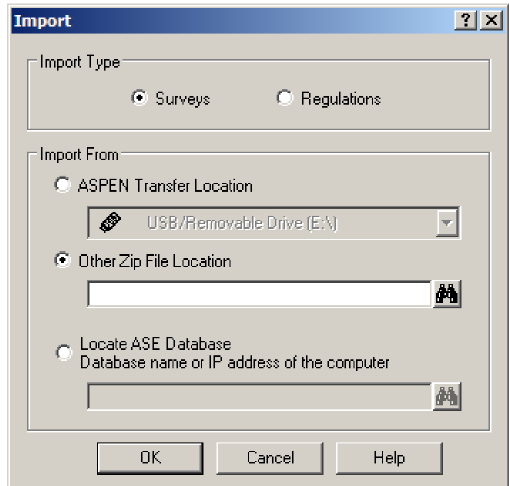


Figure 165: Import window

4 Navigate to the transfer file on the USB drive, then click **OK**.

Note: If you select **ASPEN Transfer Location** for the USB drive, the file must be in the root of the USB drive and must be called ASPENTx.zip. If your file is in another location or uses another name, select **Other Zip File Location**, then navigate to the file.

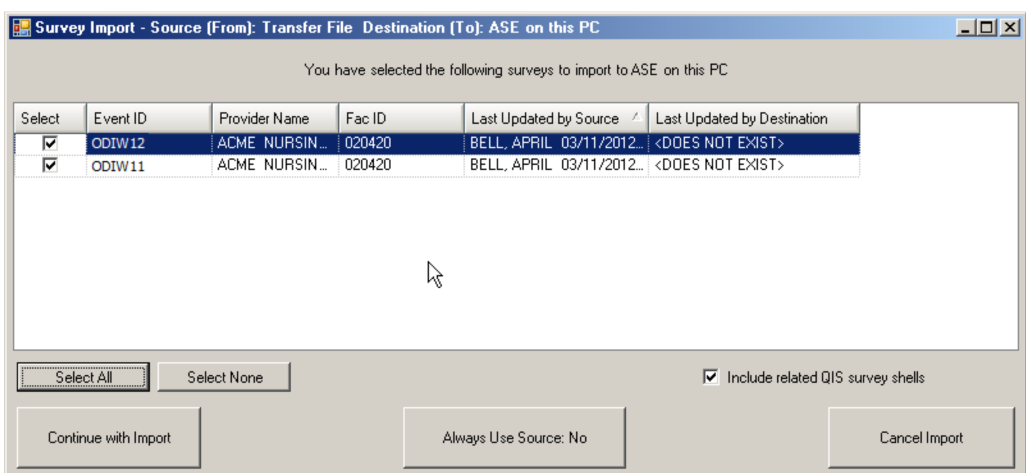


Figure 166: Survey Import window

5 Select the **Include related QIS survey shells checkbox** if it not is pre-selected for you.

Note: ASE-Q import/export windows offer the OPTION of deselecting a survey and importing only the revisit survey. In some cases, such as an RO observation survey, the prior survey is unnecessary. In these cases, based on your state's procedure, you may deselect a survey.

---

6 You can choose to **Cancel Import** at this point.

7 Select **Continue with Import**.

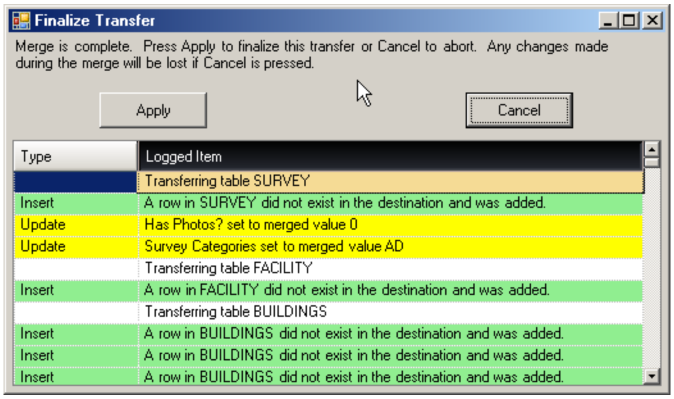


Figure 167: Finalize Transfer window

8 In the Finalize Transfer window, select **Apply** to complete the import.

Note: When you import the prior and revisit surveys, the transfer process is repeated for each survey.

Add Survey Team Members

To add one or more survey team members, you can access the Select Surveyors window from ASPEN Explorer, the Citation Manager, or the Survey Properties window.

Note: When you add team members to a survey in ASE-Q, the corresponding survey (if there is one) in the state database is not automatically updated to reflect the changes.

To add a QIS survey team member:

1 Click any tab in **Tree** view and locate the applicable survey.

2 In the **Citation Manager** window, click the **Roster...** button under the **Team Roster** list.

The Team Roster window appears with a list of the current team members.

3 Click the **Update** button to open the **Select Surveyors** window.

A checkmark by a surveyor indicates the surveyor is on the team.

4 Select the checkbox to add the surveyor to the team.

5 Click **OK** to return to the **Team Roster** window. The new team members are now listed.

6 In the **Team Roster** window, click the **Done** button.

Deactivate a Survey Team Member

The QIS revisit survey team may not contain the same team members as the previous recertification survey. Names of team members not conducting the revisit survey must be cleared from the On Team column so they will not appear in the Team Roster in the QIS software.

Removing a team member from the On Team list does not remove the surveyor's name from the Team Roster in Citation Manager, or from cited tags.

To deactivate a team member for a revisit survey:

1 In the Create Followup Survey window, clear the **On Team** checkbox for surveyors who will not conduct the revisit.

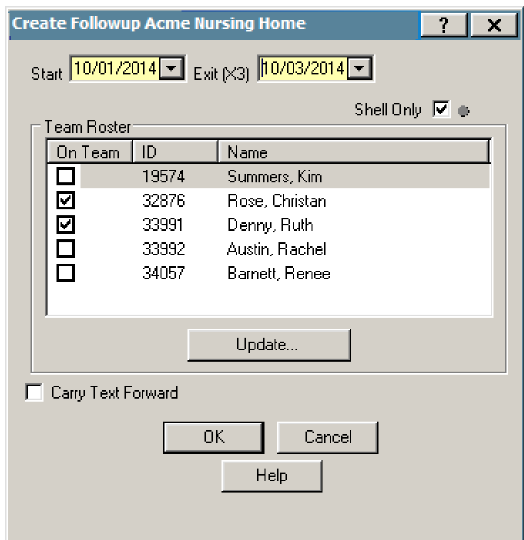


Figure 168: Create Followup window

2 If you don't need to add new surveyors, click **OK** to continue creating the revisit survey shell.

More ...

Procedure: "Create the Revisit Survey" on page 137

Designate the Team Leader

You can specify the team leader for a survey from ASPEN Explorer, the Citation Manager, or the CMS 670 Workload window. Only one person can be designated the team leader.

Note: When you designate a team leader for a survey in ASE-Q, the corresponding survey (if there is one) in the state database is not automatically updated to reflect this.

To designate a team leader from ASE-Q:

1. Click any tab in **Tree** view and locate the applicable survey.
2. Right-click the survey and select and select **Team Roster**.
3. In the **Team Roster** window, select the team leader and click **Leader**.

   A blue diamond is displayed next to the leader's ID.

To designate a team leader from Citation Manager:

1. Open the **Citation Manager**: locate the applicable survey in **Tree** or **List** view, right-click it, and select **Citation Manager**.

   If the Add Team Member window appears, it means that you are not a member of the survey team. Select the option you want and click OK.
2. Click the **Roster...** button under the **Team Roster** list.
3. In the **Team Roster** window, select the team leader and click the **Leader** button.

   A blue diamond is displayed next to the leader's ID.

To designate a team leader from the CMS 670 Workload window:

1. Open the **CMS 670 Workload Detail** window:

   Locate the applicable survey in **Tree** or **List** view, right-click it, and select **CMS 670 Workload**.

   -or-

   In the **Citation Manager** window, click the **Forms...** button then select the **670 Entry...** button in the **Select Form(s) to print** window and click **OK**.
2. In the **CMS 670 Workload Detail** for **Survey** window, select the **Leader** checkbox to indicate the survey team leader.

Navigate the QIS Tool - Revisit

For QIS revisits, the File, View, Options, and Help menus remain the same.

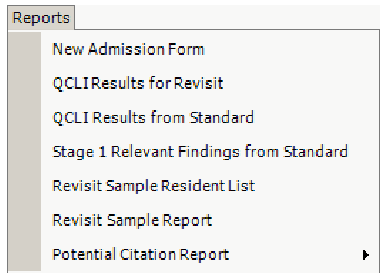


Figure 169: Revisit Reports menu

Reports provides menu access to QIS Revisit reports. Most of these may also be printed from the survey screens during the survey.

More ...

"QIS Menus" on page 50
"QIS Menus" on page 50
"Navigator" on page 53

Navigator - Revisit

The Revisit Navigator uses the familiar, expandable system of menus and sub-menus that list the activities surveyors must perform as they conduct the survey. Windows and activities reflect the revisit survey workflow.

Similar to QIS recertification surveys, some activities are managed activities that are dependent on prior activities. The surveyor cannot move onto the next activity before the dependent activities are complete.

After a surveyor completes a survey activity and leaves the screen, QIS puts a checkmark next to the sub-menu item and allows the surveyor to move on to the next activity.

Save Data

Screens in QIS save automatically, either when leaving the screen, or if you enter information in a grid, the screen saves when you move to the next row or leave the grid. Team Meeting, Investigation, and Potential Citations screens have individual Save buttons, for those occasions when the surveyor has the screen open for an extended period of time.

Note: If your laptop is switched off, or loses power, the current screen's data will not be saved.

Earn Checkmarks

Team Leader

The team leader has a checkbox in the Revisit Navigator next to activities that require a checkmark.

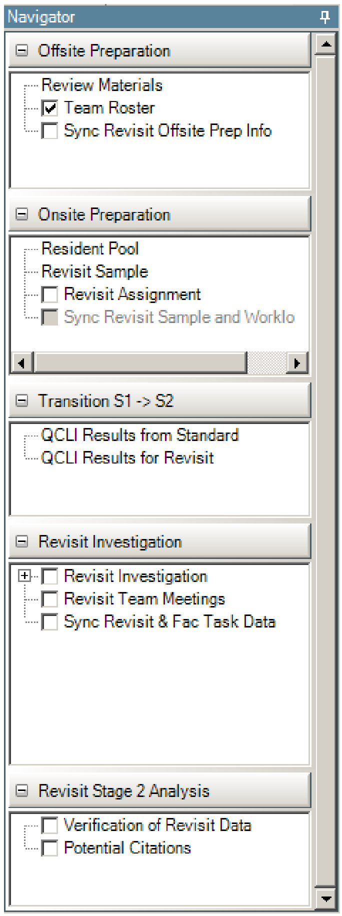


Figure 170: Revisit Navigator--Team Leader menu

Survey activities that are dependent on previous activities are not activated until the previous activities are complete. QIS inserts the checkmark in the Navigator when an activity is complete. QIS usually requires responses in every field and text area on the screen before considering an activity “complete”.

Note: After each data sync, the team leader should verify that the checkmark appears in the checkbox before beginning the next activity to avoid potential data loss or the necessity of re-entering data.

Secondary Surveyors

Secondary surveyors have checkboxes only for those activities they are required to complete themselves, such as the Revisit Investigation and surveyor sync points.

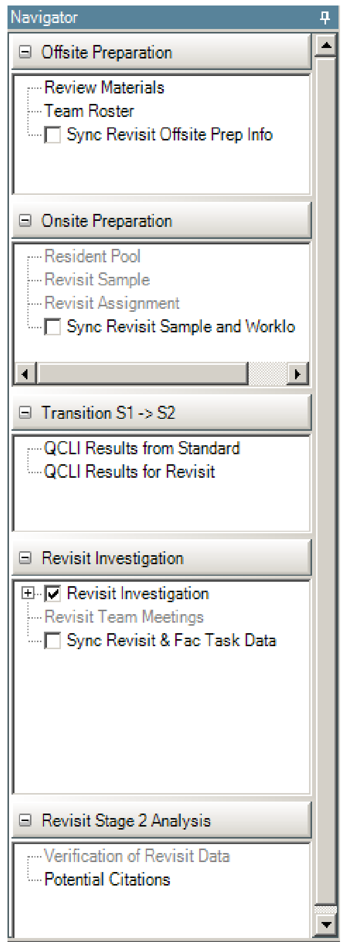


Figure 171: Revisit Navigator--Secondary Surveyor menu

Team leader survey activities are visible but inactive for secondary surveyors. For certain activities, secondary surveyors are allowed, but not required, to participate -- those activities are activated for secondary surveyors but do not have a checkbox.

Conduct the QIS Revisit Survey

This document does not provide surveyor training for the QIS Revisit. Instead, we will visit each survey activity listed on the Revisit Navigator and provide tips and hints about how to maximize use of QIS for revisit surveys.

Offsite Preparation

The Offsite Preparation section is the team leader's responsibility. Before beginning the survey, the team leader and secondary surveyors must Sync Offsite Prep Info according to your state's procedures.

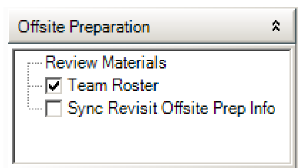


Figure 172: QIS Revisit - Offsite Preparation menu

Review Materials

The Review Materials screen displays the exit date of the prior survey.

If entered into ACO/ARO, the screen includes the completion date and PoC text for each tag cited on the prior survey. You can complete the revisit survey and enter correction dates without PoC data.

You can manually add or update the completion date, and enter pertinent PoC information for each tag on this screen. If a completion date for a tag is unavailable, the **No Date** checkbox is automatically selected.

The Review Materials screen also displays tags cited outside the QIS survey process on the prior survey (i.e., cited directly in Citation Manager). These tags are included on the Revisit Sample screen, but have no sample residents. Three residents must be initiated for these tags, as available.

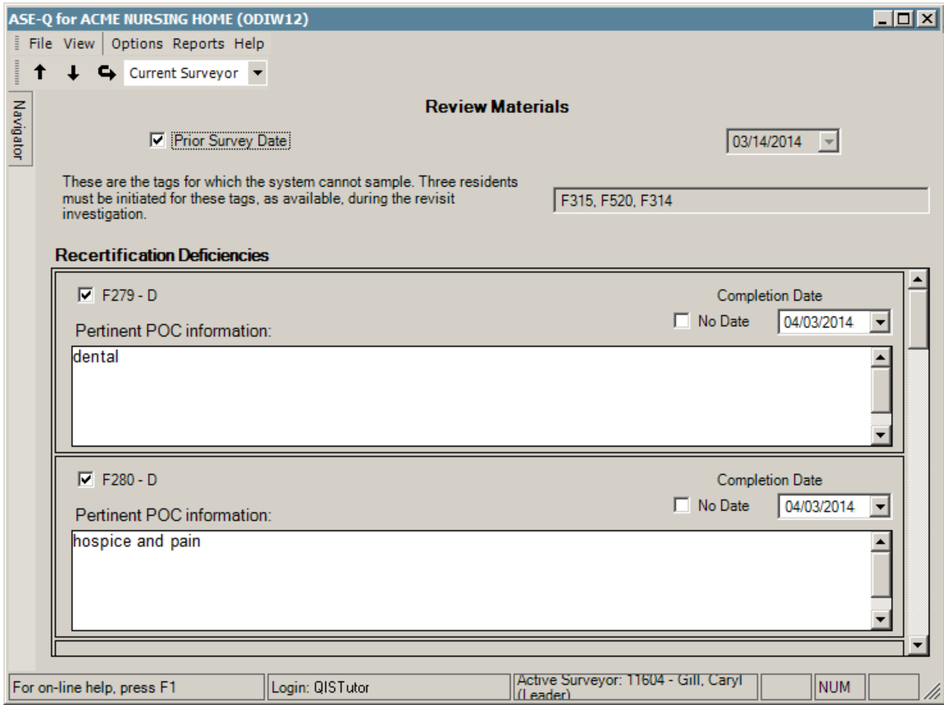


Figure 173: Offsite Preparation - Review Materials screen

Earn the Checkmark: You don't need to earn a checkmark for the Review Materials screen.

More ...

"Tags Cited Outside the QIS Process" on page 167

Team Roster

The Team Roster screen determines how the survey team shares data during the QIS revisit process.This screen continues to work the same as the existing recertification process.

By default all users are set to communicate via USB. If the team is using only USB to share data, no changes are required.

If an RO surveyor is on the survey team, we recommend using the wired synchronization option. If a state is using wired networking to share data then those entries are made on this screen.

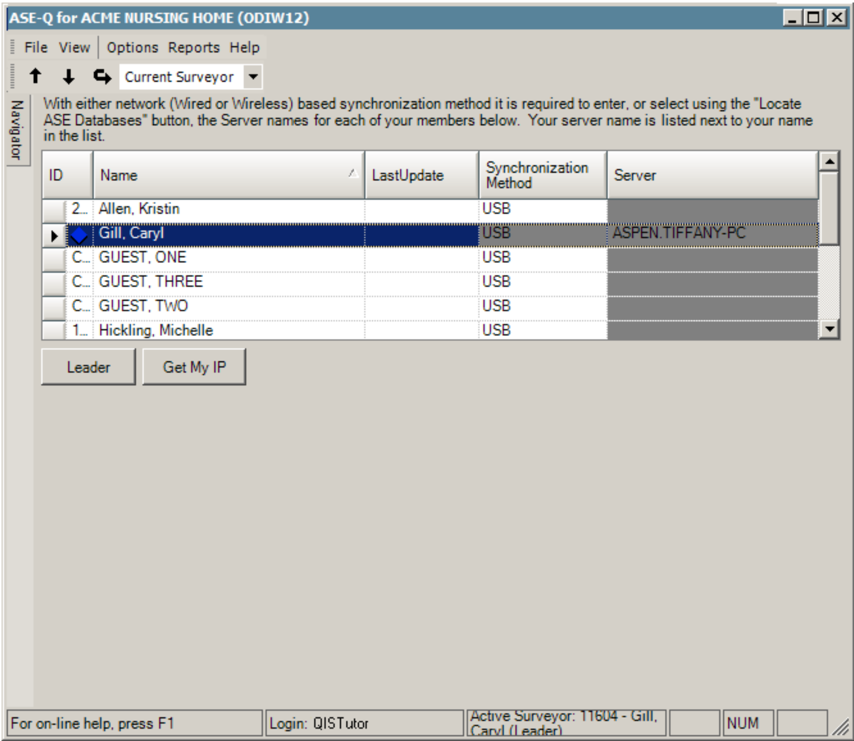


Figure 174: Offsite Preparation - Team Roster screen

Once this screen is set up for the survey team, you do not need to make any other changes during the synchronization process.

Note: If necessary, you can use this screen to change the team leader during the survey. While you can use the Synchronize button to share that change with other surveyors, the simplest (and recommended) method is for each surveyor to change the leader in ASE-Q using Citation Manager or Survey Properties.

More ...

"RO Surveyors (embedded or observational)" on page 115
"Wired Communication" on page 19

Sync Revisit Offsite Prep Info (USB)

Note: For all QIS survey types, if only one surveyor is conducting the QIS survey, this screen is automatically greyed out.

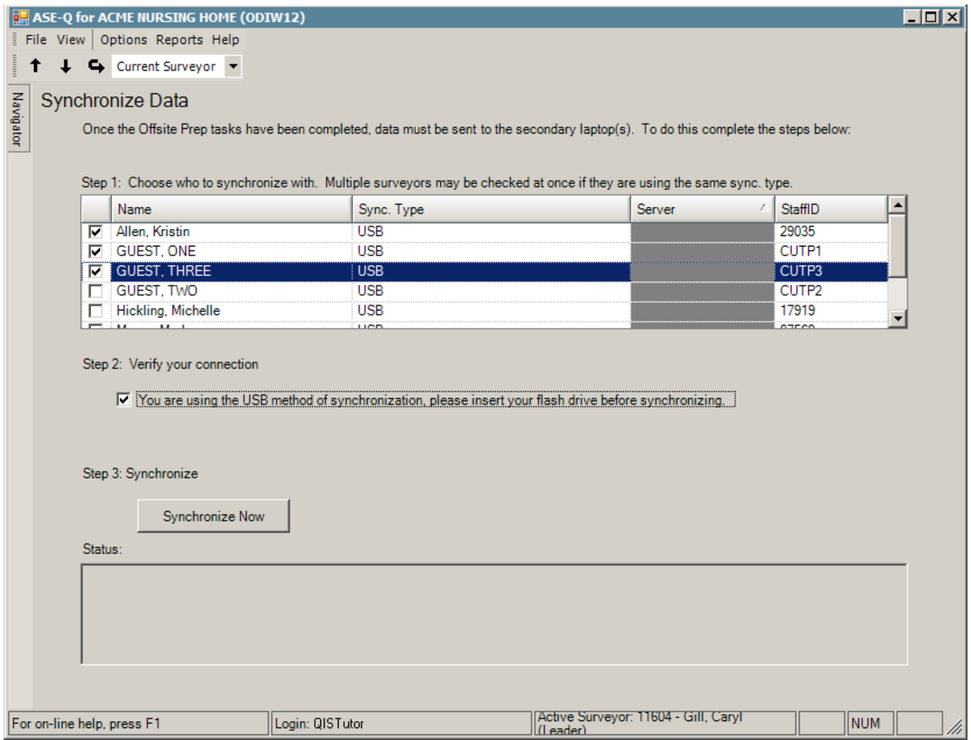


Figure 175: Offsite Preparation - Sync Revisit Offsite Prep Info screen, Team Leader view

To sync revisit offsite prep info - team leader to secondary surveyors:

1. Insert the USB drive into the team leader's laptop. Close the drive window if it opens.
2. Select **Sync Revisit Offsite Prep Info**.
3. Select the checkbox next to all the team members using the USB synchronization method.
4. Select the checkbox next to **You are using the USB method of synchronization, please insert your flash drive before synchronizing** to activate the **Synchronize Now** button.
5. Click **Synchronize Now**.

   The QIS Synchronization window opens with a list of external devices plugged into the laptop. In most cases, only the USB drive is listed.

6 Select the USB drive, then click **OK** to sync.

Note: The USB drop-down in the QIS Synchronization window displays the device name if one was assigned. If you have multiple, un-named USB drives plugged into your laptop, click **Browse** for full navigation features.

The Status section of the Synchronize Data window shows the final status of the sync. A message indicates if the sync was successful or if there is an error.

7 Safely remove the USB drive according to your states's procedures.

Note: If only one surveyor is conducting the QIS survey, this screen will be automatically checked.

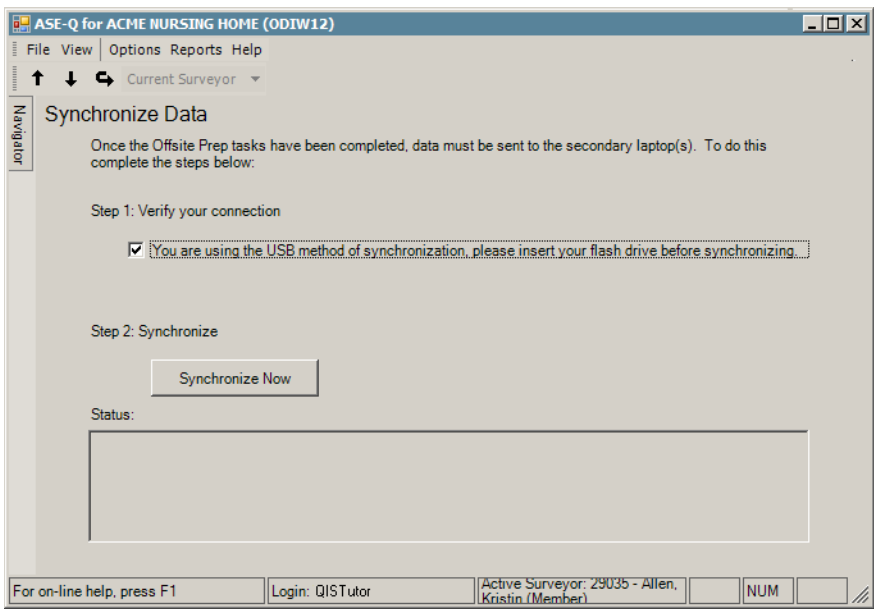


Figure 176: Offsite Preparation - Sync Revisit Offsite Prep Info screen, Secondary Surveyor view

Secondary surveyors synchronize their laptops with the team leader's USB drive.

To sync revisit offsite prep info - secondary surveyors:

1 Insert the USB drive into the secondary laptop.

2 Select **Sync Revisit Offsite Prep info**.

3 Select **You are using the USB method of synchronization, please insert your flash drive before synchronizing**.

4 Click **Synchronize Now**.

The QIS Synchronization window opens with a list of external devices plugged into the laptop. In most cases, only the USB drive is listed.

5 Select the USB drive or click **Browse** to navigate to another location, then click **OK** to sync.

The Status section of the Synchronize Data window shows the final status of the sync. A message indicates if the sync was successful or if there is an error.

When the sync is successful, and you leave the screen, QIS refreshes the Navigator.

6 Safely remove the USB drive according to your state's procedures.

Secondary surveyors now have read-only access to the Review Materials screen.

Earn the Checkmark

The team leader must put a checkmark next to all members of the survey team, indicating all surveyors have been selected for synchronization.

After synchronizing, select **Onsite Preparation**. The software will insert the checkmark for Offsite Preparation.

For secondary surveyors, the checkmark is selected automatically after a successful sync.

More ...

"Synchronization Procedures" on page 103

Onsite Preparation

The Onsite Preparation section is the team leader's responsibility. Before beginning the survey, the team leader ensures that the Revisit Sample is complete, assigns investigations to the team, then synchronizes the Revisit Sample and Workload with the secondary surveyors.

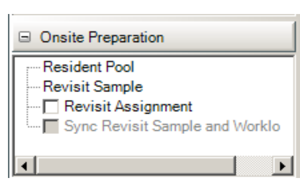


Figure 177: Onsite Preparation menu

QIS screens facilitate the team leader's revisit tasks. The Resident Pool shows all the residents in the pool. Available with QIS v4.03 (and higher), the Revisit Sample screen displays the sample generated when the survey is exported from ACO to ASE-Q. The Revisit Assignment screen enables the team leader to assign Care Areas, Residents, and Tags to secondary surveyors.

Resident Pool

The Resident Pool screen is similar to the Resident Reconciliation screen from the QIS recertification survey, however, the screen displays only residents in the pool. The screen is reconfigured to hide data that isn't used for the revisit survey.

For revisit surveys, earning a checkmark on this screen is not required.

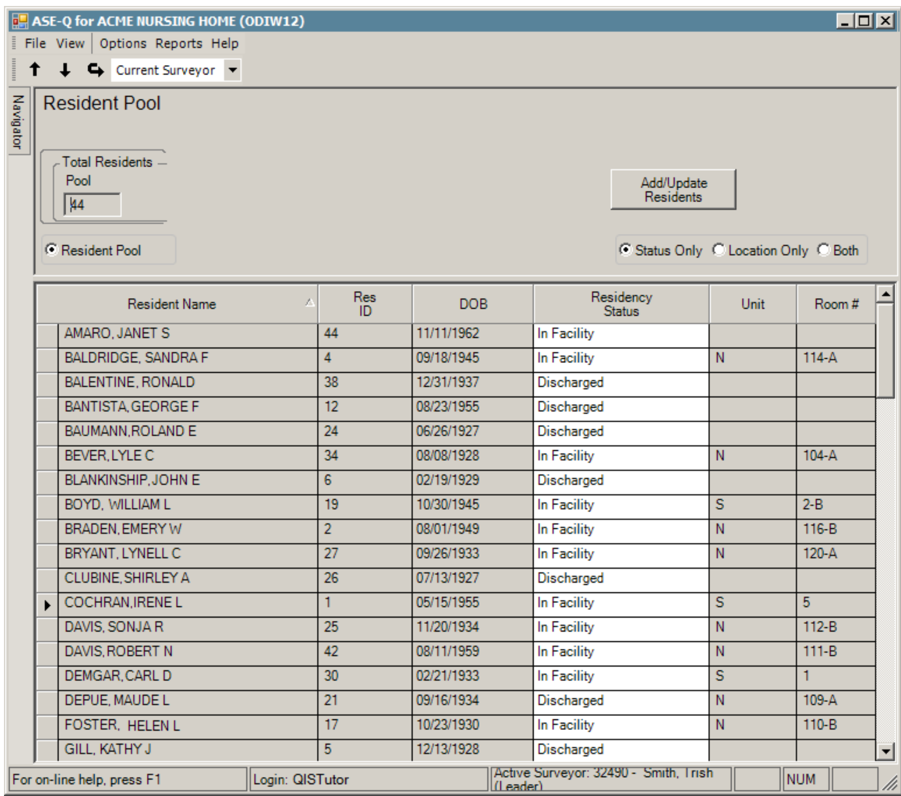


Figure 178: Onsite Preparation - Resident Pool screen

The radio buttons on the top right set the tab order on the grid. If you select **Status Only**, you can update the resident status, although this is not required.

If you select **Location Only**, the tab order moves from the Unit column to Room, then to the next row. If you select **Both**, the tabs will move from Status to Unit to Room, then to the next row.

The **Unit** and **Room** columns are free format text entry.

Add/Update Residents opens the Add/Update Residents window, where you can add new residents or edit residents previously added by surveyors. Type new resident information on the empty top line, then press **Enter** if you need to add another resident. Select **OK** to save the new resident.

Note: If you need to make changes to existing surveyor-added residents, edit the row for that resident.

Residency Status

For the onsite revisit survey, the residency status (In Facility or Discharged) is set based on the assessment data. Surveyors are not required to reconcile the sample.

Resident ID

For residents that were in the pool on the prior survey, assigned resident IDs are carried forward to the revisit survey.

Resident IDs are used in official documentation and should remain the same between the initial recertification survey and the revisit.

Residents added to the pool for the revisit survey are assigned new resident IDs. IDs are assigned sequentially, beginning after the highest existing number from the prior survey plus one.

Unit and Room number

For residents that were in the pool on the prior survey, Unit and Room number information is carried forward to the revisit survey.

Unit and Room number information is blank and not required for residents that are added to the pool for the revisit survey.

Revisit Sample

The revisit sample is calculated based on the Care Area, Resident, and Tag cited in QIS on the prior survey. The sample does not include residents that have been discharged. Samples are built for all revisit tags on the CMS-2567 with an SS value of D or greater. QIS attempts to place 3 residents in the sample for each of these tags.

For a care area containing cited tags, the sample is augmented with other residents that were in the numerator (QCLI calculations) for that care area on the prior survey.

For an MDS care area containing cited tags, the sample is augmented with residents in the numerator of the QCLI calculations performed when the revisit survey was exported from ACO/ARO.

The Revisit Sample screen displays each tag carried forward with a Complete/Not Complete status. A tag is Complete when the number of residents entered in the sample is equal to the number required. Under each tag, the residents included in the sample are listed.

Samples cannot be built for tags that were cited directly in ASPEN and not through QIS. Those tags are listed on the Revisit Sample screen, and surveyors need to manually initiate 3 residents for each of those tags.

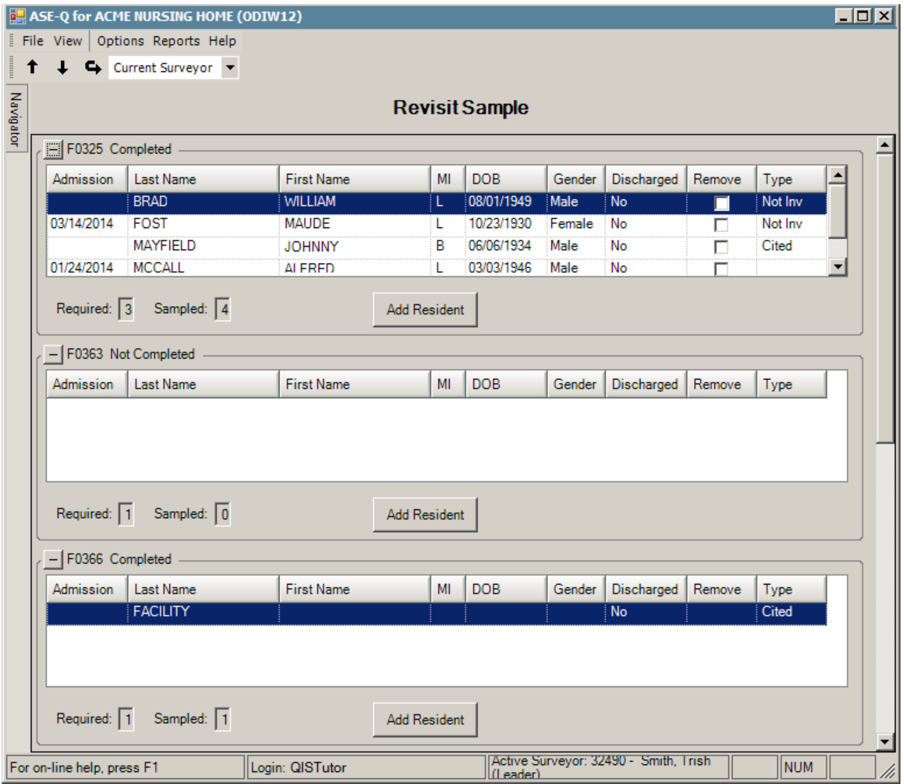


Figure 179: QIS Revisit Sample screen

Each resident row lists basic resident information and has a checkbox that enables the team leader to remove the resident from the sample. The Type column shows whether the tag was Cited or “Not Inv” (not investigated). Not Inv indicates that the resident meets the criteria for the issue, but was not investigated on the prior survey.

A system-generated sample is not always correct or complete. The Revisit Sample screen allows the team leader to remove or add residents as needed.

To remove a resident from the revisit sample - team leader

1 In the row of the resident you want to remove, tap the Remove checkbox to select it.

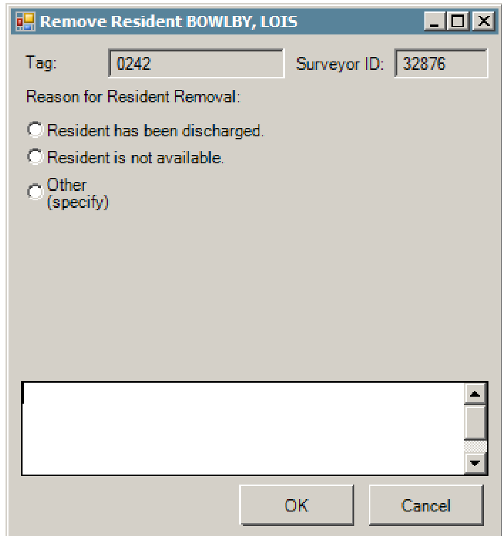


Figure 180: Remove Resident screen

2 In the Remove Resident screen, select a reason for removal and add notes if appropriate.

3 Press **OK** to close the window and return to the Revisit Sample screen.

The Sampled count for this tag will be decremented by 1.

To add a resident to the Revisit Sample - team leader

1 Under the tag to which you are adding a resident, select **Add Resident**.

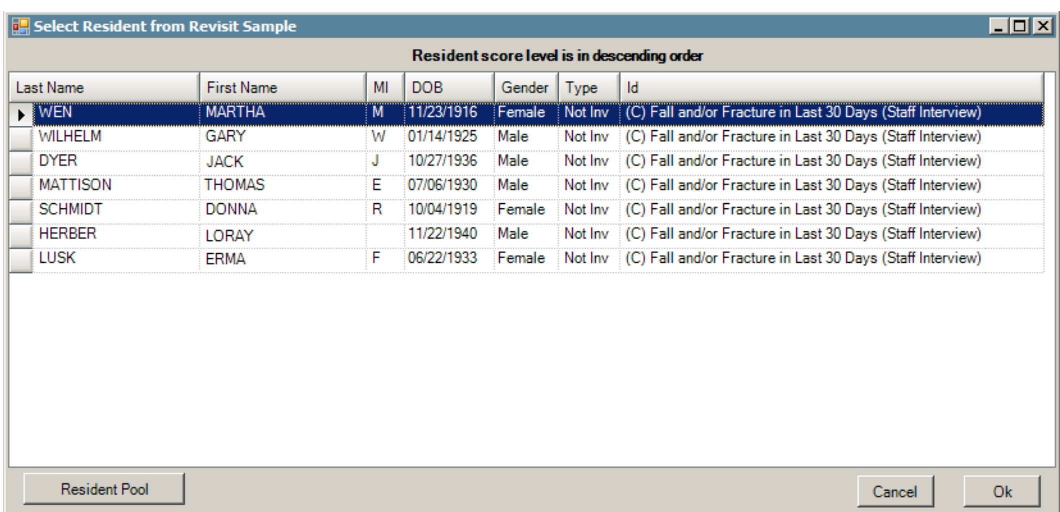


Figure 181: Select Resident from Revisit Sample screen

The Select Resident from Revisit Sample screen displays other candidates for this tag, if any, chosen by the revisit sample algorithm. The residents are listed in descending order based on the score that was assigned during the sampling. They are also grouped by Type, with all Cited residents appearing first, then all Not Inv residents.

You can select a resident from this screen, or choose Resident Pool to select a resident from the entire Resident Pool.

2 Highlight a resident, then click **OK** to add the resident to the sample.

Revisit Assignment

Once all tags in the sample are marked Complete, team leaders can use the Revisit Assignment screen to assign investigations for all the sampled tags, residents, and CAs to the correct team members.

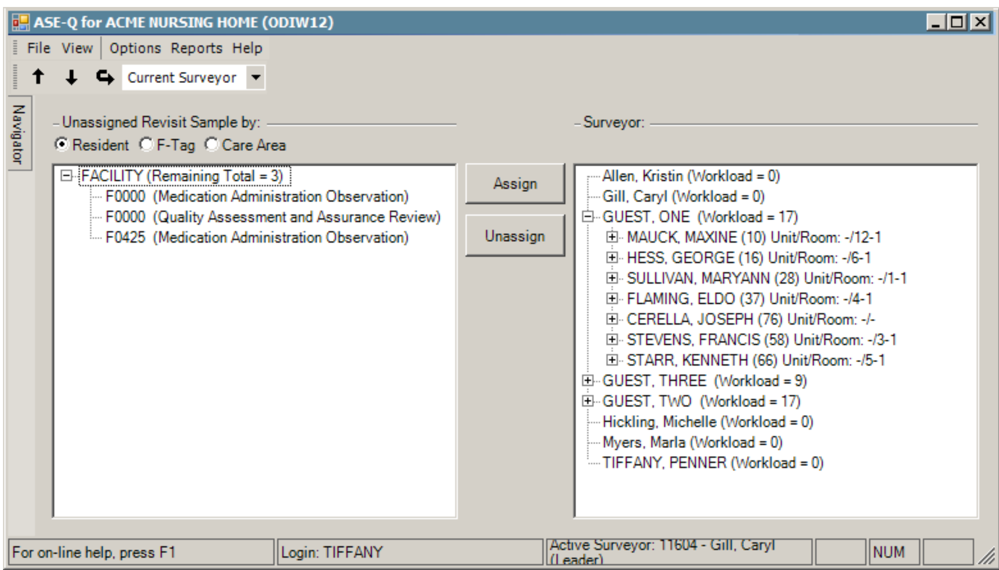


Figure 182: Onsite Preparation - Revisit Assignment screen

The Revisit Assignment screen lists unassigned residents in the left pane. You can sort residents by Resident (the default), Tag, or Care Area.

QA&A is a required investigation for every revisit survey, and is automatically listed under the Facility (0) and tag 0000. The generated revisit sample does not include tags cited under QA&A.

In the Resident View, all tags display the associated care area e.g., “F221 (Physical Restraints)” when you click the + next to the resident name. Tag and Care Area views display care areas in separate nodes in the assignment tree.

To assign the revisit sample - team leader:

1 Using the Resident View, click the **+** next to the surveyor name to see the residents already assigned.

2 The team leader manually assigns residents by selecting one or more residents in the left pane, then highlighting the surveyor name in the right pane, then clicking **Assign**.

3 To change assignments, click the **+** next to the surveyor name to display the residents, then select one or more residents and click **Unassign**.

Earn the Checkmark

Regardless of the number of surveyors on the team, you must assign all residents and tags in the revisit sample to earn a checkmark.

Sync Revisit Sample and Workload (USB)

Note: For all QIS survey types, if only one surveyor is conducting the QIS survey, this screen is automatically checked.

To sync revisit sample and workload - team leader to secondary surveyors:

1 Insert the USB drive into the team leader's laptop. Close the drive window if it opens.

2 Select **Sync Revisit Sample and Workload**.

3 Select the checkbox next to all the team members using the USB synchronization method.

4 Select the checkbox next to **You are using the USB method of synchronization, please insert your flash drive before synchronizing** to activate the **Synchronize Now** button.

5 Click **Synchronize Now**.

The QIS Synchronization window opens with a list of external devices plugged into the laptop. In most cases, only the USB drive is listed.

6 Select the USB drive, then click OK to sync.

Note: The USB drop-down in the QIS Synchronization window displays the device name if one was assigned. If you have multiple, un-named USB drives plugged into your laptop, click **Browse** for full navigation features.

The Status section of the Synchronize Data window shows the final status of the sync. A message indicates if the sync was successful or if there is an error.

7 Safely remove the USB drive according to your states's procedures.

Note: If only one surveyor is conducting the QIS survey, this screen will be automatically checked.

To sync revisit sample and workload - secondary surveyors:

Secondary surveyors synchronize their laptops with the team leader's USB drive.

1. Insert the USB drive into the secondary laptop.
2. Select **Sync Revisit Sample and Workload**.
3. Select **You are using the USB method of synchronization, please insert your flash drive before synchronizing**.
4. Click **Synchronize Now**.

   The QIS Synchronization window opens with a list of external devices plugged into the laptop. In most cases, only the USB drive is listed.
5. Select the USB drive or click **Browse** to navigate to another location, then click **OK** to sync.

   The Status section of the Synchronize Data window shows the final status of the sync. A message indicates if the sync was successful or if there is an error.

   When the sync is successful, and you leave the screen, QIS refreshes the Navigator.
6. Safely remove the USB drive according to your state's procedures.

Earn the Checkmark

The team leader must put a checkmark next to all members of the survey team, indicating all surveyors have been selected for synchronization.

After synchronizing, select **Transition S1 -> S2**. The software will insert the checkmark for Sync Revisit Sample and Workload.

For secondary surveyors, the checkmark is selected automatically after a successful sync.

Transition S1 -> S2

You can display the QCLI Results from Standard and the QCLI Results for Revisit by QCLI List, Resident List, or Care Area. Highlight the resident to see responses in the right pane.

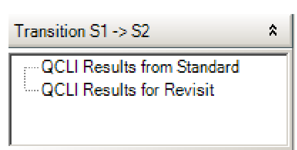


Figure 183: Transition S1 -> S2 menu

The team leader does not perform QCLI calculations during QIS revisit surveys.

Transition S1 -> S2 screens are for information purposes only, earning a checkmark is not required.

QCLI Results from Standard

This screen displays data from the original 11 (recertification) survey.

You can use the QCLI Results from Standard screen to determine a resident's status in the QCLI calculation (numerator, denominator, or exclusion) for the prior survey.

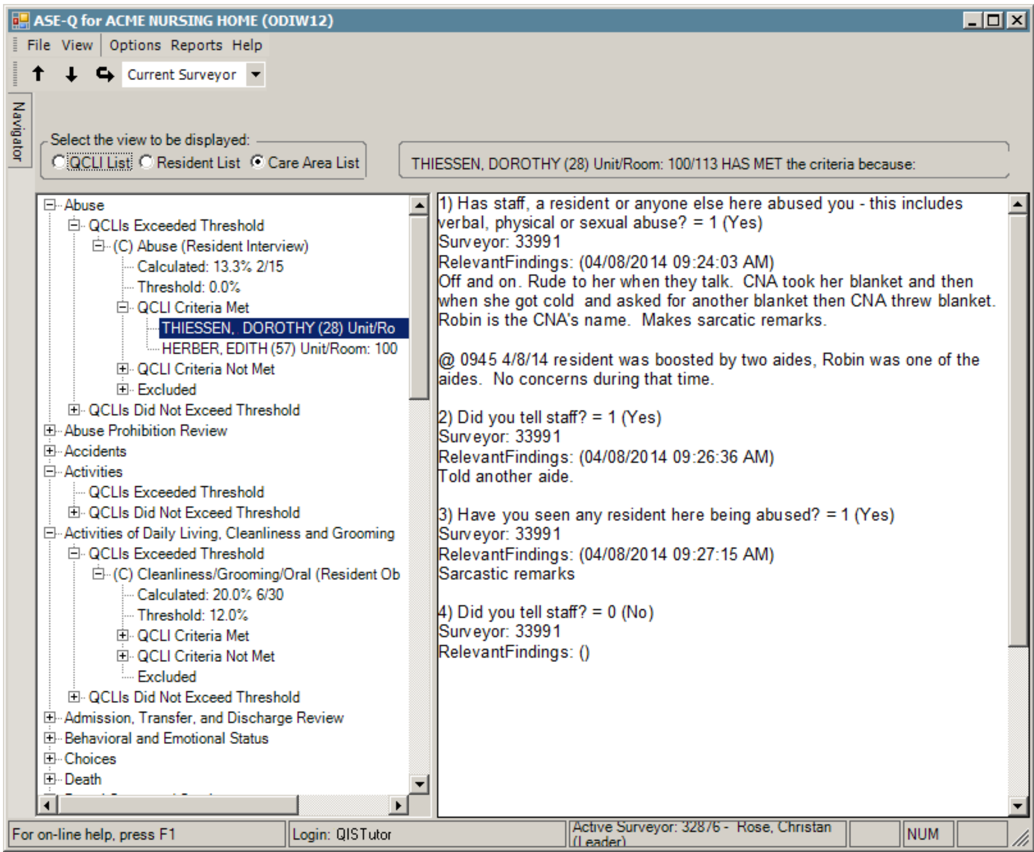


Figure 184: Transition S1 --> S2, QCLI Results from Standard screen

QCLI Results for Revisit

This screen displays data from the current revisit survey.

You can use the QCLI Results for Revisit screen to determine a resident's status in the MDS QCLI calculation (numerator, denominator, or exclusion) for the revisit survey.

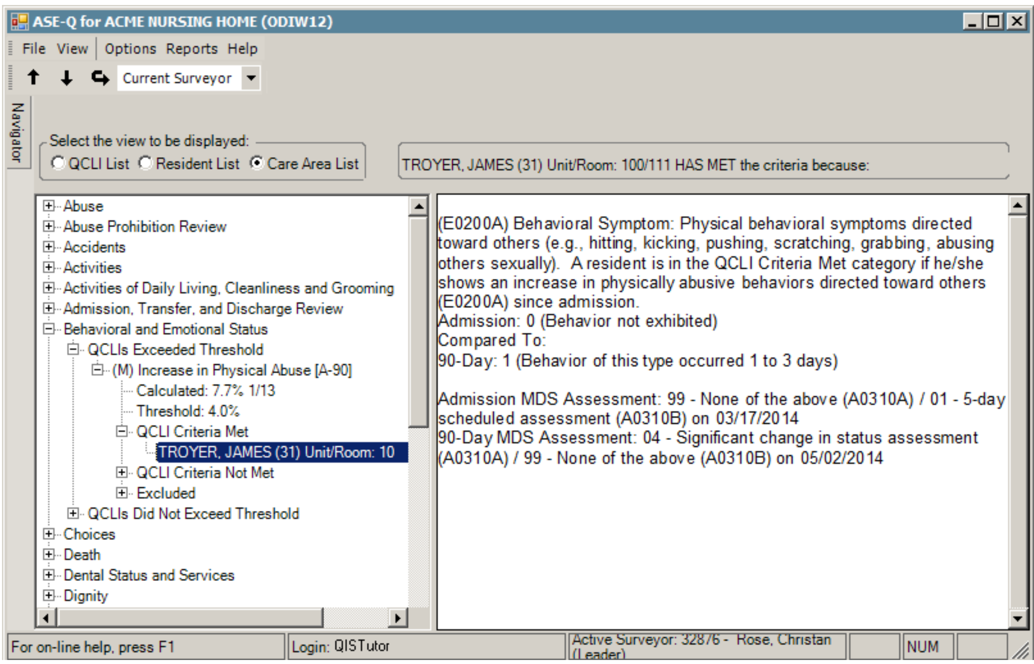


Figure 185: Transition S1 --> S2 - QCLI Results for Revisit screen

Revisit Investigation

You can conduct the revisit by resident, tag, or both. When entering data in the Tags node, data entered in one field automatically populates applicable fields in the alternate option. When you complete a resident, the checkmark appears in the both the By Resident and By Tag check boxes.

The full QA&A care area is investigated on a revisit, and is displayed under the Facility node.

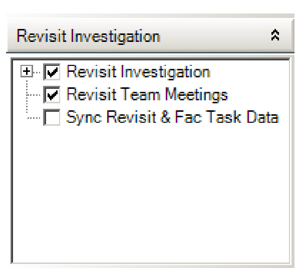


Figure 186: Revisit Investigation menu

The Revisit Investigation menu items expand to show three sub-menus. If entered in the Review Materials screen, PoC text and completion dates are available.

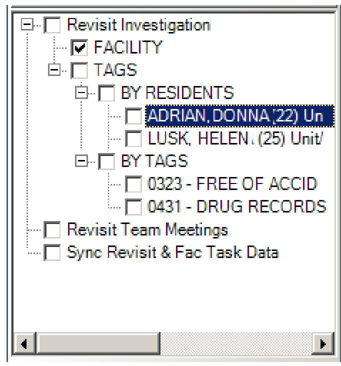


Figure 187: Revisit Investigation - expanded menu

FACILITY

The Facility node contains all mandatory and triggered facility tasks.

For each facility task, the full investigation is displayed in the detail view, including QA&A, and any other facility task initiated during the revisit.

TAGS

The Tags node displays two sub-nodes, **BY RESIDENTS**, and **BY TAGS**. You have the option of investigating by resident or tag.

BY RESIDENTS

Residents who have initiated tags, or who were included in the Revisit Sample, are listed once under this heading. Residents listed in the navigator are sorted by the resident’s last name.

When viewing by Resident, the detail view (right-hand pane), displays all tags for the selected resident, sorted by tag ID, and then by care area description.

BY TAGS

Tags that are initiated, or are part of the Revisit Sample, are listed once under this heading. Tags listed in the navigator are sorted by tag ID (low tag to high tag).

The right-hand pane displays all occurrences of the tag, sorted by the resident’s last name, and then by the care area description.

<LAST, FIRST> (RESIDENT NAME)

Individual resident nodes are available under the Revisit Investigation menu for residents included in the Revisit Sample, and for all care areas initiated during the revisit process.

The detail view contains the full Stage 2 Investigation screen for all care areas initiated for the selected resident. Applicable CE, CE pathway, F-Tag with care area/tag, regulation, interpretive guidance, CMS-2567, and investigative documentation are available for each resident in the detail view.

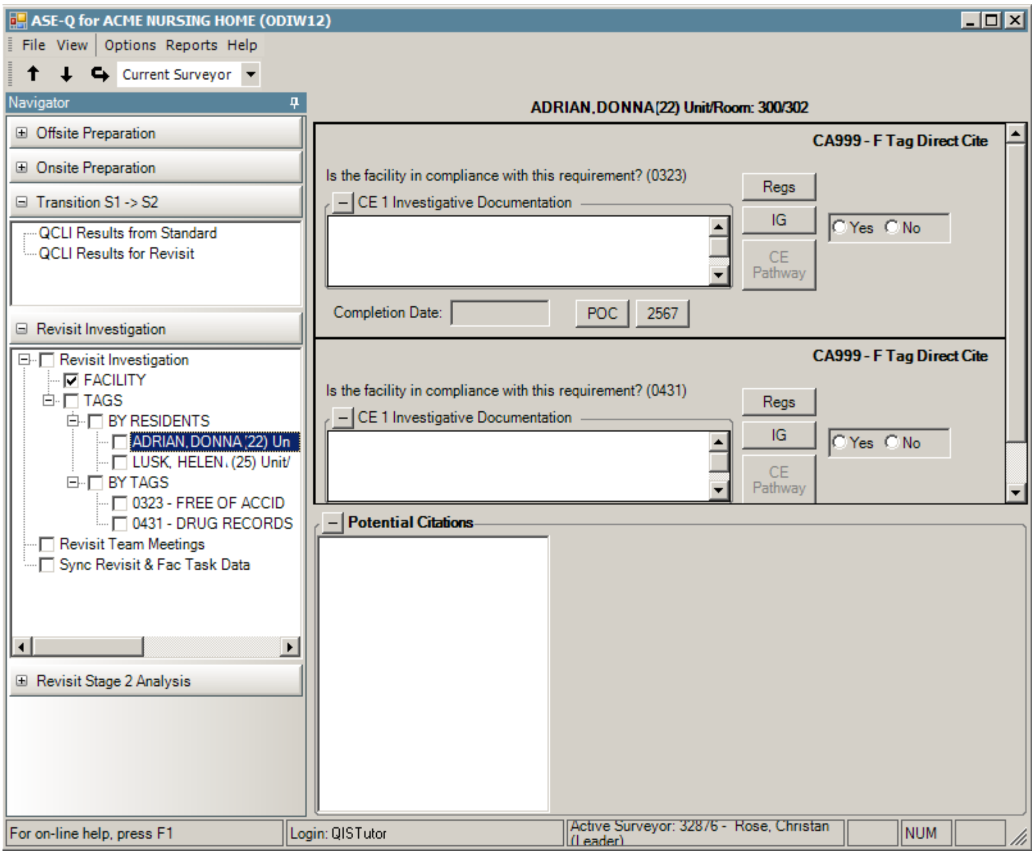


Figure 188: Revisit Investigation - Revisit Investigation screen

To investigate a resident or tag:

1 Select a resident or tag in the navigator.

2 Click the **+** next to CE Investigative Documentation to enter investigative documentation.

3 You can use the right-click menu or press Ctrl-D to enter date and time at the current cursor location in Investigative Documentation.

Your text is automatically saved when you tab out of this field, or move to the Next / Previous screen.

4 If the citation is corrected, select **Yes**.

-or-

If the citation is not corrected, select **No**.

Selecting No expands the Potential Citations documentation field. **Potential Citations documentation is required if you select No.**

Your text is automatically saved when you tab out of this field, or move to the Next / Previous screen.

5 From the droplist, select the tag Severity.

Earn the Checkmark

- Complete revisit investigations for each Care Area / Tag cited on the prior survey.
- Complete revisit investigations for each Care Area / Tag cited during the revisit.
- All CEs must be answered. If a CE = No, you must enter Potential Citation documentation and tag Severity.

Tags Cited Outside the QIS Process

If, during the prior QIS survey, tags are cited on the CMS-2567 form in ASPEN (after the survey), and not through the QIS Tool, the QIS system will not contain the assessment information that is required to build a resident sample. You must initiate these tags during the Revisit Investigation process.

Tags cited outside the QIS process are listed on the Review Materials screen for the revisit survey with the appropriate instructions to initiate residents.

Tags cited within the QIS survey include the date and PoC information. Tags cited outside the QIS process display at the top of the field with the message:

These are the tags for which the system cannot sample. Three residents must be initiated for these tags, as available, during the revisit investigation.

Tags meeting this condition include two scenarios:

- The tag was not included on the Potential Citation screen in QIS, and was cited directly in ASPEN.
- The tag was on the Potential Citation screen in QIS, however, the survey team chose not to cite the tag. Later, the tag was directly cited in ASPEN.

Tags cited outside QIS are included on the Revisit Sample screen, where the team leader can add the required residents to the sample.

Revisit Team Meetings

The Revisit Team Meetings screen is only enabled for the team leader. Three text fields are provided, and documentation is required in each text field.

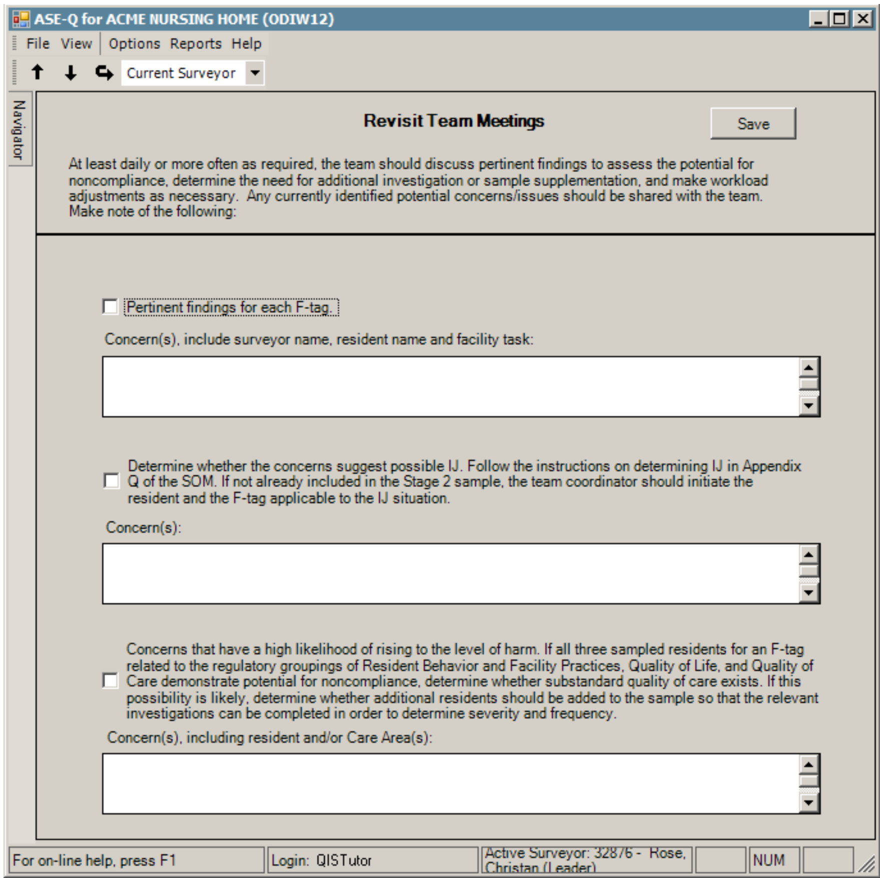


Figure 189: Revisit Investigation - Revisit Team Meetings screen

Revisit team meetings should occur daily, or as often as required to discuss the potential for noncompliance, determine the need for additional investigation or sample supplementation, and make any workload adjustments.

Earn the Checkmark

Each section must be completed by the team leader before continuing to the next dependent screen. The checkbox is automatically checked when you tab out of the notes field after entering text.

Sync Revisit & Fac Task Data (USB)

Secondary surveyors synchronize their laptops with the team leader's USB drive to transfer their revisit investigation findings.

To sync revisit & fac task data (USB) - secondary surveyors to team leader:

1. Insert the USB drive into the secondary laptop.
2. Select **Sync Revisit & Fac Task Data**.
3. Select **You are using the USB method of synchronization, please insert your flash drive before synchronizing**.
4. Click **Synchronize Now**.

   The QIS Synchronization window opens with a list of external devices plugged into the laptop. In most cases, only the USB drive is listed.
5. Select the USB drive or click **Browse** to navigate to another location, then click **OK** to sync.

   The Status section of the Synchronize Data window shows the final status of the sync. A message indicates if the sync was successful or if there is an error.

   When the sync is successful, and you leave the screen, QIS refreshes the Navigator.
6. Safely remove the USB drive according to your state's procedures.

To sync revisit & fac task data (USB) - team leader:

1. Insert the USB drive into the team leader's laptop. Close the drive window if it opens.
2. Select **Sync Revisit & Fac Task Data**.
3. Select the checkbox next to all the team members using the USB synchronization method.
4. Select the checkbox next to **You are using the USB method of synchronization, please insert your flash drive before synchronizing** to activate the **Synchronize Now** button.
5. Click **Synchronize Now**.

   The QIS Synchronization window opens with a list of external devices plugged into the laptop. In most cases, only the USB drive is listed.

6 Select the USB drive, then click OK to sync.

Note: The USB drop-down in the QIS Synchronization window displays the device name if one was assigned. If you have multiple, un-named USB drives plugged into your laptop, click **Browse** for full navigation features.

The Status section of the Synchronize Data window shows the final status of the sync. A message indicates if the sync was successful or if there is an error.

7 Safely remove the USB drive according to your states's procedures.

Earn the Checkmark

The team leader must put a checkmark next to all members of the survey team, indicating all surveyors have been selected for synchronization.

After synchronizing, select **Revisit Stage 2 Analysis**. The software will insert the checkmark for Sync Revisit & Fac Task Data.

For secondary surveyors, the checkmark is selected automatically after a successful sync.

For all QIS survey types, if only one surveyor is conducting the QIS survey, this screen is automatically greyed out.

Revisit Stage 2 Analysis

The Revisit Stage 2 Analysis screen is enabled only for the team leader.

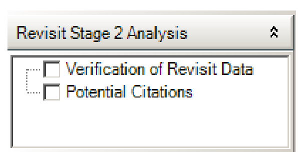


Figure 190: Revisit Stage 2 Analysis menu

Verification of Revisit Data

The Verification of Revisit Data screen displays any missing data from the revisit investigation process.

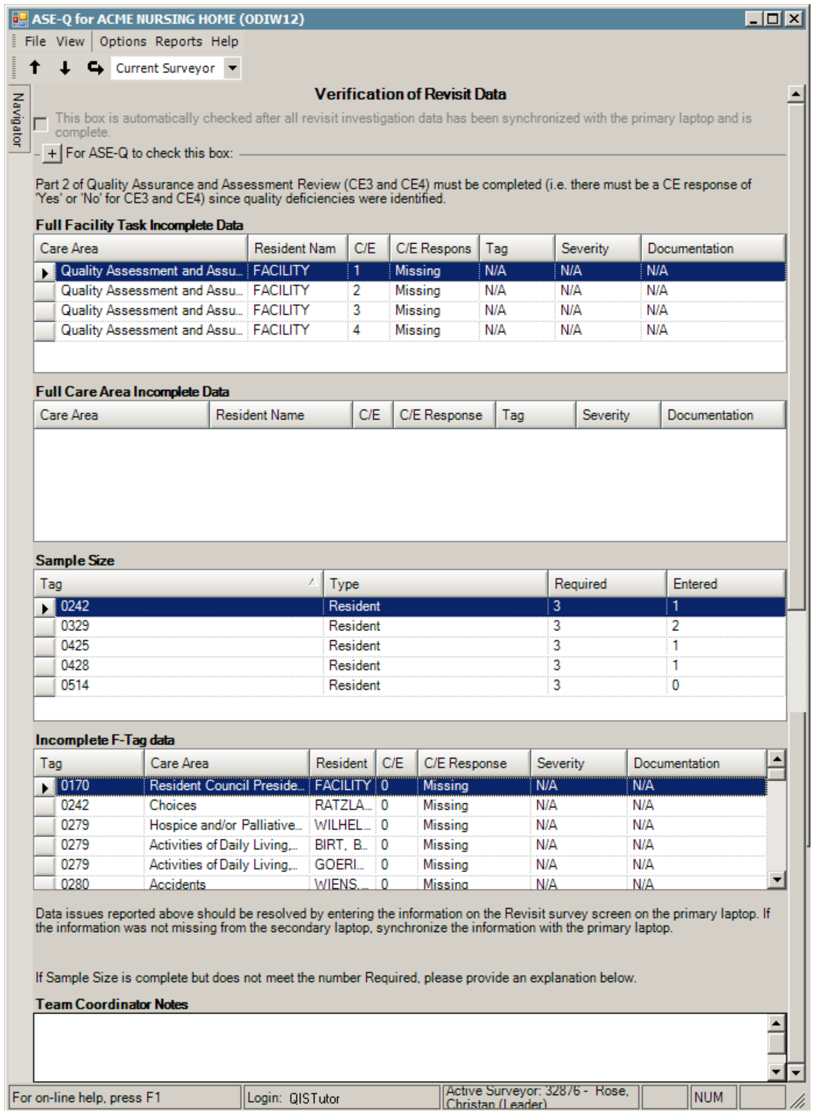


Figure 191: Revisit Stage 2 Analysis - Verification of Revisit Data screen

There are five sections: Full Facility Task Incomplete Data, Full Care Area Incomplete Data, Sample Size, Incomplete F-Tag Data, and Team Coordinator Notes.

Full Facility Task Incomplete Data

This section includes QA&A tasks, plus any other facility task that was initiated during the revisit.

The screen displays any unanswered CE question. Also, for any CE answered No, any missing documentation and severity are displayed.

For facility-only tags, one resident, “FACILITY” is investigated.

If data appears in this grid, return to the Revisit Investigation screen to complete the information on the team leader’s laptop.

If all data is complete, this section is blank.

Note: Exception: Extended Survey may be incomplete.

Full Care Area Incomplete Data

This section includes full care areas that were initiated during the revisit.

The screen displays any unanswered CE question. Also, for any CE answered No, any missing documentation and severity are displayed.

If data appears in this grid, return to the Revisit Investigation screen to complete the information on the team leader’s laptop.

If all data is complete, this section is blank.

Sample Size

If a tag appears in this section, the tag did not have at least three sampled residents. If residents are available for the investigation, you must initiate the required number of residents and return to the Revisit Investigation screen to complete the revisit investigation.

If three residents are not available, use the **Team Coordinator Notes** section to provide an explanation.

Note: If you do not have enough residents, you cannot receive a checkmark for the Verification of Revisit Data screen, but you can still complete the survey.

Incomplete F-Tag data

This section displays any incomplete tags.

If data appears in this grid, return to the Revisit Investigation screen to complete the information on the team leader’s laptop.

If all data is complete, this section is blank.

Team Coordinator Notes

If the sample size is complete, but the required number of residents are not available, use this section to explain why you are unable to complete the sample size verification.

Earn the Checkmark

To continue to Potential Citations and earn the checkmark for Verification of Revisit Data all revisit data must be complete for the entire revisit sample and all facility tasks, and QA must be cleared.

Potential Citations

The survey team uses the Potential Citations screen to review a list of all possible citations generated in the Revisit Investigation by all surveyors on the team, to determine whether a tag should be cited for the facility or not.

All tags must have a cited status:

- Cite - Select at least one tag from the list, then select the S/S for that tag.
- Don’t Cite - Enter a reason for not citing the tag.

The Potential Citations screen displays the tags in three distinct sets of data categories based on the responses from the revisit investigation and the source of the tag. Each data category appears on a separate tab.

- Potential - potential citations for new tags cited on the revisit survey. (Cite or Don’t Cite).
- Re-cite - tags carried over from the prior survey that have the potential to be re-cited on the revisit survey. (Cite or Don’t Cite).
- Corrected - tags from the prior survey investigated on the revisit and are now in compliance. (Enter Corrected Date).

Answers to the CE questions during the Revisit Investigation determine how tags are categorized on the Potential Citations screen.

Note: All tabs under Potential Citations are read-only for secondary surveyors and enabled for the team leader.

The Potential and Re-cite tabs include a read-only Potential Citation Documentation section that compiles the Revisit Investigation documentation from all surveyors, care areas, and residents of the selected Potential Citation or Re-cite. The documentation is sorted by Severity and Resident Name.

Potential tab

This category of data contains all potential tags new to the revisit. These tags are generated by answering No to any CE question from newly initiated tags (not carried forward from prior survey), care areas, and facility tasks.

The screen behaves like the Potential Citations screen in the recertification survey process. All tags require a Cite or Don't Cite decision.

- If Don't Cite is selected, a reason is required.
- If Cite is selected, the residents and/or care areas that lead to the cite decision must be selected and a scope/severity entered.

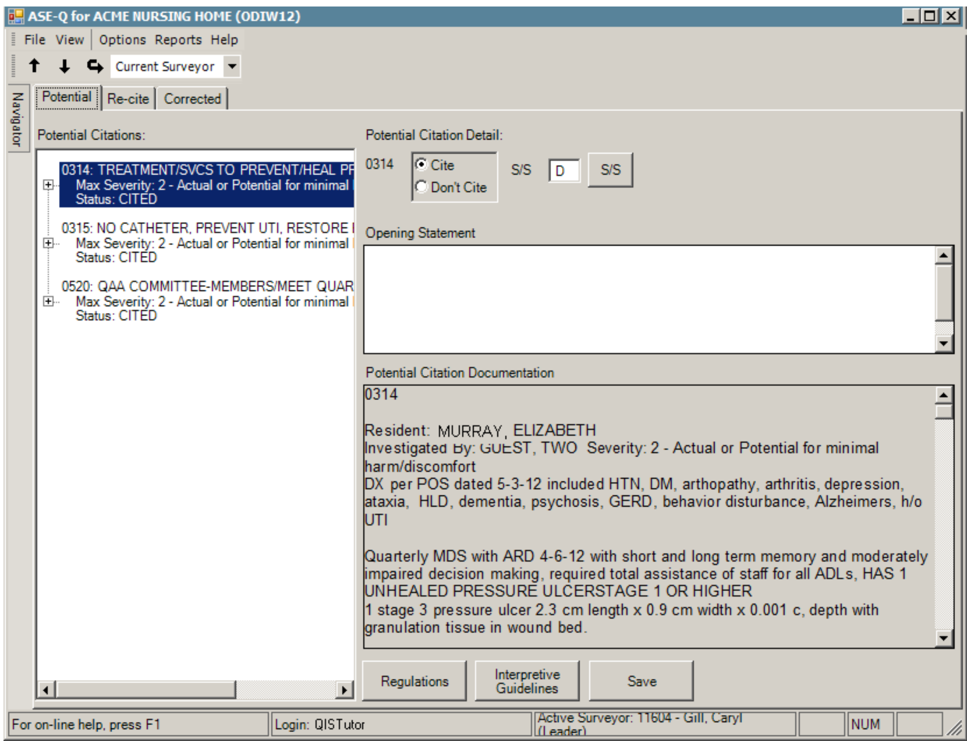


Figure 192: Revisit Stage 2 Analysis - Potential Citations: Potential tab (default)

Cite a tag:

1. On the Potential tab, expand the F-Tag node.
2. Select the Facility or Resident checkbox.
3. Under Potential Citation Detail, select **Cite**.
4. Click **S/S** to select the Scope and Severity.
5. In the Opening Statement text box, type the reasons for citing the tag. (The field is disabled until a the tag is re-cited).

Don't cite a tag:

1 On the Potential tab, expand the F-Tag node.

2 Select the Facility or Resident checkbox.

3 Under Potential Citation Detail, select **Don't Cite**.

4 Select a **Reason for Not Citing** from the droplist.

Note: The Potential Citation Documentation section is a read-only compilation of Revisit Investigation documentation from all surveyors, care areas, and residents of the selected Potential Citation or Re-cite, sorted by Severity and Resident Name.

Re-cite tab

This set of data contains all tags carried over into the revisit from the prior survey, where there was at least one No response to the CE question.

All tags carried forward from the prior survey require a Cite / Don't Cite decision.

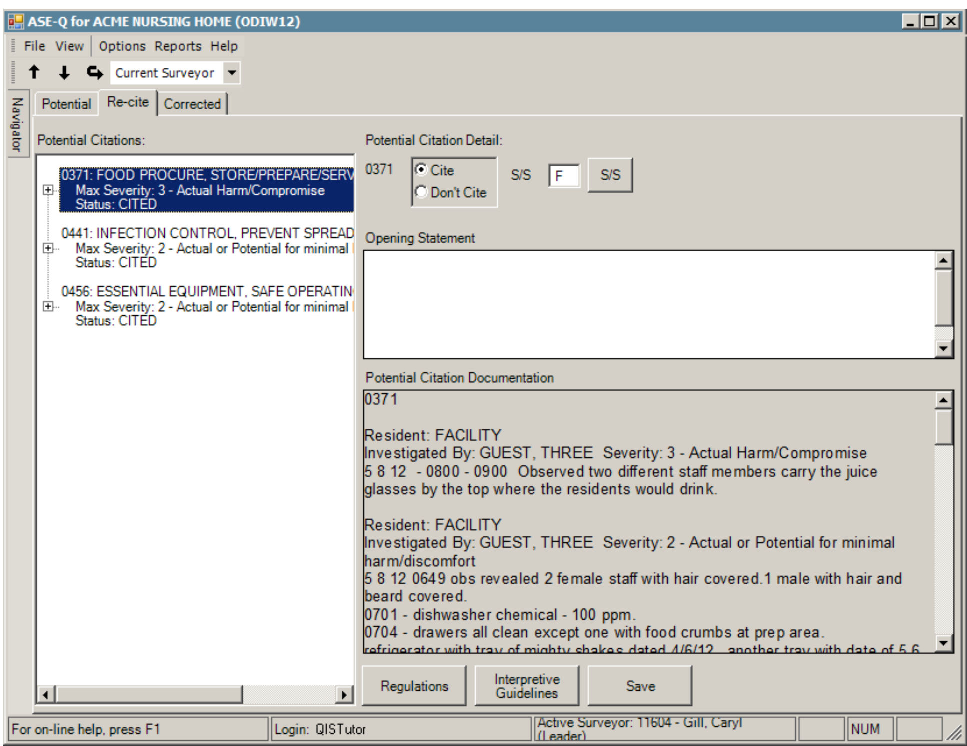


Figure 193: Revisit Stage 2 Analysis - Potential Citations: Re-cite tab

Cite a tag:

1 On the Re-Cite tab, expand the F-Tag node.

2 Select the Facility or Resident checkbox.

3 Under Potential Citation Detail, select **Cite**.

4 Click **S/S** to select the Scope and Severity.

5 In the Opening Statement text box, type the reasons for citing the tag. (The field is enabled after selecting Cite).

Don't cite a tag:

1 On the Re-Cite tab, expand the F-Tag node.

Do not select the Facility or Resident checkbox (for Facility and Resident tags, if you choose Don't Cite, you cannot select a resident).

2 Under Potential Citation Detail, select **Don't Cite**.

3 Select a **Reason for Not Citing** from the droplist.

If you select **Other, specify below.**, you are required to type the **Reason** in that field.

4 Tags that are not re-cited are moved to the Corrected tab.

Corrected tab

This set of data contains tags that meet one of the following In Compliance conditions:

To complete the corrected tab:

1 All CE responses = Yes (In Compliance) for the tag during the revisit investigation.

2 At least one CE response = No (Not In Compliance) for the tag during the revisit investigation.

- If a tag meets this condition, it is moved to the Re-Cite tab for a Cite / Don't Cite decision.
- If the Re-cite decision is Don't Cite, the tag moves to the Corrected tab.

The Completion Date grid lists the In Compliance tags from the revisit survey.

- **F-Tag** - Read-only - Displays a list Care Areas and Residents investigated for the tag.
- **Completion Date** - ***Required*** - Displays the previously entered Completion Date. If this field is blank, select the Completion Date from the drop-down calendar.

- **Correction Date** - *Not Required* - If desired, select the Correction Date from the drop-down calendar.

Note: Select **Completion Date Guidance** to review the Revisit/Date of Compliance Policy.

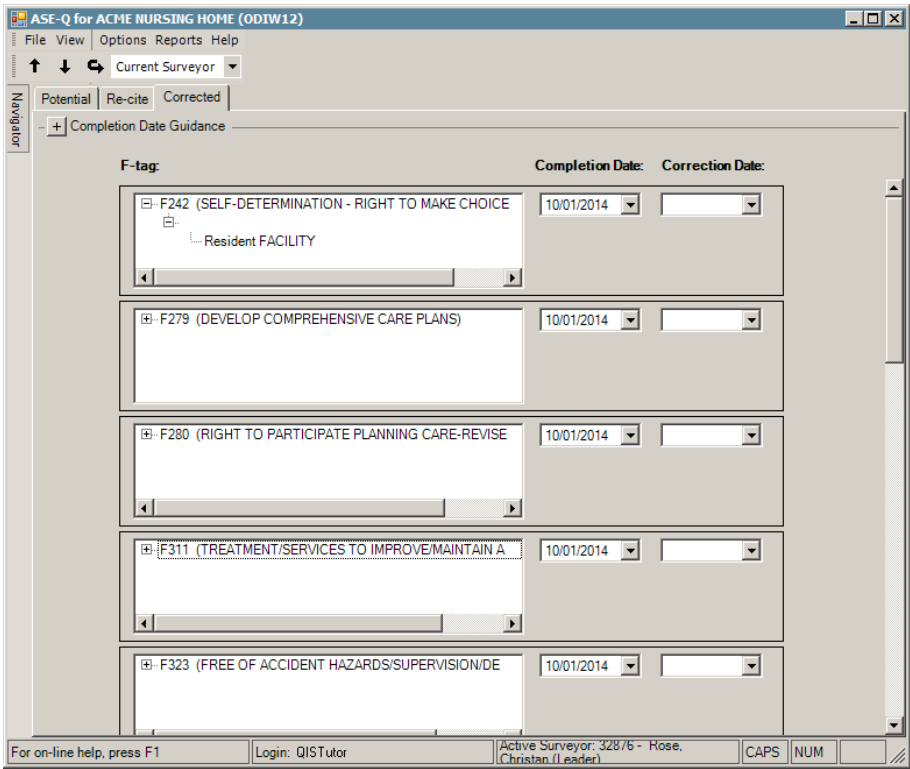


Figure 194: Revisit Stage 2 Analysis - Potential Citations: Corrected tab

Earn the Checkmark

- **Potential** tab - All new tags have a Cite / Don't Cite decision.
- **Re-cite** tab - All tags carried forward to the revisit where at least one CE response is No have a Cite / Don't Cite decision.
- **Corrected** tab - All tags have Completion Dates entered.

Reports

The Reports menu adds report processing options specific to revisit surveys.

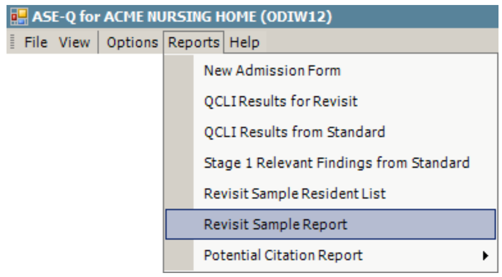
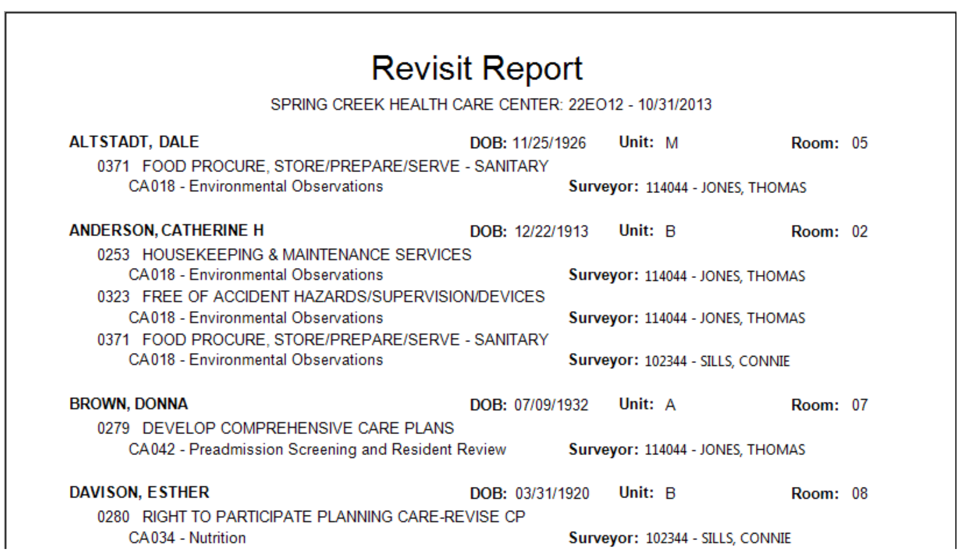


Figure 195: QIS Revisit Reports menu

The following reports are available:

- New Admission Form
- QCLI Results for Revisit
- QCLI Results from Standard
- Stage 1 Relevant Findings from Standard
- Revisit Sample Resident List
- Revisit Sample Report - This report is comparable to the Stage 2 Report. The report lists each resident, resident ID, unit and room number, associated tag with the mapped care area(s) or task, and the assigned surveyor.



Revisit Report

SPRING CREEK HEALTH CARE CENTER: 22EO12 - 10/31/2013

ALTSTADT, DALE **DOB:** 11/25/1926 **Unit:** M **Room:** 05
0371 FOOD PROCURE, STORE/PREPARE/SERVE - SANITARY
CA018 - Environmental Observations **Surveyor:** 114044 - JONES, THOMAS

ANDERSON, CATHERINE H **DOB:** 12/22/1913 **Unit:** B **Room:** 02
0253 HOUSEKEEPING & MAINTENANCE SERVICES
CA018 - Environmental Observations **Surveyor:** 114044 - JONES, THOMAS
0323 FREE OF ACCIDENT HAZARDS/SUPERVISION/DEVICES
CA018 - Environmental Observations **Surveyor:** 114044 - JONES, THOMAS
0371 FOOD PROCURE, STORE/PREPARE/SERVE - SANITARY
CA018 - Environmental Observations **Surveyor:** 102344 - SILLS, CONNIE

BROWN, DONNA **DOB:** 07/09/1932 **Unit:** A **Room:** 07
0279 DEVELOP COMPREHENSIVE CARE PLANS
CA042 - Preadmission Screening and Resident Review **Surveyor:** 114044 - JONES, THOMAS

DAVISON, ESTHER **DOB:** 03/31/1920 **Unit:** B **Room:** 08
0280 RIGHT TO PARTICIPATE PLANNING CARE-REVISE CP
CA034 - Nutrition **Surveyor:** 102344 - SILLS, CONNIE

Figure 196: QIS Revisit Survey - Revisit Report

- Potential Citations Report

QIS RO Comparative Surveys

The following information is copied from the State QIS Survey to the RO Comparative QIS Survey:

- Review Materials - Information is copied from the SA survey.
- RESIDENT POOL - The entire resident pool from the state survey is copied to the RO comparative survey, including the MDS generated resident pool and any residents added on site by the state survey team.
- Admission & Census Samples - The final admission and census samples from the state survey are copied to the RO comparative survey as the starting sample. The SA facility census number and sample size come forward into the RO comparative.
- Room & Unit Numbers - Room and unit numbers carry forward from the state survey to the RO comparative survey.
- Stage 2 Sample - The Stage 2 sample remains marked on the state survey and RO comparative survey. This means that for any care area that both the SA and RO trigger, the same residents investigated by the SA will be included in the RO sample.
- QIS ASSESSMENT DATA - MDS 3.0 data used during the state survey is copied forward to the RO comparative survey, ensuring that all the MDS 3.0 QCLI calculations and supporting data remain the same between both surveys.
- QCLI CALCULATIONS - MDS QCLI calculations from the state survey are copied to the RO comparative survey.
- RESIDENT STATUS FOR QCLIs - The resident status (numerator, denominator, or excluded) for all MDS QCLIs is copied from the state survey to the RO comparative survey.
- LIABILITY NOTICE SAMPLE - The residents selected for inclusion in the Liability Notice sample on the state survey are copied to the RO comparative survey.

  In addition, the residents selected for inclusion for Resident Council, Infection Control, and Abuse Prohibition on the state survey are copied to the RO comparative survey.
- The residents investigated by the state for the Unnecessary Medication Review and the mandatory initiation (e.g., hospice or PASRR) are included in the RO comparative survey.

The following information *is not* copied from the State QIS Survey to the RO Comparative QIS Survey:

- Resident Status - Resident status for non-MDS QCLIs is not copied, it is recalculated during the RO survey based on the Stage 1 responses.
- In Facility / Discharged - In Facility / Discharged settings from the state survey are cleared in the RO comparative survey. The RO comparative survey team will re-reconcile the sample based on information from the facility at the time they conduct the survey.
- Stage 1 Assignments - The Stage 1 Assignments are cleared in the RO comparative survey.
- STAGE 2 SAMPLE AND RESIDENTS - Default mandatory facility tasks are added to the RO comparative survey.
- The SA CMS-2567 tags.

The state QIS survey must be complete before you can create a QIS RO Comparative survey. If the state survey is flagged as a QIS survey but is not marked as complete, the RO will receive an error that the FMS survey cannot be created until the state has completed and imported the QIS survey information.

Note: When creating an RO Comparative survey, the Quality Indicator Survey checkbox is automatically selected and disabled.

To create an RO comparative survey in ARO:

1. From the Tracking menu, select **FMS Tracking** to open the FMS Tracking window.
2. Click **Add**, then enter the CCN# (provider number) in the FMS Provider Selection window that appears,

   -or-

   Click **Find** to locate the provider and insert the number.
3. Click **OK** in the FMS Provider Selection window and **Yes** in the Confirm Provider window.
4. In the FMS Add/Update screen, select **A Comparative** for the Type of Federal Survey drop down.

5 Select the Type and Extent of Federal (FMS) Survey.

Note: In ARO, when the RO comparative survey shell is associated with a state survey shell, the system automatically selects the QIS indicator on the RO survey shell. The system automatically determines if the survey is a QIS survey, you cannot set the flag manually.

Note: When the system sets the RO comparative survey shell to QIS, the QIS data version is automatically set to the same version as the state survey, regardless of the survey start date.

6 Click **Select** in the State Agency Survey section to display the Select Related State Survey window.

7 Select the applicable State Agency survey, then click **OK**.

The selected survey information appears in the State Agency Survey section.

8 In the Federal Survey section, click **Select** on the Health survey row.

Note: If the state survey is a QIS survey, the RO comparative survey must be a QIS survey.

9 Answer **Yes** or **No** as appropriate to the questions.

10 Click **Upload**.

If the State Survey is not QIS 4.00 or higher, the following warning message is displayed.

Figure 197: RO Comparative Survey - Warning Message: The State Survey is not version 4.00 or higher, so the RO Comparative Survey will be set as a Non-QIS Survey.

11 If the warning message displays, click **OK**.

12 Select **Prevalidate and Upload** on the FMS Transaction window to check for errors with the FMS Survey. If no errors are found, the system automatically creates the FMS Survey.

Click **Done** to return to the FMS Tracking window.

To verify the RO comparative survey is a QIS survey:

1 Expand the facility for whom you just created the survey, then expand the FMS Surveys node to display the RO Comparative Survey.

2 Right-click the RO Comparative Survey, if the popup menu displays the QIS Tool option, then the RO Comparative Survey is a QIS Survey.

If the QIS Tool option is not displayed in the popup menu, then the RO Comparative Survey in not a QIS Survey.

-or-

1 On the popup menu, select the **Survey Properties** option.

2 In the Survey Properties window, if the RO Comparative Survey is a QIS Survey, the Quality Indicator Survey checkbox is selected and disabled.

3 If the checkbox is blank and disabled, then the RO Comparative Survey is not a QIS Survey.

Export a QIS RO Comparative Survey from ARO

The completed state agency survey is transferred with the RO Comparative survey upon export from ARO. Any tags cited on the state agency survey do not transfer to ASE-Q.

The Survey Export window provides the option to select other related surveys with the transfer through the Include related QIS survey shells checkbox. The checkbox is enabled if at least one of the surveys in the existing list is a QIS survey. If none of the surveys is a QIS survey, the checkbox is disabled.

When exporting QIS surveys from ARO, and importing QIS surveys into ASE-Q, the checkbox is selected by default. In all other situations, the checkbox is cleared by default.

If the *Include related QIS survey shells* checkbox is selected, then all selected surveys transfer normally, however, additional related surveys may also be transferred. Related surveys are defined as:

1 If one of the selected surveys is a RO Comparative survey marked as QIS, then the related survey is the state survey being compared.

2 If one of the selected surveys is an onsite QIS revisit survey, then the following related surveys are added to the list when the checkbox is selected:

- The original 11 survey.
- All prior revisit surveys (i.e. if the surveyor is exporting the 14 revisit survey – the 12 and 13 surveys will be added).

Generating the Stage 2 Sample when calculating QCLI

The standard sampling rules apply to the RO Comparative survey with one exception, the first priority for selecting eligible residents is given to residents that were in the Stage 2 sample of the state survey. Then, if the sample size is less than three, the standard rules are applied to create the final sample.

More ...

"Export the Survey from ACO (USB)" on page 43

Import a QIS RO Comparative Survey into ASE-Q

Recertification import procedures apply when importing a QIS RO Comparative survey, however, RO encryption procedures may necessitate additional steps.

More ...

"Import the Survey into ASE-Q (USB)" on page 46

Conduct an RO Comparative Survey for QIS

For Stage 1 and Stage 2 investigations on a RO comparative survey, any resident included in the state agency sample is visually identified (by an S) on applicable screens, so the RO comparative survey team can easily distinguish residents from the state's sample.

When the QCLIs are calculated on an RO comparative survey, any resident that was in the state's Stage 2 sample and is still eligible, is automatically included, regardless of other sampling priority rules.

When the RO comparative survey team conducts a QIS survey, they follow the workflow for conducting a QIS recertification survey.

Revisits to an RO Comparative Survey

When a QIS comparative is conducted and tags are cited that require an onsite QIS revisit, the SA at the direction of the RO will create a QIS revisit for the QIS comparative. When exported from ACO/ARO, QIS generates the sample from the prior FMS survey using the same rules as for a state revisit survey. The workflow is the same as for a state revisit survey.

More ...

"Conduct the QIS Survey" on page 57
"QIS Revisit Surveys" on page 135

Supporting Materials

Medication Administration Form

The medication administration form was automated for ASE-Q. If you are uncomfortable using a laptop to enter medication information there is a PDF file available.

The PDF file can be printed and used to enter medication information. Surveyors still need to enter the information into the QIS application.

The form is located at:
http://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertificationGenInfo/index.html?redirect=/surveycertificationgeninfo/

QIS Survey Table of Completion Criteria

Menu / Sub-Menu Item	Surveyor Type	Completion Criteria	Dependencies
Offsite Preparation			
Review Materials	P	All 10 review items on screen need to be complete (8 completed fields plus 2 surveyors entered for the tour)	N/A
Entrance Documents	P	All 3 forms need to be printed	N/A
Mandatory Facility Task Assignments	P	All mandatory facility tasks have been assigned	N/A
Supplies and Setup	P&S	N/A	N/A
Team Roster	P&S	All information has been entered (type of sync & database name info).	N/A
Sync Offsite Prep Info and Assignments	P&S	On primary - data has been successfully exported from primary. On secondary - data has been successfully imported from primary.	Offsite Prep Information, Entrance Documents, Mandatory Facility Task Assignments, Sync Setup
Onsite Preparation			
Upon Entrance to the Facility	P	N/A	N/A
Entrance Conference	P	Date and time of entrance conference entered and notes entered.	N/A
Initial Tour	P & S	All 6 steps have been checked as complete.	N/A
Returned Resident Lists for Reconciliation	P	All checkboxes complete (i.e. all forms received from facility)	N/A

Menu / Sub-Menu Item	Surveyor Type	Completion Criteria	Dependencies
Resident Reconciliation	P	All residents have a residency status of Discharged or In Facility entered. Replacement residents for discharged census sample residents have been entered. Room numbers entered for all census sample residents and In Facility admission sample residents.	N/A
Stage 1 Assignments	P	All census residents have been assigned.	N/A
Sync Stage 1 Samples & Workload	P & S	On primary - data has been successfully exported to all team members. On secondary - data has been successfully imported from primary.	N/A
Stage 1 Reports	P	Census and Admission reports printed or saved to disk.	Stage 1 Assignments
Initial Team Meeting	P	Notes entered in each Notes field.	Stage 1 Assignments, Stage 1 Reports
Stage 1 Survey			
Admission	P & S	All questions have been answered or skipped.	N/A
Census	P & S	All questions have been answered or skipped.	N/A
Stage 1 Team Meetings	P	All 5 items are complete.	N/A

Menu / Sub-Menu Item	Surveyor Type	Completion Criteria	Dependencies
Sync Stage 1 Survey Data	P & S	On primary - data has been successfully imported from all secondary machines. On secondary - data has been successfully exported.	N/A
Mandatory Facility Tasks			
Dining Observation	P & S	All questions either answered or the system determines they are N/A. A cite and severity decision made for all potential tags, including documentation.	Sync Offsite Prep Info and Assignments complete and current surveyor is assigned to this task.
Infection Control & Immun	P & S	All questions either answered or the system determines they are N/A A cite and severity decision made, including Potential Citations documentation, for all potential tags.	Sync Offsite Prep Info and Assignments complete and current surveyor is assigned to this task.
Kitchen/Food Service	P & S	All questions either answered or the system determines they are N/A. A cite and severity decision made, including Potential Citations documentation, for all potential tags.	Sync Offsite Prep Info and Assignments complete and current surveyor is assigned to this task.

Menu / Sub-Menu Item	Surveyor Type	Completion Criteria	Dependencies
Liability Notice & Beneficiary Appeal	P & S	All questions either answered or the system determines they are N/A. A cite and severity decision made, including Potential Citations documentation, for all potential tags.	Sync Offsite Prep Info and Assignments complete and current surveyor is assigned to this task.
Medication Administration	P & S	All questions either answered or the system determines they are N/A. A cite and severity decision made, including Potential Citations documentation, for all potential tags.	Sync Offsite Prep Info and Assignments complete and current surveyor is assigned to this task
Medication Storage	P & S	All questions either answered or the system determines they are N/A. A cite and severity decision made, including Potential Citations documentation, for all potential tags.	Sync Offsite Prep Info and Assignments complete and current surveyor is assigned to this task.
Quality Assessment & Assurance (QA&A) Review	P & S	All questions either answered or the system determines they are N/A. A cite and severity decision made, including Potential Citations documentation, for all potential tags.	Sync Offsite Prep Info and Assignments complete and current surveyor is assigned to this task.

Menu / Sub-Menu Item	Surveyor Type	Completion Criteria	Dependencies
Resident Council Rep	P & S	All questions either answered or the system determines they are N/A. A cite and severity decision made, including Potential Citations documentation, for all potential tags.	Sync Offsite Prep Info and Assignments complete and current surveyor is assigned to this task.
Transition S1 -> S2			
Verification of Stage 1 Data	P	All admission and census questions complete OR Notes entered to explain why data is missing.	Sync Stage 1 Survey Data
QCLI Results	P&S	Admission and Census QCLIs calculated and sample generated.	Verification of Stage 1 Data
Sync Stage 1 and QCLI Data	P&S	On primary - data has been successfully exported to all team members. On secondary - data has been successfully imported from primary	QCLI Results
Transition Meeting	P	All 4 areas complete.	Transition Reports
Transition Reports	P&S	QCLI and relevant finding reports printed or saved.	Sync Stage 1 and QCLI Results Data
Assignment	P	All residents assigned.	Transition Meeting
Sync Sample & Assignments	P&S	On primary - data has been successfully exported to all team members. On secondary - data has been successfully imported from primary	Assignments
Survey			

Menu / Sub-Menu Item	Surveyor Type	Completion Criteria	Dependencies
Survey	P&S	All questions answered or the system has determined they are N/A for all sample and all facility-level tasks and Initiated tags. A cite and severity decision made for all potential tags, including Potential Citations documentation.	Sync Sample & Assignments
Team Meetings	P	All 10 questions are complete.	N/A
Sync and Facility Task Data	P&S	On primary - data has been successfully imported from secondary machines. On secondary - data has been successfully exported.	N/A
Analysis			

Menu / Sub-Menu Item	Surveyor Type	Completion Criteria	Dependencies
Verification of Data	P	Mandatory Facility tasks must be complete (nothing in that grid). Additional Information – is itemized in the grid when the number entered is less than the number required. The grid must be complete (nothing in that grid). If Additional Information is incomplete, you can enter an explanation in the text area at the bottom of the form. Exception: Liability Notices & Beneficiary Appeal Rights Review for CE1 must be complete (must have at least one resident entered) if CE1 is answered Yes. Extended is excluded.	Sync and Facility Task Data
Analysis and Decision Making	P	All 4 questions complete.	N/A

Menu / Sub-Menu Item	Surveyor Type	Completion Criteria	Dependencies
Potential Citations	P	Entered by Team Leader. Other team members have read-only views of their potential cites. All tags require Cite or Don't Cite decision. For cited tags, at least one resident/facility must be selected and S/S entered. For Not Cited tags, a reason for not citing must be provided and no residents/facility checked.	N/A
Reports	P	Potential citation report printed or saved to disk.	Potential Citations
Exit Conference	P	N/A	Potential Citations

QIS Revisit Survey Table of Completion Criteria

Menu / Sub-Menu Item	Surveyor Type	Completion Criteria	Dependencies
Offsite Preparation			
Review Materials	P	All 10 review items on screen need to be complete (8 completed fields plus 2 surveyors entered for the tour)	N/A
Team Roster	P&S	All information has been entered (type of sync & database name info).	N/A
Sync Revisit Offsite Prep Info	P&S	On primary - data has been successfully exported from primary. On secondary - data has been successfully imported from primary.	Offsite Prep Information, Entrance Documents, Mandatory Facility Task Assignments, Sync Setup
Onsite Preparation			
Revisit Assignment			
Sync Revisit Sample and Workload	P & S	On primary - data has been successfully exported to all team members. On secondary - data has been successfully imported from primary.	N/A
Transition S1 -> S2			
QCLI Results from Standard			
QCLI Results for Revisit			
Revisit Investigation			

Menu / Sub-Menu Item	Surveyor Type	Completion Criteria	Dependencies
Revisit Investigation		All CEs answered. CE=No, plus Severity and potential citations document ion entered.	
Revisit Team Meetings		All three fields completed.	
Sync Revisit & Fac Task Data		On primary - data has been successfully imported from secondary machines. On secondary - data has been successfully exported.	
Revisit Analysis			
Verification of Revisit Data		All grids cleared, excluding Extended. Documentation notes entered for Sample Size grid.	
Analysis and Decision Making	P	All 4 questions complete.	N/A
Potential Citations	P	Entered by Team Leader. Other team members have read-only views of their potential cites. All tags require Cite or Don't Cite decision. For cited tags, at least one resident/facility must be selected and S/S entered. For Not Cited tags, a reason for not citing must be provided and no residents/facility checked.	N/A

QIS Recertification Survey Sync Points

The table below lists each sync point, the direction of sync, and the file name created.

Sync Point	**Direction**	**File Name**
Sync Offsite Prep Info and Assignments	Leader to Secondary; required	OFFSITE PREP SYNC-<leader *staffID*>.ZIP
Sync Stage 1 Samples and Workload	Leader to Secondary; required	S1 SYNC-<leader *staffID*>.ZIP
Sync Stage 1 Survey Data	Secondary to Leader; required	S1 SURVEY SYNC-<secondary *staffID*>.ZIP
Sync Stage 1 & QCLI Data	Leader to Secondary; required	QCLI SYNC-<leader *staffID*>.ZIP
Sync Sample & Assignments	Leader to Secondary; required	S2 SAMPLE SYNC-<leader staffID>
Sync & Fac Task Data	Secondary to Leader; required	S2 SYNC-<secondary *staffID*>.ZIP