

# Commonwealth of Pennsylvania

## Electronic Submission of the Plan of Correction

The Plan of Correction Web Site has been developed to allow Older Adult Daily Living Centers (OADLC) and Assisted Living Residences (ALR) to electronically submit a plan of correction (POC) for surveys/inspections conducted by the Department of Aging and the Office of Long-Term Living. When you electronically submit your POC, all correspondence and paperwork regarding your surveys will be handled through this website and email. After all of your POC's have been approved, it is recommended that you print your licensing inspection summary/plan of correction, sign it and then post it in your center. The Department will not be sending you a paper copy of your deficiency statement by mail.

**NOTE: This site requires Internet Explorer 5.x or higher.**

After your survey, you will receive an email from your regional licensing representative notifying you that your licensing inspection summary is ready for review and that you may begin to complete your plan of correction.

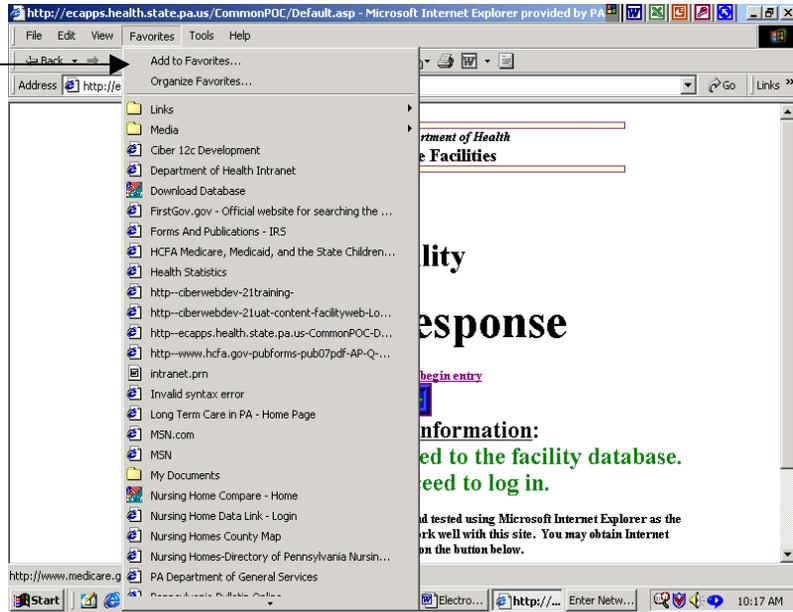
You will see instances where the Department of Health is referenced on some Internet web pages. The Department of Health has overall responsibility for this electronic licensure system and uses it for the licensure of nursing homes and other regulated settings.

### The following are step by step instructions on how to use this system

1. **TO ACCESS THE FACILITY WEB SITE:** Enter this address into the Address Field of your web browser: [www.health.state.pa.us/facility](http://www.health.state.pa.us/facility) . Or, if you have received this message electronically you may click on the site address in the email.

NOTE: This address is only for licensed adult day services centers and other regulated state facilities and is not available via public web site links. To save this address in your browser, click on "Favorites" on your browser tool bar menu and then click on **Add to Favorites**. See exhibit 1 below. Also, you may wish to keep this message for a quick reference to the site address.

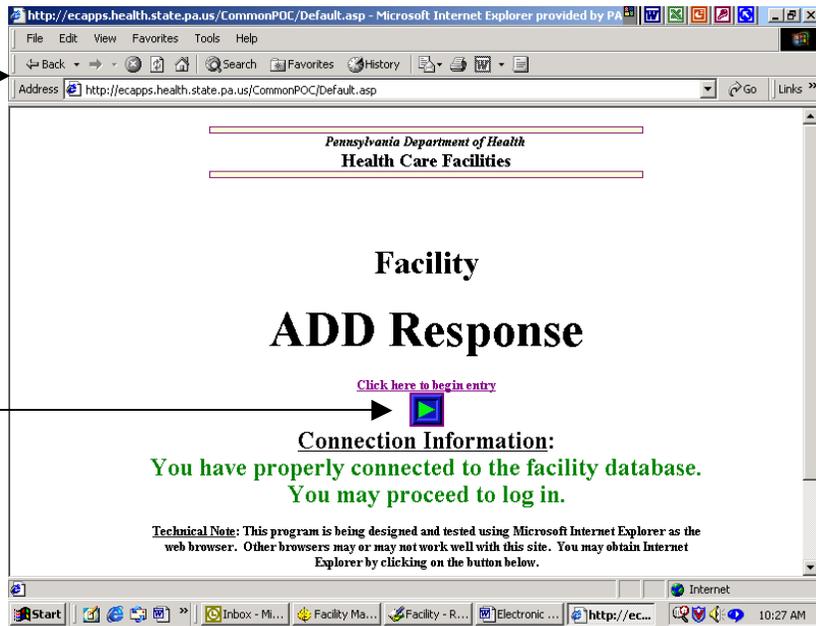
Exhibit 1  
Add to Favorites



2. When you first log on, the first page that you will see is the **ADD Response** page. See exhibit 2 below. Once on this page, click the square under “**Click here to begin entry**”.

Exhibit 2  
Add Response Page

Click here to begin entry



3. The next page that you come to is also called the **ADD Response** page. See exhibit 3 below. This page will also give you access to the Message Board. On the Message Board you will find important messages from the Department of Aging for adult day services centers. You do not need to enter your Password and ID to view messages on the Message Board. Also, if you wish to see just messages for adult day centers use the drop down box “All Messages” and then select Adult Day Centers. Next select “Messages”.

Exhibit 3  
Add Response Page

To see just the messages for Adult Day Centers, select Adult Day Centers from the drop down box. Next select Messages.

4. Selecting Messages in step 3 above will take you to the Facility Message Board. See exhibit 4 below. To read a particular message, just click on the subject of the message.

Exhibit 4  
Facility Message Board

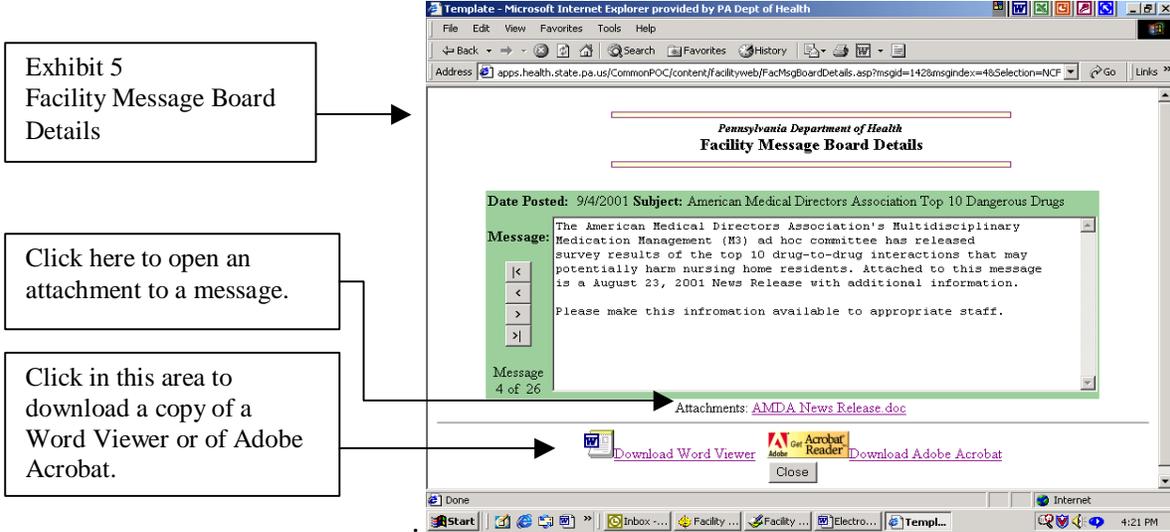
Click on the subject of the message you wish to read.

Post Date	Subject	Attachment(s)
5/22/2003	<a href="#">CMS - MDS 3.0 TOWN-HALL MEETING INFORMATION AND AGENDA</a>	2
5/21/2003	<a href="#">Scheduled Maintenance - POC and ERS programs</a>	0
5/21/2003	<a href="#">High Advanced Awareness Alert - May 21, 2003</a>	0
5/14/2003	<a href="#">PARRI - Training Program - Back to Basics</a>	1
5/14/2003	<a href="#">Quality Insights - Learning Session 2</a>	1
5/9/2003	<a href="#">CPSC - Warning Star ME-1 Sprinklers Recalled</a>	1
5/9/2003	<a href="#">PARRI - Training Programs</a>	2
5/9/2003	<a href="#">Medical Management - Clinical Guidance Red Rails</a>	1
5/9/2003	<a href="#">PANAC Meeting - MDS 3.0 Round Table Discussions</a>	2
5/5/2003	<a href="#">NCF - Field Office Names, Addresses and Phone Numbers</a>	2
5/5/2003	<a href="#">Nurse Aide Reciprocity - North Carolina</a>	1
4/25/2003	<a href="#">Department of State - Nursing Licensure Verification</a>	2
4/25/2003	<a href="#">Directed In-Service Listing as of April 23, 2003</a>	2
4/18/2003	<a href="#">Department of Public Welfare web site addresses</a>	1
4/11/2003	<a href="#">CMS - Physician delegation of tasks</a>	2
4/11/2003	<a href="#">Nurse Aide Abuse Report - April 2003</a>	6
4/2/2003	<a href="#">Health Alert 44 - Communication Systems</a>	2
4/1/2003	<a href="#">Medical Management - AANAC Questions &amp; Answers</a>	1

5. Messages can be sorted by Date and Subject.

6. Clicking on the subject of a message you wish to read will take you to the Facility Message Board Details Screen. See exhibit 5. On this screen you will find the message that you selected. Many of the messages will also contain attachments. To read an attachment, click on the Attachment link found at the bottom of the message. Most attachments will be either in a Microsoft Word file, in a .pdf file or in both file types. To open and read a Microsoft Word file you will need either a Microsoft Word Program on

your computer or a Microsoft Word Viewer. If you do not have Microsoft Word on your computer, you may download a free Microsoft Word Viewer by clicking on the link found at the bottom of the web page. To open and read a .pdf file you will need Adobe Acrobat on your computer. You may download a free copy of this program by clicking on the other link at the bottom of the web page.



7. Clicking on an attachment to a message may cause a “File Download” dialog box to appear. See exhibit 6. If this box appears follow these steps to open the attachment.

Click the radio button (circle) marked **Open this file from its current location.**  
 Click **OK** at the bottom of the File Download Box.  
 A new window opens and displays the attachment to the message. See exhibit 7.  
 You may now read or print the attachment. When you are finished, close the message by selecting “back” from the top bar of the File Menu. This will take you back to the Facility Message Board Details screen. See exhibit 5.

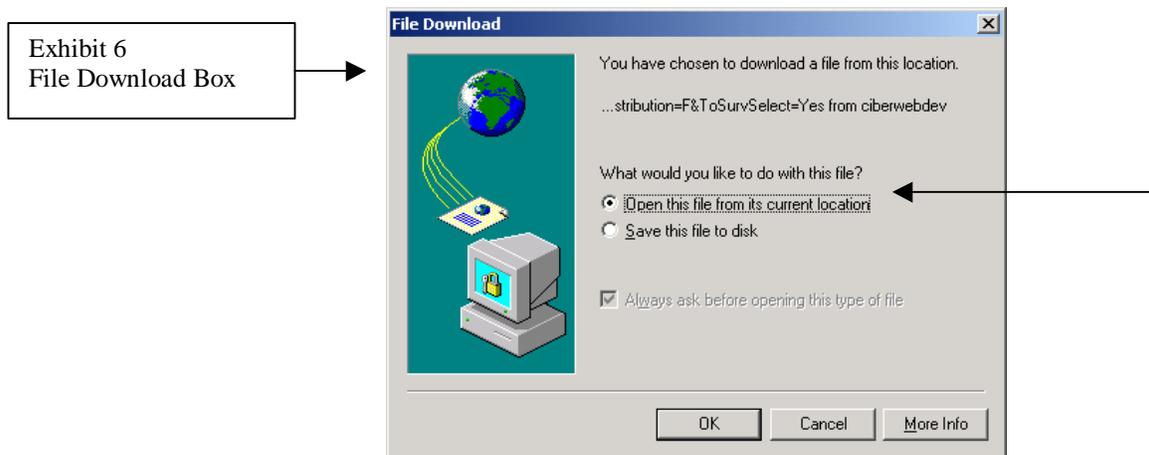
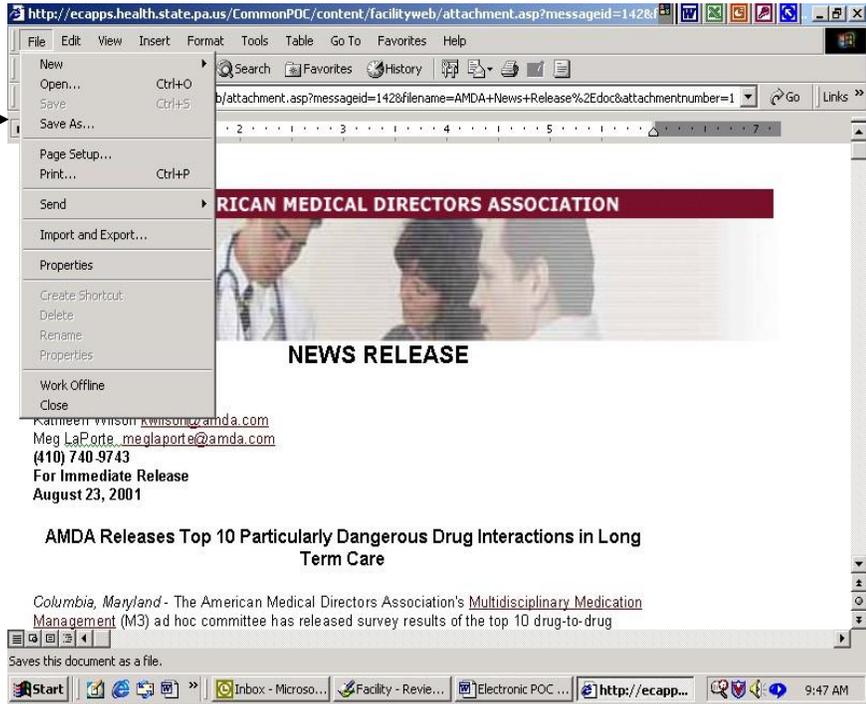


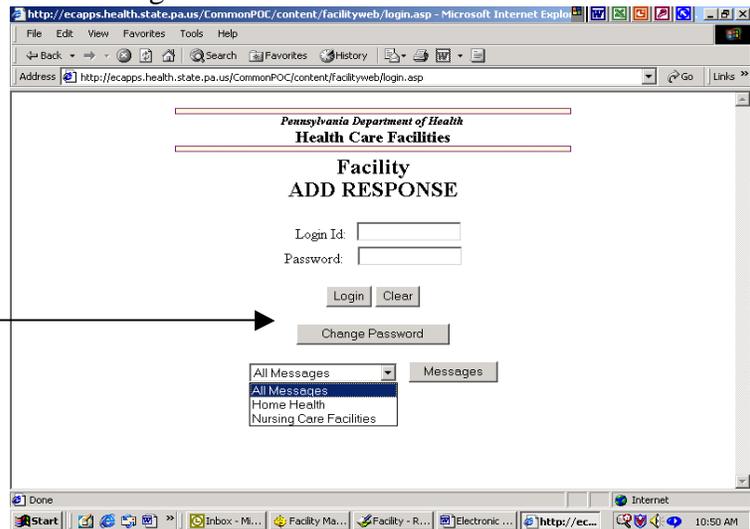
Exhibit 7  
Example of an attachment to a message.



8. To file a plan of correction electronically, you will need a Facility ID and Password. They must be obtained by the Center Director/Residence Administrator or Legal Entity Representative from the Department. The Center Director or Legal Entity Representative will be required to sign a **Center Director Password Agreement**. This is a part of the security requirements to access this website. A Login ID and Password will be assigned and will be emailed to the Center Director/Residence Administrator. After the Password and ID is received by the center or residence, for security reasons, it is recommended that the password be immediately changed. Once a center or residence has a Login ID and Password the center or residence can access the Electronic Plan of Correction Program. See exhibit 7.

Exhibit 7  
Facility login page

A facility may change their password by clicking here and following the instructions.



9. Once the user logs into the system, a new menu page will appear. The user has a choice to select either “POC” or “On-Line Licensing” on this page.



10. After login to the Electronic Plan of Correction Program, the next screen is the appropriate Welcome Page. The information on this page is **very** important. Please read it carefully. The following is the text seen on the Welcome Page for Older Adult Daily Living Centers:

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## **Older Adult Daily Living Center – “Adult Day Center**

Welcome to the web site for electronic transmission of the Licensing Inspection Summary (LIS) and the Plan of Correction (POC). The information submitted, following approval by the Department of Aging, will be placed on the Department’s web site in order to provide consumers with information about the center.

Centers will be issued a License Inspection Summary if non-compliance areas are noted. Each center has 10 working days to provide an acceptable Plan of Correction in response to the LIS.

During the inspection your inspector will have informed you which clients and/or staff would be noted in the LIS. These clients and/or staff will be identified on the LIS as Client #1, Staff #1, Client #2, Staff #2, and so forth. To protect client and staff confidentiality, please remember not to include client or staff names in the plan of correction.

### **Plan of Correction**

In order for a plan of correction to be acceptable, it must:

1. Contain a plan to correct each area of non-compliance;
2. Identify the person(s) responsible for the implementation and continued compliance of the plan;

3. Include the method(s) implemented to ensure the violation will not occur again;
4. Contain an indication that supporting documentation is included. Examples of supporting documentation include but are not limited to:
  - a. staff in-service trainings
  - b. policy, procedure and form revisions
  - c. physical examination forms
  - d. photographs
  - e. work orders and receipts
5. Date(s) when corrective action is, or will be completed.

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The following is the text seen on the Welcome Page for Assisted Living Residences:

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## **Assisted Living Residences**

Welcome to the web site for electronic transmission of the Licensing Inspection Summary (LIS) and the Plan of Correction (POC). The information submitted, following approval by the Office of Long-Term Living, will be placed on the Department's web site in order to provide consumers with information about the residence.

Assisted living residences will be issued a License Inspection Summary if non-compliance areas are noted. Each residence has 10 working days to provide an acceptable Plan of Correction in response to the LIS.

During the inspection your inspector will have informed you which residents and/or staff would be noted in the LIS. These resident and/or staff will be identified on the LIS as Resident #1, Staff #1, Resident #2, Staff #2, and so forth. To protect resident and staff confidentiality, please remember not to include resident or staff names in the plan of correction.

### **Plan of Correction**

In order for a plan of correction to be acceptable, it must:

1. Contain a plan to correct each area of non-compliance;
2. Identify the person(s) responsible for the implementation and continued compliance of the plan;
3. Include the method(s) implemented to ensure the violation will not occur again;

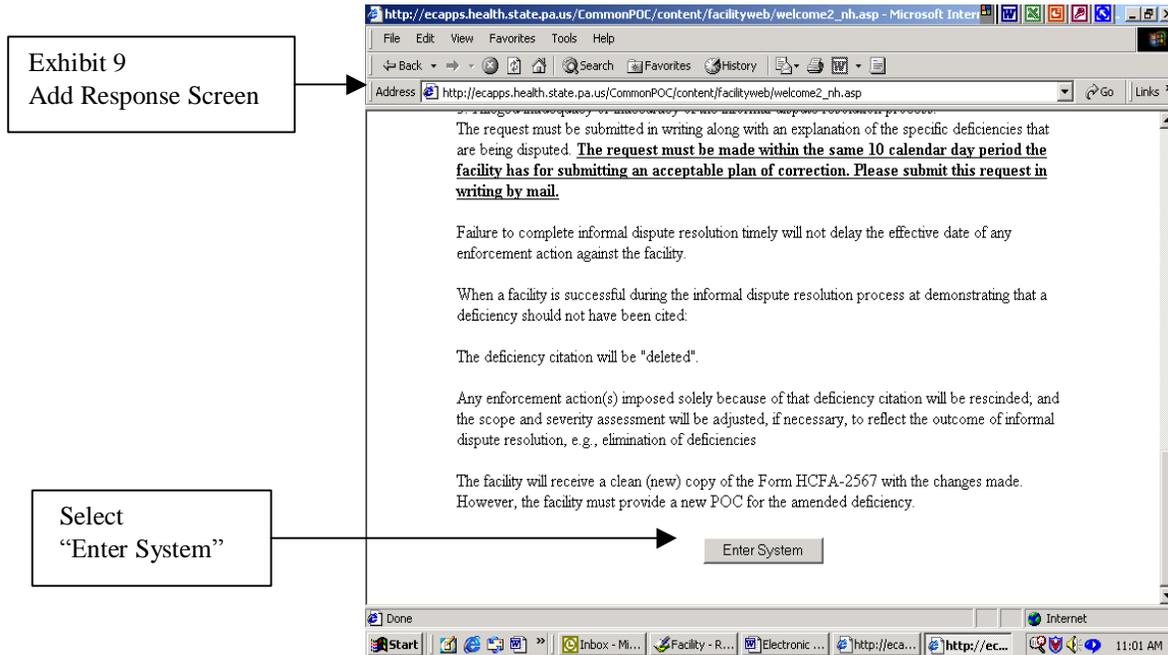
4. Contain an indication that supporting documentation is included. Examples of supporting documentation include but are not limited to:

- a. staff in-service trainings
- b. policy, procedure and form revisions
- c. physical examination forms
- d. photographs
- e. work orders and receipts

5. Date(s) when corrective action is, or will be completed.

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11. After carefully reading the information on this page, select “Enter System” which will be found at the bottom of the page. See exhibit 9.



12. Selecting “Enter System” will automatically take you to the Facility Message Board **if there are new messages**. If there are no new messages, selecting “Enter System” will take you to the “Survey Selection” page. See exhibit 10. On this page you will find surveys

listed by the survey exit date. Also, you will be able to see the total number of citations for each survey and the number of citations that have still not been approved. To read a particular survey, select the survey exit date.

Exhibit 10  
Survey Selection  
Screen

To read a  
particular survey  
click on the  
survey exit date

Survey Selection				
Update Additional Services Page				
Return To Add Response Page				
Message Board				
Survey Exit Date	Survey Category	Total Deficiencies	Approved	Not Approved
<a href="#">05/28/2003</a>	PATIENT CARE	0	0	0
<a href="#">05/14/2003</a>	BUILDING SAFETY	5	0	5
<a href="#">04/25/2003</a>	PATIENT CARE	12	12	0
<a href="#">04/04/2003</a>	BUILDING SAFETY	7	0	7
<a href="#">03/19/2003</a>	PATIENT CARE	1	1	0
<a href="#">01/10/2003</a>	PATIENT CARE	0	0	0
<a href="#">01/02/2003</a>	PATIENT CARE	0	0	0
<a href="#">11/30/2002</a>	PATIENT CARE	3	3	0
<a href="#">10/21/2002</a>	PATIENT CARE	1	1	0
<a href="#">10/16/2002</a>	PATIENT CARE	1	1	0
<a href="#">08/14/2002</a>	PATIENT CARE	0	0	0
<a href="#">07/29/2002</a>	PATIENT CARE	0	0	0
<a href="#">06/21/2002</a>	PATIENT CARE	9	9	0
<a href="#">05/03/2002</a>	PATIENT CARE	3	3	0

13. After selecting the exit date for a survey, you will see a screen titled “**Deficiency Listing**”. See exhibit 11 below. To enter your plan of correction, select the appropriate tag number by clicking on the number.

Note: Tag 0000 may be selected for review of the initial comments; however, no information can be entered in the Plan of Correction field, this is a protected field. No POC is required in response to the initial comments Tag 0000.

Exhibit 11  
Deficiency Listing Screen

To enter a plan of  
correction, click on the  
appropriate tag number

Exit Date:	Regulations:	Plan of Correction:	Completion Date:
02/09/2001	Each resident must receive and the facility must provide the necessary care and services to attain or maintain the highest practicable physical, mental, and psychosocial well-being, in accordance with the comprehensive assessment and plan of care. Use F309 for quality of care deficiencies not covered by s483.25(a)-(m).	No approved Plan of Correction is on file	Status: NO POC Date:
<a href="#">0309</a>	Scope/Severity: D		
	Observations: Based on clinical record and facility documentation review it was determined that the facility failed to ensure that one of one resident (Resident 1)		

14. After selecting a tag number, you will next see the **Add Response Screen**. See exhibit 12 below. This is the area that you enter your plan of correction.

The screenshot shows the 'Add Response Screen' with the following fields and elements:

- Attestation Name:** A text field for the center director or residence administrator. Only the **Director or Administrator** is authorized to submit a Plan of Correction.
- Corrective Action Date:** A date field for when the plan of correction will be complete. Format: mm/dd/yyyy.
- Survey Exit Date:** 5/14/2003
- Admin Sign-Off:** 5/15/2003
- POC Status:** NO POC
- POC Due Date:** 07/06/2003
- Attestation Name:** A text field with a 'Password Signatory Authority' label.
- Corrective Action Date:** A date field with a 'mm/dd/yyyy' label.
- Date Submitted:** A field that is automatically populated upon submission.
- Building - 01 Name - MAIN BUILDING 01**
- Observations #:** 0017
- Observations/Findings:** A text area containing the text: "THE CORRIDOR WALLS TERMINATE ABOVE THE LAY-IN CEILING. MEETS BY FSES/DAS/4-2-93."
- Plan of Correction:** A large text area for entering the plan of correction.
- Buttons:** 'Submit', 'Return To Add Response Page', and 'Message Board'. There are also links for 'Back to Survey Selection' and 'Back to Deficiency Listing'.

Callout boxes provide additional information:

- Exhibit 12 Add Response Screen:** Points to the overall form.
- Date Submitted:** This information will be automatically entered when you submit your plan of correction. You will not be able to enter any information in this field.
- Observations/findings entered by the Department of Aging:** You will not be able to change any of the information here.
- Plan of Correction:** This is where you enter the plan of correction.
- After entering your plan of correction select "Submit"**
- NOTE:** If the survey is for a specific building, the building information will be shown.

**NOTE:** It is highly recommended that you first type your plan of correction in a word processing program and then "copy and paste" it into the plan of correction field shown in Exhibit 12. It is also recommended that when you type your plan of correction you do not use symbols or special characters such as bullets, pound signs and ampersands. These symbols and special characters do not "travel" well over the Internet and may be lost or changed during transmission.

Information may be typed directly into the plan of correction field; however, there is **NO** spell check and for security reasons there is a time limit (90 minutes) for you to enter the POC directly into the field. If you go over this time limit, you will be sent back to the Login screen when you click on submit and your typing will be lost.

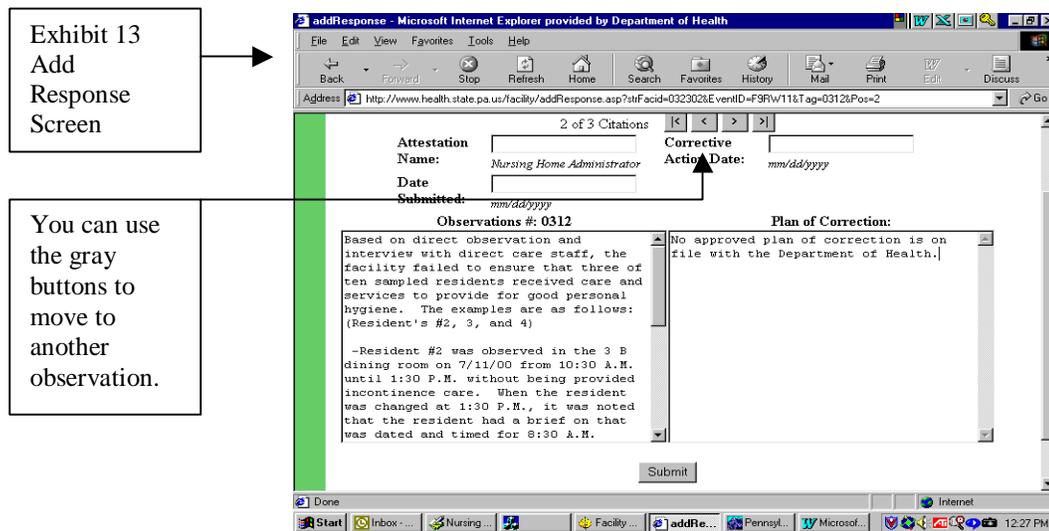
Please verify the accuracy of your plan of correction prior to submission. Once you submit a plan of correction, the record will be "locked" and you will be unable to make any additional changes until the plan is reviewed by the Department of Aging. A change to any portion of this entry after submission will require a resubmission of the POC. After you have entered the plan of correction information for a citation, click on the **Submit**

button at bottom of the page.

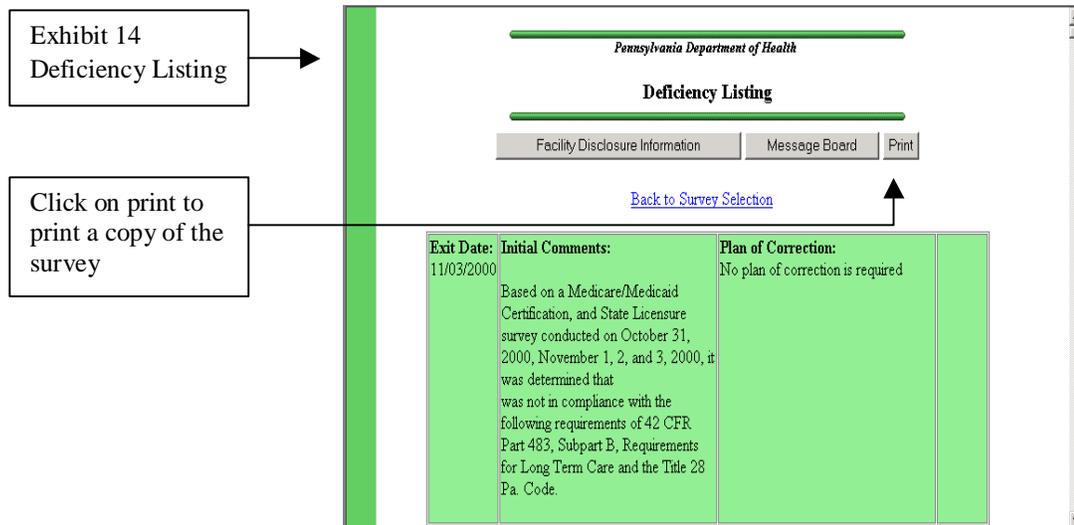
After you submit your POC to the Department, a confirmation email will be sent to the email address of the center director or residence administrator (**please notify the Division of Licensing of any change in the email address**). This confirmation email constitutes the validation that the plan of correction was submitted by you and also is used to validate that the facility administrator concurs with the information submitted.

In the event that you receive confirmation email for a survey observation that you did not submit, contact your licensing representative **immediately!**

15. After submission, you can move to the next observation/finding by using the gray buttons at the top of the **Add Response** screen. See exhibit 13.



16. The center director or residence administrator will be notified by email when the Department has approved each plan of correction. After all POC'S have been approved, it is recommended that you print a copy of your plan of correction, sign it, and post it in your center for clients and/or their family's to view. To print the deficiency statement, go to the **Deficiency Listing** screen and click on **Print**. See exhibit 14.



## POC Emails for OADLC

When Department of Aging staff approves or rejects a POC, the system shall automatically generate an email to the center's POC contact. If rejected, the email will display the reject reason text in the body of the email for the rejected email.

### **Sample POC Approval Email:**

Division of ADULT DAY CARE LICENSING  
 Facility ID: IVFT5601  
 Event Identifier: 7JW811

Your recent Plan of Correction submission for the Department of Aging's Division of Licensing survey exit date of 11/03/2011 referencing tag 0156 has been approved.

Please do not reply to this message.

Thank you.

<Approver's Name>

### **Sample POC Rejected Email:**

Division of ADULT DAY CARE LICENSING  
 Facility ID: IVFT5501  
 Event Identifier: EW6111

Your recent Plan of Correction submission for the Pennsylvania Department of Aging's

Division of ADULT DAY CARE LICENSING survey exit date of 01/04/2012 referencing tag 0151 has been rejected for the following reason(s):

Does not contain elements detailing how the facility will correct the deficiency as it relates to the individual.

We are looking forward to receiving a revised submission addressing this issue(s). Please do not reply to this message. If you have any questions you may contact your local field office.

Thank you.

<SURVEYOR NAME>.

### **Adult Day Reject Reasons**

If your POC is rejected, the rejection email will contain one or more of the following reject reasons:

- 01 – Does not address how the center will correct the deficiency
- 02 – Does not address how or by what steps the center will take to ensure this deficiency does not reoccur
- 03 – Does not indicate who is responsible for ensuring the corrective action(s) is implemented
- 04 – Does not indicate when corrective action(s) will be completed
- 05 – Does not indicate that verification of corrective action(s) was submitted
- 06 – Does not indicate how the center will act to protect clients in similar situations
- 07 – Other – specific text will be entered

### **How will the OADLC know the POC is ready for completion?**

Once the inspector has completed their inspection report, the center director will receive a system email notifying them that the survey is ready for POC submission.

Subject: Survey Results Posted 7JW811 - 12/20/2011

TO: <FACILITY>

Facility: Adult Day Center Name

Survey: 12/20/2011 - 12/21/2011

The results of the Department of Aging survey completed at your facility on 12/20/2011 are

posted on the POC web site. Please log in to review deficiencies and enter Plan of Correction information, if required.

Please contact the Department of Aging with any questions or difficulties regarding this matter.

Please do not reply to this message.

Thank you,

DIVISION OF ADULT DAY CARE LICENSING  
PENNSYLVANIA DEPARTMENT OF AGING

When an adult day center director submits the POC on the facility web site, the system shall send the following POC Acknowledgement email to the center director:

**POC Acknowledgement Email to Facility:**

Division of Adult Day Care Licensing  
Facility ID: IVFT5501  
Event Identifier: 4Q0I11

Your Plan of Correction for Survey Exit Date 01/08/2012, Tag 0225 has been received.

If you ever receive this notification when you have not submitted a Plan of Correction, contact your field office immediately.

Please do not reply to this message.

**POC Emails for ALR**

When Office of Long-Term Living staff approves or rejects a POC, the system shall automatically generate an email to the center's Electronic POC contact. If rejected, the email will display the reject reason text in the body of the email for the rejected email.

**Sample POC Approval Email:**

Division of DIVISION OF LICENSING  
Facility ID: IVFT5601  
Event Identifier: 7JW811

Your recent Plan of Correction submission for the Office of Long-Term Living's Division of Licensing survey exit date of 11/03/2011 referencing tag 0156 has been approved.

Please do not reply to this message.

Thank you.

<Approver's Name>

**Sample POC Rejected Email:**

Division of DIVISION OF LICENSING  
Facility ID: IVFT5501  
Event Identifier: EW6111

Your recent Plan of Correction submission for the Office of Long-Term Living's Division of ASSISTED LIVING RESIDENCE LICENSING survey exit date of 01/04/2012 referencing tag 0151 has been rejected for the following reason(s):

Does not contain elements detailing how the residence will correct the deficiency as it relates to the individual.

We are looking forward to receiving a revised submission addressing this issue(s). Please do not reply to this message. If you have any questions you may contact your licensing representative.

Thank you.

<SURVEYOR NAME>.

**Assisted Living Residence Reject Reasons**

If your POC is rejected, the rejection email will contain one or more of the following reject reasons:

- 01 – Does not address how the residence will correct the deficiency
- 02 – Does not address how or by what steps the residence will take to ensure this deficiency does not reoccur
- 03 – Does not indicate who is responsible for ensuring the corrective action(s) is implemented
- 04 – Does not indicate when corrective action(s) will be completed
- 05 – Does not indicate that verification of corrective action(s) was submitted
- 06 – Does not indicate how the residence will act to protect clients in similar situations
- 07 – Other – specific text will be entered

**How will the residence know the POC is ready for completion?**

Once the inspector has completed their inspection report, the center director will receive a system email notifying them that the survey is ready for POC submission.

Subject: Survey Results Posted 7JW811 - 12/20/2011

TO: <FACILITY>

Facility: Assisted Living Residence Name

Survey: 12/20/2011 - 12/21/2011

The results of the Office of Long-Term Living survey completed at your residence on 12/20/2011 are posted on the POC web site. Please log in to review deficiencies and enter Plan of Correction information, if required.

Please contact the Office of Long-Term Living with any questions or difficulties regarding this matter.

Please do not reply to this message.

Thank you,

DIVISION OF LICENSING  
OFFICE OF LONG-TERM LIVING

When an assisted living residence director submits the POC on the facility web site, the system shall send the following POC Acknowledgement email to the residence administrator:

**POC Acknowledgement Email to Facility:**

Division of Licensing  
Facility ID: IVFT5501  
Event Identifier: 4Q0I11

Your Plan of Correction for Survey Exit Date 01/08/2012, Tag 0225 has been received.

If you ever receive this notification when you have not submitted a Plan of Correction, contact your field office immediately.

Please do not reply to this message.