Guide to the LTCSP SOAR

Survey Outcome and Activity Reports (SOAR) are a series of Excel spreadsheet tabs that display information about state survey agency (SA) performance of the Long Term Care Survey Process (LTCSP). This guide describes the information provided in each report tab to help report users accurately interpret and use the information. The description for each tab also includes a "What to Look For" section with illustrative examples and suggestions to help spark ideas on using the reports to identify patterns and trends in survey performance and support efforts to improve or reinforce state practices.

The reports are sent on a monthly basis and display both cumulative data and quarterly data. All data received up to the end of a month are included in the cumulative averages on the reports that are sent the following month. For example, reports labeled as September 2018 are distributed mid-September and include all data received by August 31, 2018. Below the cumulative averages is a separate listing for calendar year quarters, beginning with Quarter 2, 2018 (April-June).

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Overview – State, Regional, and National Averages to Date

The first tab in the Excel spreadsheet provides an overview of a state's LTCSP performance and compares data at the following levels:

- **National:** Average of all surveys completed by all SAs in the nation to date.
- **Region:** Average of all surveys completed by all SAs in the region to date.
- **State:** Average of all surveys completed by the SA to date.

The tab shows the following information at the national, regional, and state levels. Note that all information other than the number of surveys reflects the **average across all surveys**.

- **# of Surveys:** Number of LTCSP surveys completed to date (i.e., since November 28, 2017).
- **Census**: Facility census at survey entry.
- **Team Size:** Number of surveyors on the survey team.
- **Initial Pool Size**
  o **Projected**: Approximate number of residents expected to be in the initial pool for the survey, based on facility census. Projected/expected initial pool size for all facility sizes is noted in Attachment A to the LTCSP Procedure Guide, which is entitled *Sample Size, Recommended Team Size, and Initial Pool Size*.
  o **Actual:** Number of residents with an initial pool indicator marked as "Yes". The actual initial pool size for an individual survey should be close to the projected size for that survey and larger than the actual sample size.

  Note: The average number of residents in the initial pool is presented for 11.4 (or higher) surveys only as the 11.4 release (released 8/5/18) contained the new initial pool indicator.   Prior to the 11.4 software release, residents were counted as being in the initial pool if they were assigned to a staff id and met the following requirements:

- o *An interviewable resident must have at least 80% of the resident interview care areas answered, 80% of the resident observation care areas answered, and the two mandatory record review areas complete.*
- o *Residents marked as anything but interviewable (or if interview status is blank) must have at least 80% of the resident observation care areas answered, the two mandatory record review areas answered, and at least 80% of the other record review areas complete.*
- **Sample Size**
  - o **Target:** Number of residents expected in the sample according to the *Sample Size, Recommended Team Size, and Initial Pool Size* (Attachment A to the LTCSP Procedure Guide). Sample size is based on facility census at the start of the survey.
  - o **Actual:** Actual number of residents in the sample, which may include up to five complaint or FRI residents. This number could be higher than the recommended sample size due to survey-specific factors.
  - o **% of Offsite Residents:** The percentage of offsite selected residents who are included in the sample. Excludes discharged offsite selected residents.
- **Survey Time:** Hours reported on the CMS-670, including:
  - o **Pre:** Number of hours spent on offsite prep prior to the survey.
  - o **Onsite**: Number of hours spent onsite by the team.
  - o **Post:** Number of hours spent on survey-related work after exiting the facility.
  - o **Total:** Total number of hours spent completing the survey, **excluding** travel time.
- **Onsite Time Per Surveyor:** Average time onsite per surveyor (total onsite hours on the CMS-670 divided by number of surveyors).
- **# of Investigations Per Surveyor:** Average number of investigative care areas investigated per surveyor (total number investigated for the survey divided by number of surveyors).
- **# of Investigations Per Survey:** Number of investigative care areas investigated on a survey.
- **% of Investigations Cited:** Percentage of investigative care areas investigated on a survey that led to one or more citations on the Potential Citation Screen. If the *same* care area is investigated for *different* residents on a single survey and both investigations lead to a citation (even if it is the same tag), this counts as two areas cited. If an investigation of a single care area for a single resident leads to two different tags, this counts as one investigative care area cited.
- **# of Potential Citations** = Number of citations shown as "Cited" on the Potential Citation Screen at the end of the survey. This includes only surveys with 2567 data. This count does not include possible citations that were proposed by a surveyor but not agreed on by the team and does not count originally proposed tags that were moved to other tags – only the final list of citations on the Potential Citation Screen are included in this count.

Surveys w/ 2567

- **# of 2567 Citations** = Number of final citations included on the CMS-2567 for the survey.

- **# of Surveys** = Number of surveys with CMS-2567 data.

Note: CMS 670 and 2567 data is typically available later than the LTCSP information. This means that the following information will always be about two months behind the LTCSP information on the SOAR report: a) Survey time (pre, onsite, post, total) from the 670; b) Onsite Time per Surveyor (i.e., average 670 onsite time across surveys divided by average number of surveyors on the team); and c) # of 2567 Citations.

What to Look For: When reviewing information on this tab, look for notably high or low values for your state compared to the region and nation. No specific standards or criteria for identifying notable

differences in the values are provided - use your judgment to determine what you consider to be notable differences. For example, if you see that the actual initial pool size is much lower than the projected initial pool size for your state whereas the difference between these two values at the regional and national levels is small, you may want to discuss this difference with your surveyors to determine why they are not meeting the projected initial pool numbers. Another example might be that your state has an average of two potential citations while the region has an average of six and the nation has an average of seven. In this case, you may want to examine your state's practices to determine whether surveyors might be missing deficient practice and would benefit from additional training on identifying concerns during the initial pool activities, identifying residents for the sample, or conducting thorough investigations after sample selection.

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Overview of LTCSP Surveys to Date

This tab provides the same LTCSP survey performance data as on the first *Overview* tab, but on the individual survey level.

The tab shows completed LTCSP surveys listed in order by Exit Date, starting with the most recent surveys. **Due to 670 and 2567 data lag time, Survey Time (pre, post, onsite, total), Onsite Time Per Surveyor, and # of 2567 Citations may be <u>blank</u> for surveys with recent Exit Dates.** However, all surveys will remain on the reports every month in a cumulative listing and blank fields will be filled in when the data becomes available.

The tab displays Provider Number, ZIP Code, County, Event ID, and Exit Date for each survey. Additionally, the last column shows the software version that was in place for the survey, to help the reader interpret the initial pool data. Otherwise, the information is the same as that presented on the first *Overview* tab and described above.

What to Look For: Look for notably high or low values for a particular survey or set of surveys as compared to most other surveys on the report (or as compared to state values on the *Overview* report on the first tab). Look for patterns or trends that could be attributable to a particular survey team, surveyor, or other factors. ZIP code and county information can be used to help examine geographic trends in the state. For some individual surveys or groups of surveys, you may easily identify potential underlying reasons (e.g., a survey with high onsite hours and low citations may have had a team with several new surveyors). For other notable differences, you may want to investigate further to determine the underlying cause and make positive changes. For example, you might see that a particular survey team (e.g., that typically conducts surveys in a particular ZIP code or county) never meets the projected initial pool size. In such a case, you might investigate and learn that they are not fully completing the resident interview or observation or you may need to reinforce that surveyors refer to the initial pool size information in Attachment A to the LTCSP Procedure Guide. Another example might be that you observe a pattern of low citations for particular surveyors – this might be cause to review whether the surveyors would benefit from additional training on conducting investigations.

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Citation Status of Investigations – Investigations per Survey

This tab shows the <u>number and percentage of surveys</u> on which each investigative area was investigated for one or more residents in the sample and the number and <u>percentage of surveys</u> on which the investigative area was cited on the Potential Citation Screen.

Investigative Areas (e.g., Abuse, Accidents) are listed in the leftmost column. The following information is displayed for each investigative area:

- **Areas Marked FI (State)** – This refers to the initial pool areas that were marked as Further Investigate (FI) by a surveyor during the initial pool process. <u>Numbers and percentages refer to the totals across all surveys in the state</u>.
  - o **Total**: The number of surveys on which the investigative area was marked FI and investigated for at least one resident. If an investigation was completed for several residents on a single survey, the count remains as one survey on which the area was investigated.
  - o **% FI**: The percentage of surveys on which the investigative area was marked FI and investigated for at least one resident. (Total # of surveys that had the investigative area marked FI and investigated divided by count of all surveys).
  - o **# Cited**: The number of surveys on which each investigative area (marked FI and investigated) was cited on the Potential Citation Screen.
  - o **% Cited**: The percentage of surveys on which each investigative area (marked FI and investigated) was cited on the Potential Citation Screen (# Cited divided by Total # of surveys that had the investigative area marked FI and investigated).

  Quarterly Data

  - o **Q2 2018 % Cited**: The percentage of surveys on which each investigative area (marked FI and investigated) was cited on the Potential Citations Screen for those surveys with exit dates between April and June 2018. Additional summaries by calendar year quarter will be added to the SOAR and will be labeled by quarter and year (e.g., Q3 2018, Q4 2018, Q1 2019).

- **Areas Marked FI (National)** – These columns show the same information as noted above but for totals across all surveys in the nation, allowing comparison between the state and national data.

- **Surveyor Initiated Areas (State)** – This refers to the investigative areas that were surveyor initiated at some point during the surveys. Numbers and percentages refer to the totals across all surveys in the state.

  - o Information under the **Total, % SI, # Cited, % Cited, and Quarterly % Cited** (e.g., Q2 2018) columns is the same as described above except that it only includes information on surveyor-initiated investigations. Again, the counts refer to the <u>number of surveys</u> on which the investigative areas were surveyor-initiated. Investigations for more than one resident on a single survey count as only one survey in the "Total" column.

- **Surveyor Initiated Areas (National)** – This refers to the investigative areas that were surveyor initiated at some point during the surveys. Numbers and percentages refer to the totals across all surveys in the nation.
  - o Information under the **Total, % SI, # Cited, % Cited and Quarterly % Cited** (e.g., Q2 2018) columns is the same as described above for the state-specific information.

What to Look For:
- Ideally, a reasonable percentage of the areas investigated on a survey will be cited, indicating that surveyors are able to identify areas of concern for investigation that truly are concerning.
- Look for investigative areas that have a high number of surveys on which the area is marked FI but is rarely cited. If an area is often investigated but rarely cited, it may be worth examining: a) whether surveyors' investigations are effective, and b) whether surveyors are effectively probing to rule out possible concerns during the interview and observation. For example, if a surveyor observes tooth problems but probes further and learns that the resident has a scheduled dentist appointment then the surveyor would not mark FI.

- If only a small percentage of surveys with surveyor-initiated investigations for particular areas result in citations, it is worth examining surveyor practices, as one would expect that investigations that surveyors specifically initiate would have a relatively high citation rate.

- Compare the state, regional, and national percentages to determine if the state or region is notably different (higher or lower) compared to the national averages. For example, if the Accidents investigative area was cited on 22% of the surveys on which it was marked as FI on the national level but was cited on only 3% of surveys on which it was marked FI on the state level, you may want to take note and examine possible reasons for this difference. You might implement changes in your surveyor practices to address the difference and then observe future trends in this report.

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Citation Status of Investigations – Number of Residents per Investigation

This tab shows information on the resident level, instead of the survey level. The tab displays the **average number** of residents in the sample for whom each investigative area was investigated and the **average percentage** of resident investigations that were cited on the Potential Citation Screen. Multiple resident investigations may occur for the same investigative area on a single survey and all are included in the calculations for this report (e.g., if three residents were investigated for Choices on the same survey, this would count as three residents when calculating the average number of residents, shown under the Total column). The following information is displayed:

- **Areas Marked FI (State)** – This refers to the investigative areas that were marked as Further Investigate (FI) by a surveyor during the initial pool process.
  - **Total**: The average number of resident investigations for the investigative area (e.g., Dental) across the surveys that had any investigations for that same investigative area. This is the total number of all residents investigated for the specific area divided by the number of surveys that had an investigation of that specific area.
  - **# Cited**: The average number of resident investigations based on an FI that resulted in a citation on the Potential Citation Screen.
  - **% Cited**: The percentage of resident investigations based on an FI across surveys that resulted in a citation on the Potential Citation Screen (# Cited divided by Total).

    Quarterly Data
  - **Q2 2018 % Cited**: The percentage of resident investigations based on an FI across surveys that resulted in a citation, for surveys with exit dates between April and June 2018.

  - **Example**: The Nutrition investigative area shows that an average of 2.2 resident investigations (in the Total column) were completed based on FIs across all surveys in the state that investigated Nutrition. An average of 1.5 of the resident investigations for Nutrition based on FI were cited (# Cited column). Therefore, about 68% of resident investigations conducted for Nutrition based on FI were cited (% Cited column).

- **Areas Marked FI (National)** – These columns show the same information as noted above but for totals across all surveys in the nation.
  - Information under the **Total, # Cited, % Cited, and Q2 2018 % Cited** columns is the same as described above for the state-specific survey information.

- **Surveyor Initiated Areas (State)** – This refers to the investigative areas that were surveyor initiated at some point during the surveys. Numbers and percentages refer to the average number of resident investigations that were surveyor initiated across all surveys in the nation.

o Information under the **Total, # Cited, % Cited, and Q2 2018 % Cited** columns is the same as described above except that it only includes information on surveyor-initiated investigations. Again, the information refers to the average number of resident investigations for the investigative area that were surveyor-initiated.

- **Surveyor Initiated Areas (National)** – This refers to the investigative areas that were surveyor initiated at some point during the surveys. Numbers and percentages refer to the average number of resident investigations that were surveyor initiated across all surveys in the nation.
  o Information under the **Total, # Cited, % Cited, and Q2 2018 % Cited** columns is the same as described above for the state-specific information.

What to Look For: While the survey level tab shows how often an investigative area is cited when it is investigated *at all* on a survey (whether there was one resident investigation or five for that area on a single survey), this tab shows citation frequency on the resident investigation level. Ideally, a reasonable percentage of the resident investigations on a survey will be cited, indicating that surveyors are able to identify areas of concern for investigation that truly are concerning. As with the previous tab, a key issue to look for is investigative areas that are frequently investigated but relatively rarely cited. Again, it would be expected that surveyor-initiated investigations would result in a higher average citation rate compared to areas investigated based on an FI marked during the initial pool process. Some areas (e.g., hospice, dialysis) must be initiated by the survey team and may not have a high citation rate. Compare the state and national percentages to determine if the state is notably different (higher or lower) compared to the national averages for any investigative area. For example, if the average citation rate (i.e., % Cited) for resident investigations of Dental was 1% for the state compared to 12% nationally, it may be worth examining surveyor practices (e.g., interview and observation approaches during initial pool activities, investigative practices) related to the Dental area to determine if changes are warranted. It may be that some concerns could be ruled out during the initial pool activities instead of during investigations or it could be that investigations for Dental are less comprehensive and thorough than they could be. You can then use the report to track improvement in the comparisons over time.

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Facility Task Citations and Investigations – Mandatory Tasks: Comparison Information

This tab shows the percentage of surveys on which each of the nine mandatory tasks was cited. This citation rate is displayed on the national, regional, and state levels for surveys completed to date. For example, when comparing information for the Kitchen task, you might see that the task was cited for 30% of all surveys completed nationally to date, 22% of all surveys completed in the region to date, and 24% of all surveys completed in the state to date.

What to Look For: Compare the state, regional, and national citation percentages to identify notable differences. For example, if Resident Council is cited on about 20% of national surveys and only 2% of state surveys, it may be useful to discuss with state surveyors how the Resident Council task is being investigated to ensure that deficient practice is not being missed. Differences may be observed in the other direction as well. For example, if Sufficient & Competent Staffing was cited on 30% of state surveys to date, 12% regionally, and only 10% nationally, you may want to discuss how these citations are being determined and reinforce positive practices. In any instances of notable differences, it may be worth examining state practices to determine the reason for the difference and if any changes or positive reinforcements are warranted.

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Facility Task Citations and Investigations – Mandatory Tasks: Survey Level

This tab displays survey level investigation and citation information for the nine mandatory tasks. All LTCSP surveys completed in the state to date are listed on the left side of the report, in order by Exit Date. ZIP Code, County, and Exit Date are noted for each survey. One of the following is shown for each survey, for each task:

- **C – Cited:** The task was investigated and cited on the survey.
- **NI – Not investigated but should have been:** The task was not investigated but it should have been because it is a mandatory task that was relevant for the survey. Each mandatory task must be investigated on every survey with the following exceptions: Beneficiary Protection Notification (applicable for SNFs only); Kitchen (removed if the facility does not have a kitchen); and Resident Council (removed if the facility has no Resident Council).
- **P – Partially completed task**
- **Blank:** The task was investigated but not cited on the survey.

What to Look For: The individual survey data provides a quick look at task citation patterns for different surveys and also helps identify tasks that were not investigated but should have been. The ZIP code and county information can be used to help look at trends by geographic area in the state. Again, you can track and trend this information on the reports over time to see if changes have affected the comparisons or if additional efforts might be needed.

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Facility Task Citations and Investigations – Mandatory Tasks Not Investigated

This tab displays the percentage of surveys on which each of the mandatory tasks was not investigated (i.e., there are no CE responses). Information is shown at the national, regional, and state levels.

Tasks removed by the survey team (e.g., the team removed the Kitchen task because the facility did not have an onsite kitchen) are not included when calculating the percentages. Tasks that the team started but did not finish also are not included in this percentage. The percentages include only tasks that should have been investigated and were not even begun by the team.

What to Look For: Compare the state, regional, and national citation percentages to identify notable differences. Low percentages are expected and preferable as they indicate that few mandatory tasks are not being investigated. For example, if your state did not complete (i.e., the team did not even begin the investigation) the Dining Observation task for 4% of surveys compared to 1% at the national and regional levels, you may want to examine why Dining is not always being investigated when it should be by survey teams in your state.

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Facility Task Citations and Investigations – Triggered Tasks: Comparison Information

This tab shows citation and investigation information on the national, regional, and state levels for the four non-mandatory tasks, which are triggered for completion in various ways, as described below:

- **Environment:** Triggered by an FI during initial pool activities or surveyor initiated.
- **Personal Funds:** Triggered by an FI during initial pool activities or surveyor initiated.
- **Resident Assessment:** Triggered by the system for residents with a most recent MDS assessment older than 120 days or triggered during initial pool activities if MDS Discrepancy is marked and No Issue is marked for an initial pool area. (If the area is marked FI, the resident assessment review is part of the pathway used for investigating the area, so the task is not triggered).
- **Extended Survey:** Triggered when substandard quality of care is identified.

The following information is displayed for each triggered task:

- **# of Surveys Triggered & Not Investigated**: The number of surveys on which the task was triggered but not investigated. Note again that "triggered" is used in this report to mean any of the scenarios described above, including surveyor initiation.

- **# of Surveys Triggered & Investigated**: The number of surveys on which the task triggered and was investigated.

- **# of Surveys Cited:** The number of surveys on which the task was cited on the Potential Citation Screen.

- **% of Surveys Cited**: The percentage of surveys on which the task triggered, was investigated, and was cited on the Potential Citation Screen (i.e., # of Surveys Cited divided by # of Surveys Investigated).

What to Look For: Compare the state, regional, and national citation percentages to identify notable differences for each triggered task. For example, if the state citation percentage for Personal Funds is notably lower than the regional and/or national percentages, it might be worth considering the following questions:

- Are any tasks triggering and not being investigated? How are triggered tasks assigned?
- Are state surveyors maintaining the intent of the initial pool areas that trigger the task and/or clarifying the area appropriately?
- Are surveyors probing enough to ensure the FIs are concerns warranting further investigation?
- Is the task triggering from FIs more than it should be, resulting in many investigations and a low citation rate?
- How comprehensive and thorough are surveyor investigations once triggered (e.g., is it triggering appropriately but the investigations are not effective in identifying deficient practice)?

Facility Task Citations and Investigations – Triggered Tasks: Survey Level

This tab shows survey level citation and investigation information for the four triggered tasks. All LTCSP surveys completed in the state to date are listed on the left side of the report, in order by Exit Date. ZIP Code, County, and Exit Date are noted for each survey. Investigation and citation information is indicated for each task by the following:

- **C - Cited:** The task was triggered, investigated, and cited on the survey.
- **NI – Not investigated but should have been:** The task was not investigated but it should have been because it triggered for the survey.
- **P – Partially completed task**
- **I – Investigated and not cited:** The task was triggered and investigated but not cited on the survey.
- **INN – Investigated but wasn't necessary/didn't trigger:** This refers only to the Extended Survey and indicates when an Extended Survey was completed but it should not have been because the requirements for completing an Extended Survey were not met.
- **Blank:** Blank fields indicate that the task did not trigger on the survey.

What to Look For: The individual survey data provides a quick look at triggered task citation patterns and helps identify surveys on which triggered tasks were not investigated (i.e., a compliance issue and quality concern) or if a team completed the Extended Survey when it was not warranted (i.e., unnecessary use of time). If your surveyors are triggering a certain task often and it is not leading to citations, you may want to look into whether surveyors are probing enough to rule out the need to investigate the task; this could help reduce surveyor workload.

Potential Citation Screen & CMS-2567 Comparison Information

This tab shows citation information from the Potential Citation Screen in the LTCSP software and information on the final citations on the CMS-2567. The tab displays *average* numbers and percentages to date across all surveys at the state, regional, and national levels (the total number of surveys completed to date also is displayed for each of these levels). Information is grouped into two sections:

1) **All LTCSP Surveys - Potential Citation Screen**, which includes information from all LTCSP surveys for the time period; and

2) **LTCSP Surveys with 2567 Data**, which includes information only from the LTCSP surveys that have 2567 data. Because the 2567 data lag by about two months, this group of surveys will always be smaller than the total group.

<u>**All LTCSP Surveys - Potential Citation Screen**</u>: This section shows the following information for all LTCSP surveys completed to date:

- **# of Surveys: Number of surveys with LTCSP data.**

- **Total # of Tags (Cited & Not Cited):** Average number of tags proposed by the survey team as listed on the LTCSP Potential Citation screen.

- **# of Tags Not Cited:** Average number of tags proposed by surveyors but not cited by the team. This includes citations that were initially proposed under one tag (which was not cited) but were moved to a different tag (which was cited on the Potential Citation Screen).

- **% of Tags Not Cited**: Average percentage of tags proposed by surveyors but not cited by the team (i.e., # of Tags Not Cited divided by Total # of Tags (Cited & Not Cited).

- **# of Residents Not Cited:** Average number of residents who were proposed to be in a citation but were not included in a citation for one of two reasons: a) the tag was not cited; or b) the tag was cited but the residents were not included in the tag.

LTCSP Surveys with 2567 Data: The following information is shown for the subgroup of LTCSP surveys that have 2567 data:

- **# of Surveys: Number of surveys with 2567 data.**

- **# of Tags Cited on Potential Citation Screen:** Average number of tags shown as Cited on the Potential Citation screen.

- **# of Tags Cited on 2567**: Average number of final citations on the CMS-2567.

- **% of Potential Citations Cited on 2567:** Average percentage of tags shown as Cited on the Potential Citation screen that were also cited on the CMS-2567 (i.e., # of Tags Cited on 2567 divided by # of Tags Cited on Potential Citation Screen).

What to Look For: The main points to look for in this tab are: a) whether a high percentage of tags proposed by surveyors are not cited by the team on the Potential Citation Screen; b) whether a large number of residents are proposed for tags but are not included in cited tags on the Potential Citation Screen; and c) whether a high percentage of tags cited on the Potential Citation Screen are excluded from the 2567. Review the comparison information to see if your state is notably different from the region and/or nation for any of the columns on the tab. For example, if you see that in your state, an average of 80% of potential citations are included on the 2567 compared to an average of 95% for the region and nation, you may want to examine why your state would have so many potential citations excluded. Keep in mind that the 2567 data are about two months behind the LTCSP data and for the first few rounds of SOAR reports, the 2567 data might be based on very few surveys for your state.

Potential Citation Screen & CMS-2567 Information: Survey Level

This tab shows the same information as the Comparison Information tab except on the individual survey level (i.e., actual counts and percentages are displayed rather than averages). Surveys are listed on the left side of the tab in order by most recent Exit Date. ZIP Code, County, and Exit Date are noted for each survey.

Information is again grouped into two sections:

1) **All LTCSP Surveys - Potential Citation Screen**, which includes information from all LTCSP surveys for the time period; and

2) **LTCSP Surveys with 2567 Data**, which includes information only from the LTCSP surveys that have 2567 data. Because the 2567 data lag by about two months, this group of surveys will always be smaller than the total group.

The data columns for these two groups are the same as for the Comparison Information tab. Note that the **LTCSP Surveys with 2567 Data** section of the tab likely will be blank for surveys with recent Exit

Dates. The 2567 information will be provided in future reports as the data come in, typically around two months after the survey exit date.

What to Look For: Review the information to identify any survey level patterns that might be contributing to the differences you see in your state comparisons. For example, if your state has a higher percentage **of tags proposed on the Potential Citation Screen but not cited by the team compared to the region and** nation, you might look to identify particular surveys that show a high percentage of tags that were proposed but not cited by the team. You can then determine whether particular surveyors or survey teams tended to have this occur and have discussions to see why so many tags are proposed but not cited by the team. You can then implement new practices or resolve confusion around the issue and use the SOAR report to look for improvement in this area over time.

Investigations, Surveyor Initiations & Citations: Survey Level

This tab provides a survey level view of investigations and citations. Each survey is listed along the left side, including facility name, ZIP code, county, and Exit Date. All of the investigative care areas are listed across the top. Each investigative area has the following columns:

- **FI:** There will be an "x" in the FI column if the investigative care area was marked for further investigation and investigated during the survey.
- **SI:** If the area was surveyor initiated, an "x" will appear in the SI column.
- **Cite:** If the area was cited (for at least one resident), there will be an 'x' in the Cite column.

What to Look For: On this tab, you can see exactly which investigative care areas were investigated on each survey and whether the investigation resulted in a citation. You can use these data to drill down to specific surveys. For example, if you are concerned about the high percentage of surveys where ADLs were marked for FI but not cited (which you have learned based on review of other SOAR tabs), you can easily scroll down the list to find surveys where it was investigated but not cited. You may notice patterns by ZIP code that help you identify that a problem is occurring in particular geographic areas, you may see that specific issues are occurring frequently for particular survey teams, or you may determine that a potential issue is occurring across all teams and ZIP codes. Using this information, you can examine why the identified issues are occurring by discussing the findings with the relevant surveyors, whether particular team(s) or across all teams. You can then act to resolve the issues, whether through targeted training or other changes.

FRIs and Complaints: Comparison Information

This tab displays information on complaints and FRIs. With the release of the 11.2 version of the software, FRIs and Complaints are part of the survey shell and appear on the Offsite Preparation Screen. Using that screen, the TC can link the complaint to a task, a specific resident, a closed record or directly to an investigative area. Up to five complaint/FRI residents can be added to the initial pool (via the offsite prep screen). With the release of the 11.4 version of the software, an Initial Pool indicator was added to the Resident Manager screen. The averages on this worksheet use that Initial Pool indicator, so the surveys presented on this tab are limited to those conducted with the 11.4 software (or later versions).

The tab shows the following information:

- **# of Surveys with Complaints:** Total number of surveys with complaint and/or FRI residents.
- **Total Resident Complaints/FRIs**
  - # of Residents: Average number of residents across surveys with any type of resident-specific complaints.
  - % Cited: Percentage of residents with resident-specific complaints that were cited.

Note: Total Resident Complaints/FRIs is based on the five different types of complaints (i.e., those shown on this tab and described below). However, the total may not be the sum of the residents listed under the individual types of complaints because a single resident can be counted under multiple types. For example, a resident may have a direct investigation complaint and a task related complaint and also an initial pool related complaint. Such a resident would be listed in the total as one resident, but would also be counted as one resident for each of the three different complaint types.

- **Closed Records**
  - # of Residents: Average number of residents across surveys with complaints related to closed records.
  - % Cited: Percentage of residents with complaints related to closed records that were cited for those complaints.
- **Direct Investigations:** Occurs when the area of concern is not covered by an initial pool area and the TC assigns an investigative area or Ftag for investigation, bypassing the initial pool process.
  - # of Residents: Average number of residents with complaints assigned for direct investigation.
  - % Cited: Percentage of residents with complaints assigned for direct investigations that were cited for those complaints.
- **Facility Tasks**: Includes both mandatory and triggered tasks.
  - # of Residents: Average number of residents with complaints related to facility tasks.
  - % Cited: Percentage of residents with complaints related to facility tasks that were cited for those complaints.
- **Initial Pool Residents:** Residents with complaints related to the initial pool areas, such as Activities or Choices. They may have been linked to care areas on the offsite prep screen or they may be residents added to the complaint or FRI subgroup on the Resident Manager screen after the offsite prep was completed.
  - # of Residents: Average number of residents with complaints related to initial pool areas.
  - % Cited: Percentage of residents with complaints related to initial pool areas that were cited for those complaints.
- **Total Nonresident-Specific Complaints**: Complaints listed with "facility, facility" as the resident name on the offsite prep screen. These are general complaints that don't apply to a specific resident or anonymous complaints.
  - # of Residents: Average number of residents with nonresident-specific complaints.
  - % Cited: Percentage of residents with nonresident-specific complaints that were cited for those complaints.
- **Total Not Investigated Complaints:** Complaints that do not get investigated, whether missed, overlooked, or for any other reason. For example, if the TC links a complaint to a resident on the offsite prep screen and picks initial pool care areas but forgets to include the resident in the initial pool, that resident will be counted as missed (unless the TC notices the mistake at some point during the survey and conducts the investigation). If a resident is marked for the complaint or FRI subgroup on the resident manager screen but not investigated, that resident would be part of the "not investigated complaint" count.
  - # of Residents: Average number of residents across surveys for whom a complaint was not investigated.

What to Look For: Review the information to determine how frequently resident-specific complaints of any type are cited. You may also wish to identify which types of complaints are most and least common in your state, and the frequency with which each type is cited. Is the data showing what you expected? Look also for the average number of residents for whom a complaint was not investigated. Lower numbers will help you confirm that your survey teams are not missing complaint or FRI investigations. As you identify trends that you would like to reinforce or turn around, you can refer to the survey level data on complaints and FRIs available on the next tab in the spreadsheet (described below).

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FRIs and Complaints: Survey Level

This tab contains the same complaint and FRI information as the prior tab but it lists the data for each survey individually. Surveys are listed down the left side along with ZIP Code, County, and Exit Date.

What to Look For: If you see something in the averages on the prior tab that concerns you, you can use this tab to identify particular surveys that influenced the potentially problematic trends. For example, if the prior tab indicated that complaints were going uninvestigated more often than you would expect, you can quickly scan down the rightmost column on this tab to identify any surveys that had uninvestigated complaints. You may discover that a particular survey team consistently had missed complaint investigations on their surveys. You could then discuss the issue with the team and discover why this might be occurring (e.g., the TC tended to forget to include complaint residents in the initial pool [when relevant] and resolve the issue).

Even if you don't see anything of concern on the prior tab, you can use this tab to review survey information. For example, is your state consistently following the CMS policy of limiting the initial pool to five complaint/FRI residents? You can quickly scan the "Initial Pool Residents" column to see if any surveys exceed the limit. If so, you can reinforce the policy to ensure that any complaint/FRI residents exceeding five are not included in the initial pool. This helps ensure that surveyors focus largely on offsite selected and onsite selected residents for the initial pool. If more than five complaint/FRI residents are included on the survey, five should be chosen for the initial pool and those over five should be included as "additional complaints" and investigated for their complaint allegations rather than including the residents in the initial pool interview, observation, and record review workload.

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