Writing A Plan of Correction
Back to Basics
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Objectives

► Participants will be able to identify core elements of a detailed Plan of Correction (POC)
► Participants will be able to describe a systematic approach to write and implement a POC
► Participants will be able to design a plan to monitor implementation
Writing a Plan of Correction

► OIG Work plan 2015
► State agency verification of deficiency corrections
► We will determine whether State survey agencies verified correction plans for deficiencies identified during nursing home recertification surveys. A prior OIG review found that one State survey agency did not always verify that nursing homes corrected deficiencies identified during surveys in accordance with Federal requirements. Federal regulations require nursing homes to submit correction plans to the State survey agency or CMS for deficiencies identified during surveys. (42CFR § 488.402(d).) CMS requires State survey agencies to verify the correction of identified deficiencies through onsite reviews or by obtaining other evidence of correction. (State Operations Manual, Pub.No.100-07, §7300.3.) (OAS; W-00-13-35701; W-00-14-35701; various reviews; expected issue date: FY2015)

Writing a Plan of Correction

► Begins during the survey

► Collecting notes
► Copying of documents
► Sharing information between team members
► Identifying potential concerns
► Monitoring for trends
Writing a Plan of Correction

- Continues when the team exit
  - Note takers
  - Meet to review findings
  - Develop team leaders and teams to determine validity
  - Start the assessment of the issues
  - Gather information from multiple sources
    - Record reviews
    - Observations
    - Interviews of residents, staff, and families

Writing a Plan of Correction

- Continues when the team exits (cont.)
  - Verify the problem
  - Conduct a root cause analysis
  - Review of policy, procedures, and practices
  - Identify resolution
  - Create and revise necessary tools
  - Determine monitoring
Writing a Plan of Correction

- Notification letter to Administrator addresses key time periods
  - Survey exit date
  - POC required by date
  - Termination date

Writing a Plan of Correction

- Notification letter to Administrator addresses key points
  - Most serious deficiencies found
  - Category of remedies
  - Corrections completed by 60th day
  - Final corrections by 90th day to avoid denial of payment for new admissions
  - Consequences of post-survey revisit
  - Informal Dispute Resolution instructions
Writing a Plan of Correction

- **Facility options**
  - Accept the deficiencies cited on the CMS-2567 and submit a Plan of Correction; or
  - Record specific objections on the CMS-2567 and submit a timely plan of correction; or
  - Record specific objections on the CMS-2567 without submitting a plan of correction.

Writing a Plan of Correction

- **Review of the Statement of Deficiency (for each deficiency)**
  - The deficiency
  - Prefix
  - Data tag number, scope and severity
  - Code of Federal Regulations (CFR) reference number
    - (Example: SS=D F314, 483.25(c), Pressure Sores)
  - A statement that the requirement is not met
  - Evidence supporting the validity of the deficiency
Writing a Plan of Correction

- **Statement of Deficiency (cont.)**
  - Specifically reflects the content of each requirement that is not met
  - Clearly identifies the specific deficient entity practices and objective evidence concerning these practices
  - Identifies the extent of the deficient practice including systemic practices, where appropriate
  - Identifies the source(s) of the evidence e.g., interview, observation, or record review

Writing a Plan of Correction

- **The Plan of Correction is...**
  - A formal statement informing state and federal agency of actions taken to correct deficiency
  - A legal document
  - Publicly posted
Writing a Plan of Correction

- A detailed Plan of Correction (POC) will include...
  - What corrective actions(s) will be accomplished for those residents found to have been affected by the deficient practice;
  - How you will identify other residents having the potential to be affected by the same deficient practice and what corrective action will be taken;
  - What measures will be put in place or what systemic changes will you make to ensure that the deficient practice does not recur;
  - How the corrective actions(s) will be monitored to ensure deficient practice will not recur, i.e., what quality assurance program will be put into practice.
  - The date for correction and the title of the person responsible for correction of deficiency.

Writing a Plan of Correction

- What corrective actions(s) will be accomplished for those residents found to have been affected by the deficient practice;
  - Specific actions to be taken for each resident cited
  - State specifically what you did
  - Reflect specific changes made based on deficiency cited
  - Examples ...
    - Care plan reviewed and revised as needed
    - Pressure ulcer re-assessed and treatment changed
Writing a Plan of Correction

► How you will identify other residents having the potential to be affected by the same deficient practice and what corrective action will be taken;
  ► Are all residents potentially affected
  ► Are specific residents affected
  ► Keep the scope as narrow as possible
  ▶ Examples...
    ◀ Residents requiring pressure ulcer care
    ◀ Residents using oxygen
    ◀ Residents wearing splints
    ◀ Residents receiving “prn” medications

Writing a Plan of Correction

► How you will identify other residents having the potential to be affected by the same deficient practice and what corrective action will be taken; (cont.)
► Ways to identify other residents, conduct...
  ▶ Medical record audits
  ▶ Observations
  ▶ Interviews
  ▶ Computer report review
  ▶ MDS review
  ▶ Care plan review
Important to keep the scope as narrow as possible so that on revisit the scope is narrow as well. For instance, if the issue is oxygen we would focus on residents with oxygen not ALL residents.

Michelle Synakowski, 10/28/2015
Writing a Plan of Correction

What measures will be put in place or what systemic changes will you make to ensure that the deficient practice does not recur;

Examples...
- Policy and procedure reviewed and revised
- In-service staff
- Re-educate
- Competency created or revised
- Audit tool created or revised

Caution...
- Be specific to the deficiency
- Be cautious of language that implies guilt i.e. disciplined, corrected

How the corrective actions(s) will be monitored to ensure deficient practice will not recur, i.e., what quality assurance program will be put into practice.

Addresses how the QA committee will oversee the deficient practice
- Audits conducted how often
- Measureable
  - Frequency and quantity
    - Monthly 10 percent of ...
- When presented to QA meeting
Writing a Plan of Correction

- How the corrective actions(s) will be monitored to ensure deficient practice will not recur, i.e., what quality assurance program will be put into practice.
  (cont.)
- Consider
  - A statement supporting QA oversight of ongoing monitoring
  - Findings to be reported to the QA committee on a monthly basis for a year. Subsequently to be reviewed and revised pursuant to our QA process

Writing a Plan of Correction

- The date for correction and the title of the person responsible for correction of deficiency
  - Acceptable time frame based on scope and severity
  - No later than 60 day
  - Be specific on who will monitor
    - Monitored by one level above deficient practice found
      - ADON/DON
      - Administrator
      - CEO/Board
Writing a Plan of Correction

For each Deficiency

- Validate all residents listed in SOD included in POC
- All deficiencies are addressed
  - Excluding isolated with no actual harm and only the potential for minimal harm
- Residents cited in more than one deficiency are included in each correction
- Required elements for each deficiency noted are included and complete

Writing a Plan of Correction

Standards of Care

Even though they are not written in law, nursing standards have important legal significance. The allegation that a nurse failed to meet appropriate standards of care, and that breach of these standards caused harm to a patient, is the premise of every nursing malpractice lawsuit (Nurse’s Legal Handbook, 2004).
Writing a Plan of Correction

- Interpretive Guidelines
  - Do not have the force of law
  - Useful in writing the POC
  - Statements of compliance
  - Definitions
  - Assessment
  - Planning
  - Monitoring

Writing a Plan of Correction

- Policy and Procedure
  - Formalized
  - Evidence-based
  - Reviewed
  - Trained
  - Evaluated
Writing a Plan of Correction

► Consider...

► Using a disclaimer as the introduction

► “This plan of correction constitutes our written allegation of compliance for the deficiencies cited. However, submission of this plan of correction is not an admission that a deficiency exists or that one was cited correctly. This plan of correction is submitted to meet requirements established by state and federal law” (Acello, 2013, p. 122).

► Alleged deficient practice

Writing a Plan of Correction

► Consider (cont.)

► Begin each plan by reiterating the facility’s continuous compliance with the requirement

► Include policy statements, such as “it is the policy of this facility”

► Include dates when follow up occurred, and incorporate present tense verbs such as monitors, observes, are being, have or have been, etc
Writing a Plan of Correction

Consider (cont.)

- The facility is constructing a record of how well standards of care have been met
  - Prevent using language that can be misinterpreted
- Be concise, detailed, and reasonable
- Use the nursing process
  - Assess the situation
  - Formulate the problem
  - Determine goals and priorities
  - Implement a plan
  - Evaluate outcomes

Consider (cont.)

- Incorporate uniform educational requirements
- Standardized care and treatment regimes
- Proceed through each deficiency statement point-by-point
  - Verify meet federal requirements
- Find ways to support and display the facility’s hard work and compliant performance
Writing a Plan of Correction

► Consider (cont.)

► Objective terminology
► Avoid defensive language
► Use positive, non-judgmental language
► Avoid using abbreviations, technical terms, or initials

► Consider (cont.)

► Training and Education
  ► Specific content of information
  ► Training goals that the facility wishes to achieve
  ► Teaching strategies used to achieve the goals
  ► Results of the training
Writing a Plan of Correction

- **Consider** (cont.)
  - When responding to the statement of deficiencies, the facility will need to meet reasonable standards of practice
  - Convey relevant facts in chronological order
  - Answer the questions that surveyors ask
    - How does facility evidence support compliance
    - Where is evidence supporting compliance
    - System compliance

Prepare for Revisit

- **Prepare for the revisit**
  - Create a binder/file for each tag
  - Include a section for each tag cited
  - Supporting detail for each category
  - Rehearse and prepare staff
Electronic Plan of Correction (ePOC)

- DAL 15-03 RE: Electronic Plan of Correction (ePOC)
- NH-DAL-13-03 - REVISED

**RE: ELECTRONIC PLAN OF CORRECTION (EPOC)**

- In an effort to streamline communications with nursing homes, the New York State Department of Health (NYSDOH) implemented an electronic Plan of Correction (EPOC) application, effective August 1, 2013.
- https://nysdoh.webex.com/nysdoh/lsr.php?AT=pb&SP=TC&rID=62658282&act=pb&rKey=345c65de711014ea
- Administrator role: may read SODs/POCs, edit, save, and submit POCs;
- POC Editor role: may read SODs/POCs, edit and save POCs; and
- Operator role: may read SODs/POC

**ePOC System: Core Process**

*Review and disposition (i.e. Rejection or Approval) occurs independently for each tag*
ePOC

- Submitting POCs to DOH When a survey is posted to ePOC, facility users must submit the POC information, which consists of POC Text and a Completion Date, to DOH for review and approval. An ESignature/Attestation is required for each tag. POC information can be saved without submitting. Only a Facility POC Submitter (i.e. POC Authorized Signer) can submit POC information. A Facility POC Editor can draft POC information but cannot submit it. A Facility Viewer can neither draft nor submit POC information, but can see SOD and POC information.

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ePOC

- Submitting a POC
  - 1. Open ePOC as a Facility POC Submitter (i.e. POC Authorized Signer)
  - 2. If multiple facility user, click the facility link
  - 3. Click the survey link
  - 4. Click on a tag link
  - 5. Enter POC Description text
  - 6. Enter the Complete Date
  - 7. Click the Submit button
Survey Detail

Event ID: HCE411  Survey Date: 07/13/2012  Status: Open

F000  INITIAL COMMENTS
Observations: ink comments

Plan of Correction:
Completion Date (X): 08/31/2012  Status: No POC

F1513  483.145(d)(2) RIGHT TO ACCESS/PURCHASE COPIES OF RECORDS
The resident or his or her legal representative has the right upon an oral or written request, to access all records pertaining to himself or herself including current clinical records within 24 hours (excluding weekends and holidays); and after receipt of his or her records for inspection, to purchase at a cost not to exceed the community standard photocopies of the records or any portions thereof upon request and 2 working days advance notice to the facility.
Observations:
tag 0153

Plan of Correction:
pec for tag 0153
Completion Date (X): 08/31/2012  Status: Rejected
Date: 07/14/2012

F257  483.18(b)(11) NOTIFY OF CHANGES (INJURY/DECLINE/REHAB, ETC)
A facility must immediately inform the resident; consult with the resident’s physician; and if known, notify the resident’s legal representative or an interested family member when there is an accident involving the resident which results in injury and has the potential for requiring physician intervention; a significant change in the resident’s physical, mental, or psychosocial status (i.e., a deterioration in health, mental, or psychosocial status in either life threatening conditions or clinical complications); a need to alter treatment significantly (i.e., a need to discontinue an existing form of treatment due to adverse consequences, or to.

Plan of Correction:
pec for tag 0157
Completion Date (X): 09/14/2012  Status: Approved
Date: 07/14/2012

Plan of Correction tag 0001 - TEST TAG 0001 (2 Test State Regs)

Survey Exit: 08/08/2012  POC Due: 08/15/2012
Survey Posting: 08/08/2012  POC Status: No POC

Observation Text

Tag 0001

POC Description:
This is the POC information to be submitted for this tag.

Enter POC Text here

Click the Submit button to submit the POC

Completion Date (X): 08/31/2012  POC Completion Date entered here

Save  Submit

Plan of Correction view showing Facility POC Submitter (i.e. POC Authorized Signer) submitting final POC information
ePOC

Complete the Attestation of POC Submittal page by clicking the I Agree button

ESignature/Attestation required for each submitted tag

Drafting a POC

- Open ePOC as a Facility POC Editor
- If multiple facility user, click the facility ID link
- Click the survey link (Event ID)
- Click on a tag link (Tag Number)
- After the POC Entry window displays, enter the POC text
- Enter the Completion Date
- Click the Save button
**ePOC**

- **Submitting a Draft POC**
  - Open ePOC as a Facility POC Submitter (i.e. POC Authorized Signer)
  - If the facility user can access multiple facilities, click the facility link
  - Click the survey link
  - Click on a tag link for a tag in Fac Draft status
  - Click the Submit button

- **Deficiency-Free Surveys**
  - **Acknowledging a Deficiency-Free Survey**
    - Open the ePOC application as a Facility POC Submitter
    - For users with access to multiple facilities, click the Facility ID link.
    - Click the Event ID link for a deficiency-free survey.
    - Click the Acknowledge SOD button.
ePOC

- POC-Related Email
- The ePOC system generates several facility email notifications automatically during the ePOC process.
  
  - **Facility POC Submitted Email** - This email is sent to the facility when each tag is submitted.
  - **POC Approval Email** - This email is sent to the facility when a tag is approved.
  - **POC Rejected Email** - This email is sent to the facility when a tag is rejected and includes the reject reason(s).
ePOC

► POC-Related Email (cont.)

► Final POC Accepted Email - This email is sent to a facility on DOH acceptance of all tags for the survey.

► No Response Emails (No POC Ever Received and Rejected Tags w/o Subsequent POC) - These emails are sent when a facility has not responded in a timely manner to the original survey posting or to a rejected POC.
POC Approval Email

SUBJECT: POC for Tag #0104 Approved: IX5811 - A NEW ADULT CARE FACILITY
(Survey Completed 08/10/2012)

BODY:

Facility: NY11986/A NEW ADULT CARE FACILITY;
Facility Type: ACH
Survey Type: State
Survey Category: RELIC
Survey Dates: 08/10/2012 - 08/10/2012
Event ID: IX5811
Citation: 0104/INTRODUCTION.

POC Approval Date: 09/30/2013

Your Plan of Correction (POC) for Tag: 0104/INTRODUCTION, has been approved by the Department of Health.

You may contact your area office representative with any questions regarding this matter.

Please do not reply to this message.
Thank you.

POC Rejected Email

SUBJECT: POC for Tag #0153 Rejected: 2Q7011 - BERKS HEIM (Survey Completed 08/09/2012)

BODY:

Facility: 02102/BERKS HEIM
Facility Type: SNF/NF
Survey Type: Federal
Survey Category: CMPIVT
Survey Dates: 08/09/2012 - 08/09/2012
Event ID: 2Q7011
Citation: 0153/RIGHT TO ACCESS/PURCHASE COPIES OF RECORDS

POC Rejection Date: 09/30/2013

Your Plan of Correction (POC) for Tag: 0153/RIGHT TO ACCESS/PURCHASE COPIES OF RECORDS has been rejected for the following reason(s):

Does not include the measures the facility will take or the systems it will alter to ensure that the problem does not recur.

(Additional comments may be posted in ePOC.)

Please submit a revised POC via the ePOC website (https://commerce.health.state.ny.us) as soon as possible or by a date that may be specified in comments in ePOC.

You may contact your area office representative with any questions regarding this matter.

Please do not reply to this message.
Thank you.
Final POC Accepted Email

SUBJECT: Final POC Accepted: IX:5811 - A NEW ADULT CARE FACILITY (Survey Completed 08/10/2012)

BODY:

Facility: NY:119889/A NEW ADULT CARE FACILITY
Facility Type: ACH
Survey Type: State
Survey Category: REUC
Survey Dates: 08/10/2012 - 08/10/2012
Event ID: IX:5811
SOD Posting Date: 08/10/2012
Final POC Accepted Date: 05/30/2013

The Plans of Correction for all tags on this survey have been accepted by the NYS Department of Health (the Department). Please continue implementation as the Department will monitor effectiveness during future surveillance activities.

You may contact your area office representative with any questions regarding this matter.

Please do not reply to this message.
Thank you

No Response Emails (No POC Ever Received and Rejected Tags w/o Subsequent POC)

SUBJECT: Plan of Correction (POC) Overdue: DXR611 - GOLDEN HILL NURSING HOME, INC (Survey Completed 07/12/2012)

BODY:

Facility: 850302/GOLDEN HILL NURSING HOME, INC.
Facility Type: SNF/NF;
Survey Type: Federal/State
Survey Category: CMPVTV
Survey Dates: 07/12/2012 - 07/12/2012
Event ID: DXR611
Statement of Deficiencies (SOD) Posted Date: 07/12/2012

Please note that POC(s) are overdue for the following citation tags. The POC(s) should be submitted immediately on the ePOC web site (https://ecommerce.health.state.ny.us):

- Citation 0000: INITIAL COMMENTS
- Citation 0154: INFORMED OF HEALTH STATUS, CARE, & TREATMENTS

Please do not reply to this message.
QUESTIONS?

- Linda Winston, RN, MSN, BS, RAC-CT, C-NE/MT
  - ProCare Consultant

References

- New York State ePOC Facility User Manual
- OIG Work Plan Fiscal Year 2015 available at http://oig.hhs.gov/