COLYAR CONSULTING GROUP, INC.

Colorado Healthy Eating Application and Reimbursement System (CHEARS)

Compliance – Administration (Web)

User Manual

Colorado Department of Education

Division of School and Community Nutrition

FINAL V1.0

For State Users

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Introduction

*Welcome to the Colorado Healthy Eating Application and Reimbursement System (CHEARS) user manual for the web-based Compliance administration sub-module. This sub-module is used to administer compliance reviews for the Child and Adult Care Food Program (CACFP). The Compliance administration sub-module is web-based and accessible via the respective CHEARS program module. The purpose of this sub-module is to provide State management staff the ability to schedule reviews and track key review, as well as provide the ability for Institutions to submit their Corrective Action Documents (CADs). This should **not** be confused with the Compliance laptop software which is used to perform on-site reviews and view the results of these reviews.*

Web Site Benefits and Features

CHEARS is a user-friendly web application that allows authorized users to submit and approve application, claims, and miscellaneous forms via the Internet, as their security rights permit. Key system features include:

- A software system that manages information regarding Institutions, applications, claims, and reports.
- A single integrated database which serves all child nutrition programs.
- The ability to save partially completed forms on-line, allowing the user to complete the process at a later time.
- Individual User IDs and passwords for secure login to program functions and accurate tracking of user behavior.
- A robust security module that streamlines security setting controls by enabling administrators to easily assign users to numerous pre-defined groups and eliminating the need to manually set each user's security access.

User Manual

This user manual is intended for use by authorized state users that administer the Child and Adult Care Food Program for Centers and Day Care Homes program. It is designed to provide a general understanding of how to use the system in an effective and efficient manner. This manual will provide:

- A general explanation of each feature available.
- Screen examples of web site pages and forms.
- Step-by-step instructions for utilizing the web site features.
- Tips and notes to enhance your understanding of the system.

2

Getting Started

Before you can begin using CHEARS, you must be assigned a user ID and password hat provides the required security rights. Once this setup is complete, you may use the Internet and your assigned user ID and password to access and log onto the CHEARS web site.

Accessing the Web Site

You can access CHEARS from any computer connected to the Internet by opening your Internet browser and entering the CHEARS URL in the browser's address line. **The CHEARS URL for the production environment is:**

https://cdphe.cnpus.com/chears/splash.aspx

TIP: You can add this URL to your browser's FAVORITES list or create a shortcut to the web site on your desktop for quicker access to the site. Refer to your browser or operating system help files for further information.

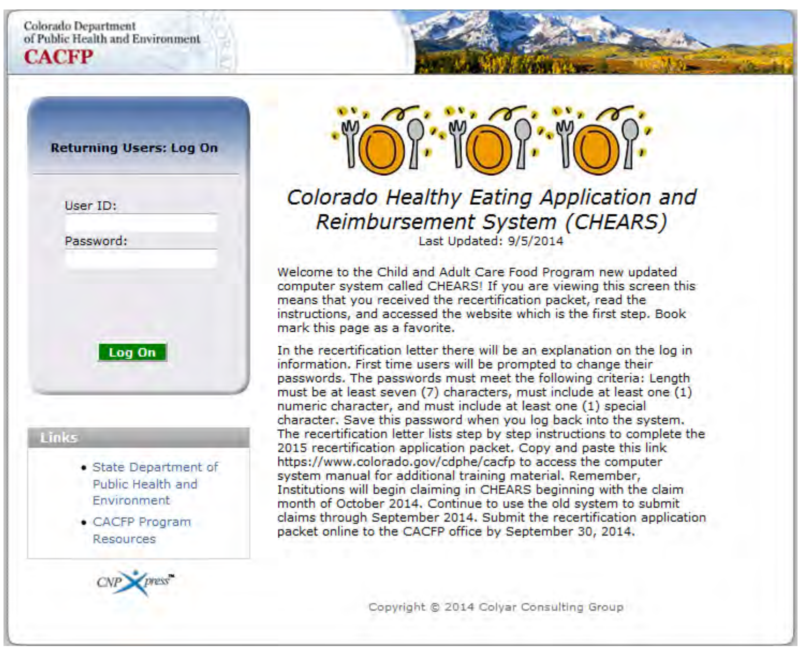


Figure 1: CHEARS Home Page

About the CHEARS Home Page

The CHEARS Home Page consists of three major sections:

- Bulletin Board.
- Log on.
- Links.

The bulletin board is managed by CDPHE and provides general information. It is important to remember that the bulletin board on the home page is viewable by the public.

The log on section is where authorized users enter their User ID and password. It also provides a link for users that have entered a valid User ID, but have forgotten their password, to be transferred to another webpage to reset their password.

Logging On

To log on

1. Access CHEARS by typing the URL into the address line of your web browser.
2. Enter your assigned **User ID**.
3. Enter your **Password**.
4. Select **Log On**.

Note: If you do not have a User ID and Password, contact the CHEARS Help Desk.

TIP: The Password is case-sensitive, so be sure to use upper and lower-case letters, if necessary.

To change your password

If this is your first time logging on, the system will automatically require you to change your password.

1. Select a new password and enter it into the box provided.

2. Re-enter your new password for confirmation.

3. Select **Save** to continue to the CHEARS Programs page.

Note: Security configuration settings require a password ten (10) to twelve (12) characters in length. Please note that the password must be at least ten (10) characters in length.

The password must contain at least one number, one letter, and one special character (e.g., !, ?, /). Passwords are case sensitive.

CHEARS Content Overview

Once you are logged in and have selected an Institution, the top portion of the CHEARS application contains key elements that provide basic information about your location within the system and the selected Institution.

Figure 2: CHEARS Content Overview

Item	Description
Program Name	The selected program name appears in the gray area at the top of the page.
Menu Items	Menu items display on the blue menu bar at the top of the page. Selecting a menu item will take you to its menu page. Users may not have access to all menu items. If you are unable to select a particular menu item, you do not have the necessary security rights. Contact the CHEARS Help Desk for assistance.
Breadcrumb Trail	The navigation, or breadcrumb trail, identifies your location within the web site. Selecting a specific portion of the trail will take you back to that particular screen.
School Year	The selected school year displays on the right beneath the menu bar. Upon logging in, the system defaults to the most current active school year.
Logout	The logout button displays in the menu bar. It is recommended to select **Logout** to properly exit the system.

Screen Options

Data entry screens in the system offer the user some or all of the following options: **VIEW, MODIFY, DELETE, and INTERNAL USE ONLY**. The Screen Options area is located on the top right side of the screen, directly beneath the colored bar.

Figure 3: Screen Options - example

The following table describes each of the possible screen options. Not every option is available on every screen. Screen options are controlled by the type of screen and security.

Item	Description
VIEW	Presents the screen information in 'view-only' mode. In this mode, the user cannot modify any data.
MODIFY	Presents the screen in 'modify' mode. In this mode, the user can modify field data and save the data after pressing the save button at the bottom of the screen.
DELETE	Deletes the current record displayed on the screen. The user will be presented with a confirmation screen to validate that they intend to delete the record.
INTERNAL USE ONLY	This option is only available to authorized State users only. This is available for screens that have an Internal Use Only section, which is typically at the bottom portion of the screen. Selecting this option will result in the fields in the Internal Use Only section to become editable.

CHEARS Programs Page

Once you successfully log on, the CHEARS Programs page is displayed. Actual access to specific modules is based on the user's security rights.

TIP: The Accounting, Maintenance and Configuration, and Security tiles are always gray because these are administrative modules that are available to only authorized State users. Institutions will not have access to these modules. Only select authorized State users will have access to these modules.

Figure 4: CHEARS Programs Page

Selecting this button…	Provides…
Accounting	Access to the Accounting Module home page
Child and Adult Care Food Program	Access to the Child and Adult Care Food Program home page
Maintenance and Configuration	Access to the Maintenance and Configuration module home page
Security	Access to the Security Module home page

Error Processing

All information entered and saved on the system is verified to ensure it conforms to data entry guidelines and system rules. The site performs two types of checks on information entered: Input Edits and Business Rule Edits.

Input Edits

Whenever you save information or proceed to a new screen, the site checks for input errors. These errors may include entry errors such as an invalid data entry (such as entering a 4-digit Zip Code), or a non-logical entry (e.g., entering a greater number of eligible than enrolled children).

If a form contains an input error and the user selects **Save**, the screen either displays the error code and description in red at the top of the page (and the error code is a letter) or displays a message next to the field in error. Input errors must be corrected before you can proceed. The system will not save data entered on a screen that contains an input error. The user must correct the input errors and select **Save** again.

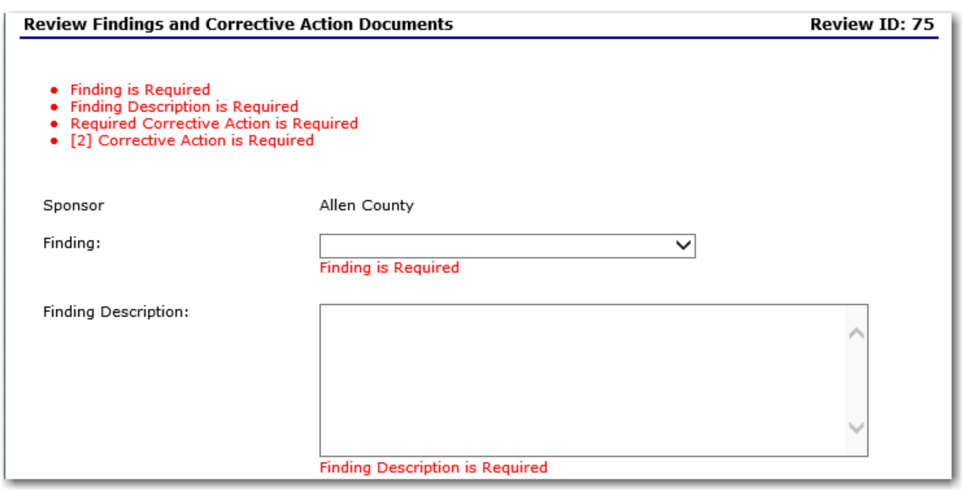
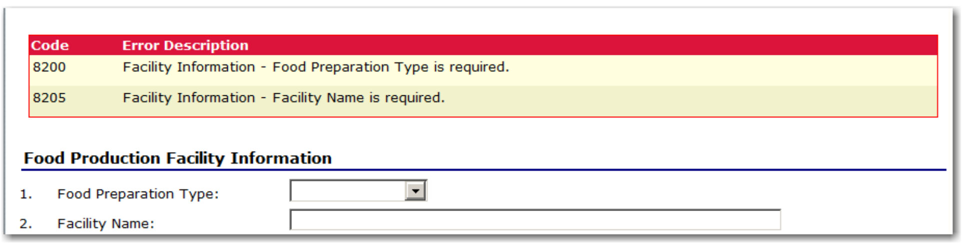


Figure 5: Example of an Input Error (Partial Screen)

Business Rule Edits

Business rule edits are used to ensure that entered data on a form conforms to state-defined guidelines/requirements and federal regulation. Once the user initiates a save, CHEARS will perform business rule edit checks after all input errors have been corrected and display a confirmation screen stating that data entered has been saved and identifies whether errors exist.

The user may correct business rule errors immediately or at another time. The entered data will not be lost. The errors will display at the top of the screen with an error code (usually 4-5 digits) and error description. Business rule edits do not prohibit the system from saving the data entered on the screen.



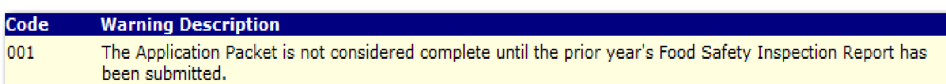
Code	Error Description
8200	Facility Information - Food Preparation Type is required.
8205	Facility Information - Facility Name is required.

Food Production Facility Information

1. Food Preparation Type:
2. Facility Name:

Figure 6: Example of a Business Rule Error (Partial Screen)

In addition, business rule edits have an error severity that indicates whether an error is considered an Error or a Warning. Errors appear in red and must be corrected before the form can be submitted. Warnings appear in blue and indicate an "out of the ordinary" data value. Warning errors do not need to be corrected prior to form submission.



Code	Warning Description
001	The Application Packet is not considered complete until the prior year's Food Safety Inspection Report has been submitted.

Figure 7: Example of a Warning Error

Selecting a Program Year

Information for Institutions and sites is displayed based on the selected program year. Upon logging on to the system, the "active" program year is the default selection and displays in the top-right corner in the blue bar. In order to view information from a prior year, you will need to change the program year.

Note: An Institution will be unable to select a new year if they have not been granted the security right. Contact the CHEARS Help Desk and request access to the **Select Year** security right if you think this is in error.

To select a program year

1. Select **Year** on the blue menu bar at the top of the page. The Year Select screen displays.
2. Select the year.

   Note: The selected year is indicated by **<Selected.**

3. Use the menu bar to return to your task in the program.

TIP: The ability to view and/or modify a school year is controlled by the State's system administrator. It is important to note that a school year may be set as "view only" to the Institutions and "modify" to authorized State users.

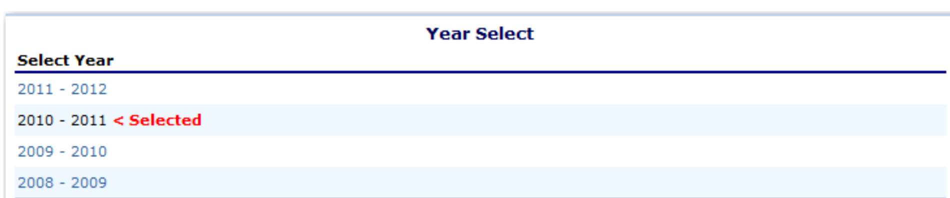


Figure 8: Year Select screen

Institution Search

Note: If you are associated with only one Institution, you will be unable to access the Institution Search screen. The system will always default to the Institution's data.

For most CACFP functions, you must search for and select an Institution using the Institution Search function before beginning any task. When the Institution Search screen displays, you can search for the Institution using all or part of the Institution's ID, Name, or any other combination of parameters provided on this screen.

To search for an Institution

1. On the menu bar, select **Search**. [If the Institution Search screen is already displayed, begin at Step 2.] The Institution Search screen displays.
2. Enter search parameters (see table for additional information on using the search parameters).
3. Select **Search.**
4. Select the Institution you wish to access.

TIP: The Institutions List displays based upon the search criteria entered. If no selections were made, the list displays all available Institutions with the designated status (default is "Active"). To display all Institutions, leave all search parameters blank and select **Search.**

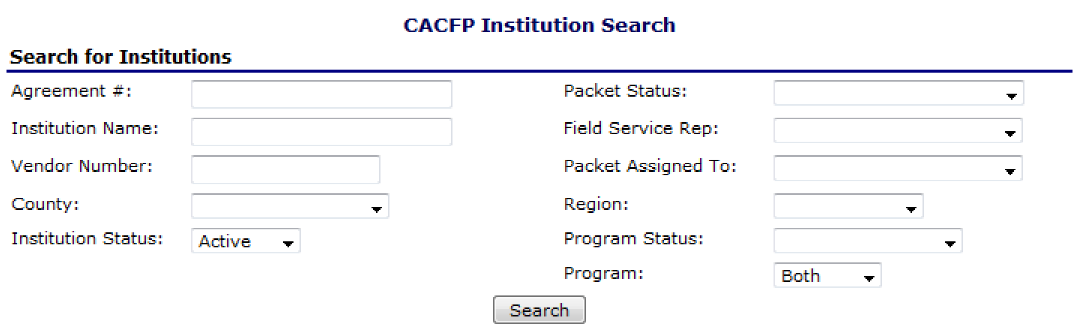


Figure 9: Institution Search screen

Note: Institution users will only see Institutions associated with their user account.

The search parameters follow a specific set of rules. These are described in the following table.

If the type of search is identified as "includes", the system will search for any Institution that includes the parameter in any portion of the selected field. For example, if the user entered "386" in the Agreement Number parameter, the system will retrieve Institutions with Agreement Numbers of "00386" and "01386".

If the type of search is "exact match", the system will search only for any Institution that exactly matches the parameter. For example, if the user selected "Collin" in the County parameter, the system will retrieve all Institutions associated with the county of Collin.

Parameter	Type of Search	Search Features
Agreement Number	"includes"	▪ If in combination with the Institution Name, the Agreement Number takes precedence ▪ If in combination with any other parameter, all parameters are used to perform the search
Institution Name	"includes"	▪ If in combination with the Agreement Number, the Agreement Number takes precedence; this parameter is ignored ▪ If in combination with any other parameter, all parameters are used to perform the search
Vendor Number	"includes"	▪ If in combination with the Agreement Number, the search is performed using both the Agreement Number and this parameter ▪ If in combination with any other parameter, all parameters are used to perform the search
County **Packet Status** **Field Service Rep** **Packet Assigned To** **Region** **Program Status**	"exact match"	▪ If in combination with the Agreement Number, the search is performed using both the Agreement Number and this parameter ▪ If in combination with any other parameter, all parameters are used to perform the search
Institution Status	"exact match"	▪ Required; defaults to "Active"

Parameter	Type of Search	Search Features
		▪ If in combination with any other parameter, all parameters are used to perform the search
Program	"exact match"	▪ Required ▪ Defaults to "Both"; can filter by Centers or DCH ▪ If in combination with any other parameter, all parameters are used to perform the search

3

Compliance - CACFP

This section of the manual provides information on how to navigate to and use the features associated with administering and managing Child and Adult Care Food Programs reviews, as well as Corrective Action Documents (CADs). Through the web-based CACFP Compliance administration sub-module, authorized users can:

- Schedule and track reviews.
- Enter and maintain Institution contact information related to the review.
- Identify sites to be included in the review.
- Manage the requirement for and submission of CADs.
- Enter notes for Institutions to view.
- Enter internal only notes that are viewable only by State users.

Compliance Menu

From within the CACFP module, authorized users would access the Compliance administration sub-module.

To access the Child and Adult Care Food Program Compliance Menu

1. Log on to the CHEARS web site.
2. On the Programs screen, select **Child and Adult Care Food Program**.

Note: If a user only has access to the Child and Adult Care Food Program module, the Programs screen is not displayed

3. The Child and Adult Care Food Program home page displays.
4. On the blue menu bar, select **Compliance.** The Compliance menu screen displays.

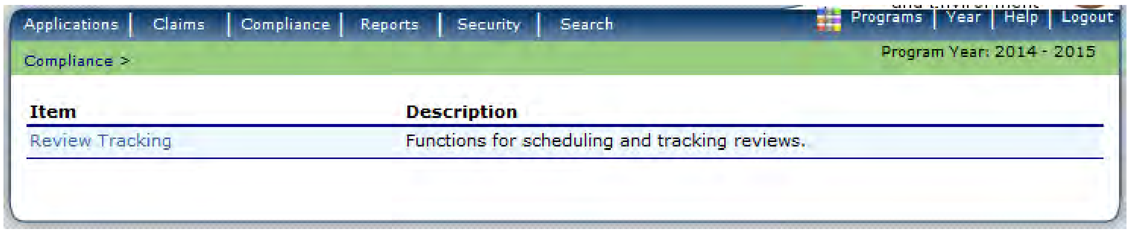


Figure 10: CACFP Compliance Menu

Under the Compliance module, the Review Tracking menu item provides access to all CACFP-related reviews maintained within CHEARS for the selected Institution. Selecting the Review Tracking menu item will display the selected Institutions list of CACFP Reviews. If you have not already selected an Institution, upon selecting the Review Tracking menu item the system will take you to the Search screen to select an Institution.

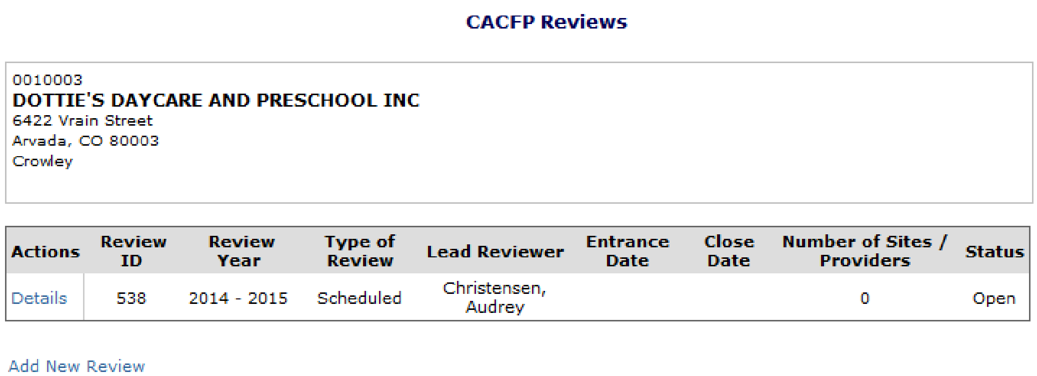


Figure 11: CACFP Reviews List screen

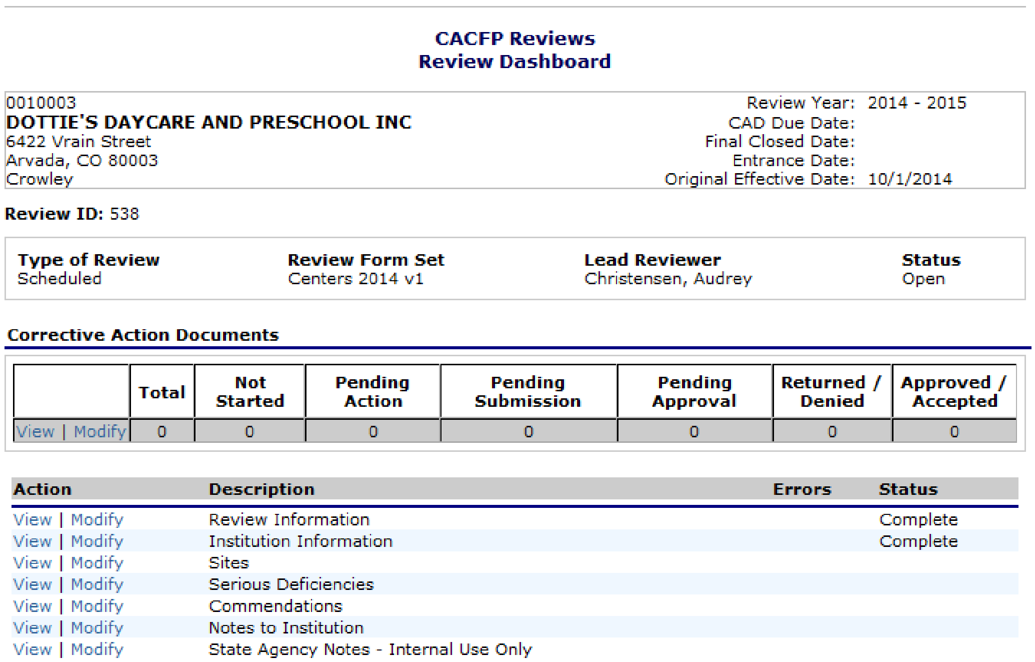
From this screen you can either add a new review or open an existing review to view or modify. In either case, the user is transferred to the Review Dashboard for a summary of the review and a launching point to additional administrative and CAD review information.

Review Dashboard

The Review Dashboard serves as a launching point for all review administration information maintained on the web. It is used to schedule a new review, modify existing information, and maintain Corrective Action Documents (CADs) due and submitted by the Institution.

To access the Review Dashboard

1. If an Institution has not already been selected, search for and select an Institution using the CHEARS Search screen.
2. On the blue menu bar, select **Compliance.** The Compliance menu screen displays.
3. Select **Review Tracking** from the Compliance menu**.** The CACFP Reviews list screen displays.
4. Select the **Details** link for the desired review**.** The Institution's Review Dashboard screen is displayed.



CACFP Reviews
Review Dashboard

0010003
DOTTIE'S DAYCARE AND PRESCHOOL INC
6422 Vrain Street
Arvada, CO 80003
Crowley

Review Year: 2014 - 2015
CAD Due Date:
Final Closed Date:
Entrance Date:
Original Effective Date: 10/1/2014

Review ID: 538

Type of Review	Review Form Set	Lead Reviewer	Status
Scheduled	Centers 2014 v1	Christensen, Audrey	Open

Corrective Action Documents

	Total	Not Started	Pending Action	Pending Submission	Pending Approval	Returned / Denied	Approved / Accepted
View | Modify	0	0	0	0	0	0	0

Action	Description	Errors	Status
View | Modify	Review Information		Complete
View | Modify	Institution Information		Complete
View | Modify	Sites		
View | Modify	Serious Deficiencies		
View | Modify	Commendations		
View | Modify	Notes to Institution		
View | Modify	State Agency Notes - Internal Use Only		

Figure 12: CACFP Reviews – Review Dashboard screen

To add a new review

The following steps detail how to add a new review for the selected Institution.

1. Search for and select an Institution, if applicable.

2. Select **Review Tracking** from the Compliance menu**.**

3. Select **Add New Review.**

4. Complete the CACFP Reviews – Tracking screen. **Note:** the following fields are <u>required</u> to schedule a review:

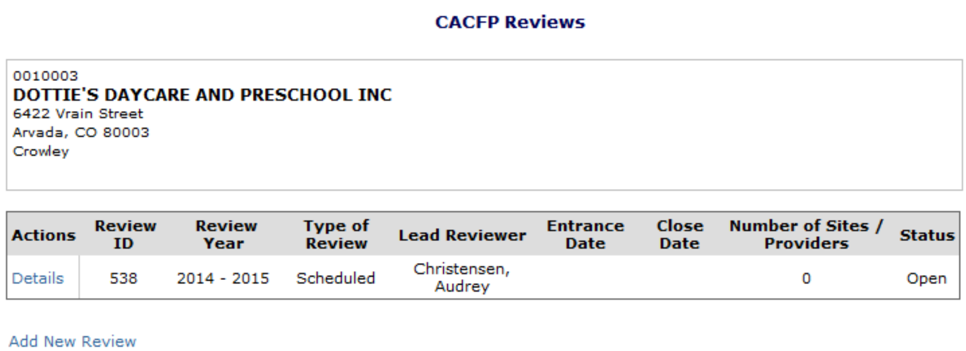
    - Review Form Set
    - Review Type
    - Lead Reviewer (if unknown, select manager's name)

5. Select **Save.**

Note: If a Reviewer's name does not appear in the Lead Reviewer dropdown list, contact your State Administrator. This dropdown list is controlled by the State via the Maintenance and Configuration > Rep & Consultant User Maintenance table.

Note: A new review must be scheduled within the Compliance administrative web software before it can be downloaded to a laptop. Once a new review has been added and saved, the system will display additional forms on the Review Dashboard.

Figure 13: CACFP Reviews List screen – No Review Exist (example)



Actions	Review ID	Review Year	Type of Review	Lead Reviewer	Entrance Date	Close Date	Number of Sites / Providers	Status
Details	538	2014 - 2015	Scheduled	Christensen, Audrey			0	Open

Figure 14: CACFP Reviews List screen – Prior Reviews Exist (example)

Note: When a new review is saved, the system will automatically assign it a Review ID. This is a unique identifier for the review that can be used to cross-reference follow-up reviews with original reviews on the Review Tracking screen.

To view review download / upload history

On the Review Dashboard, the bottom of the screen displays Last Downloaded and Last Uploaded date. These dates correspond to the dates the review was last downloaded to or uploaded from the laptop.

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review**.** The Review Dashboard displays.
4. Select the **Download | Upload History** link.
5. If applicable, the screen dynamically displays the type of activity, the User Name, and Date.

To view, add or modify administrative forms

Once a review is added to the system, several screens become available to authorized users. This includes the following:

- Institution Information (i.e., contact information)
- Sites or Providers
- Serious Deficiencies
- Commendations
- Notes to Institution
- State Agency Notes – Internal Use Only

The following steps detail how to access these screens for a selected Institution.

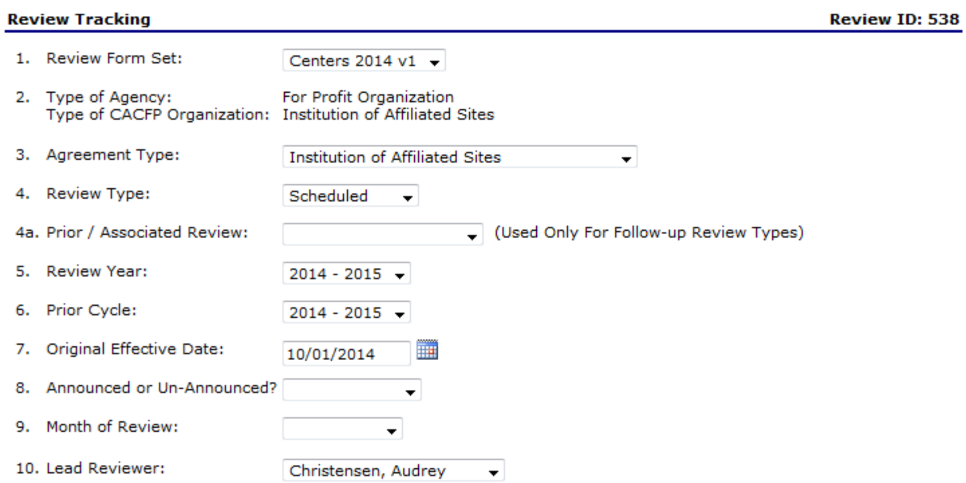
1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review. The Review Dashboard displays.
4. Select the **View** or **Modify** link for the form you wish to view, add data, or modify data.
5. Complete the screen.
6. Select **Save.**

Review Information

The Review Tracking screen contains general administrative information about the review. It is the first screen completed to schedule a review and the last screen completed to close a review.

To view or modify Review Information

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review. The Review Dashboard displays.
4. Select the **View** or **Modify** link next to Review Information.
5. Complete the screen.
6. Select **Save.**


Review Tracking **Review ID: 538**

1. Review Form Set: Centers 2014 v1
2. Type of Agency: For Profit Organization
   Type of CACFP Organization: Institution of Affiliated Sites
3. Agreement Type: Institution of Affiliated Sites
4. Review Type: Scheduled

4a. Prior / Associated Review: (Used Only For Follow-up Review Types)

5. Review Year: 2014 - 2015
6. Prior Cycle: 2014 - 2015
7. Original Effective Date: 10/01/2014
8. Announced or Un-Announced?
9. Month of Review:
10. Lead Reviewer: Christensen, Audrey

Figure 15: Review Information Tracking screen (part 1)

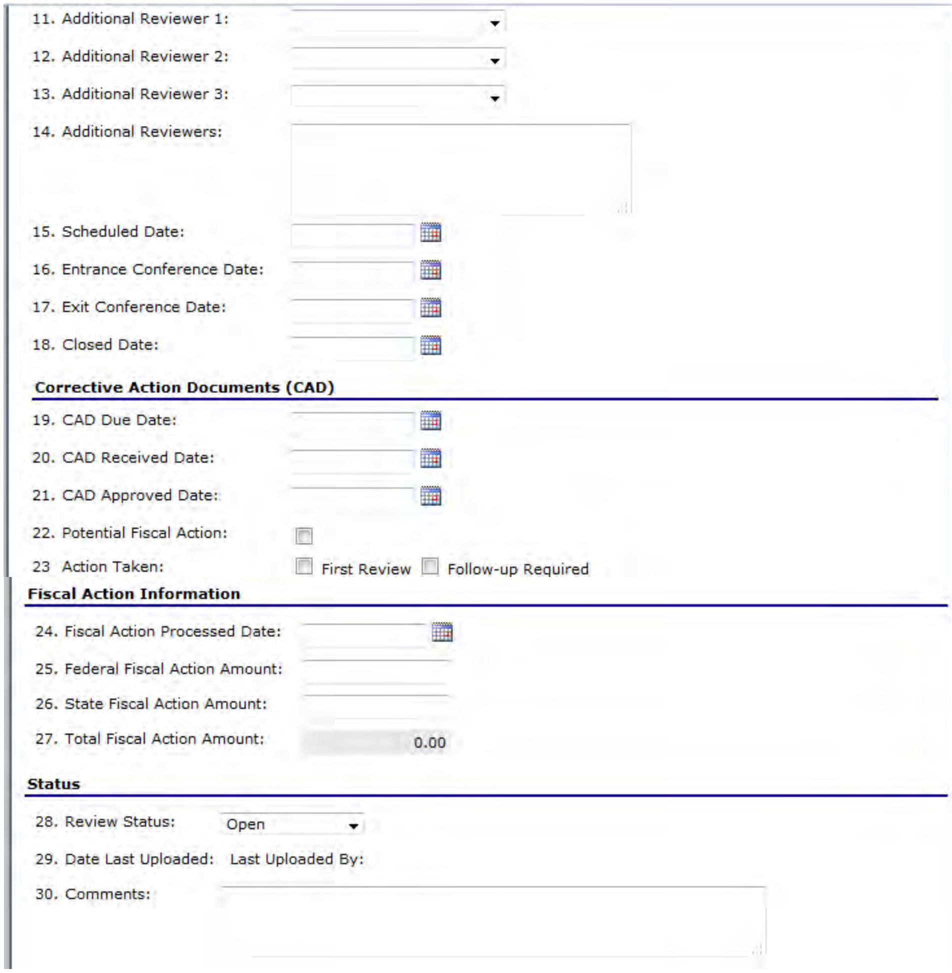


Figure 16: Review Information Tracking screen (part 2)

Note: The following three fields are required to setup a review. Other fields may be completed during/after the review: Review Form Set, Review Type, and Lead Reviewer.

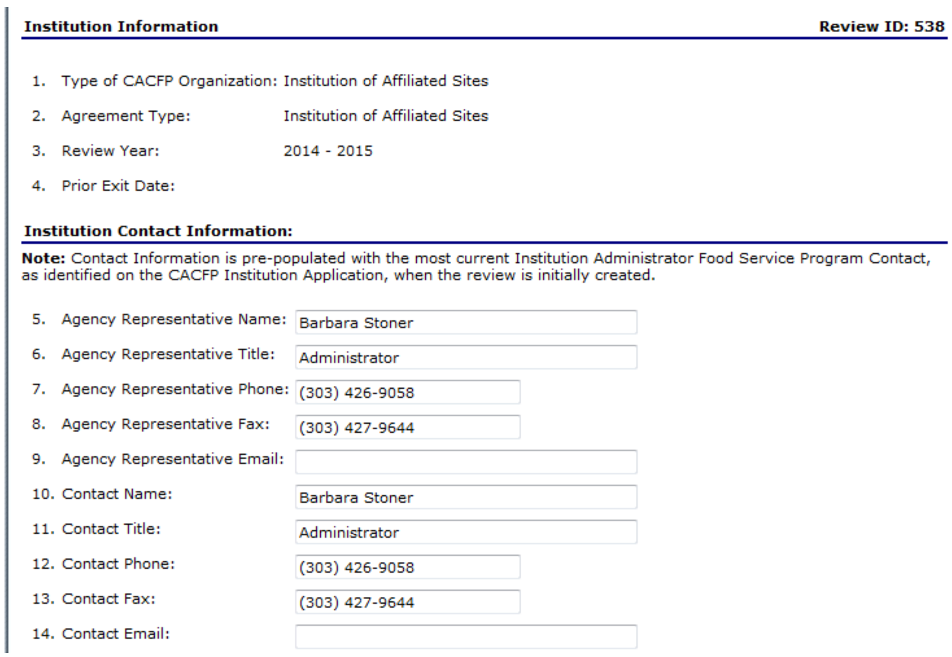
Note: A review's status must be set to "Closed" in order for the system to automatically flag the Institution for their next scheduled review. For CACFP, this is every three (3) years.

Institution Information

The Institution Information screen contains general contact information.

To view or modify Institution Information

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review**.** The Review Dashboard displays.
4. Select the **View** or **Modify** link next to Institution Information.
5. Complete the screen.
6. Select **Save.**



Institution Information **Review ID: 538**

1. Type of CACFP Organization:	Institution of Affiliated Sites
2. Agreement Type:	Institution of Affiliated Sites
3. Review Year:	2014 - 2015
4. Prior Exit Date:	

Institution Contact Information:

Note: Contact Information is pre-populated with the most current Institution Administrator Food Service Program Contact, as identified on the CACFP Institution Application, when the review is initially created.

5. Agency Representative Name:	Barbara Stoner
6. Agency Representative Title:	Administrator
7. Agency Representative Phone:	(303) 426-9058
8. Agency Representative Fax:	(303) 427-9644
9. Agency Representative Email:	
10. Contact Name:	Barbara Stoner
11. Contact Title:	Administrator
12. Contact Phone:	(303) 426-9058
13. Contact Fax:	(303) 427-9644
14. Contact Email:	

Figure 17: Institution Information screen

Note: Information in the Agency Representative and Contact fields default from the Institution application when the review is initially created. The user can change the information on this screen and it will not impact the Institution's application.

Agency Representative: For CACFP, this is the Executive/Center Director.

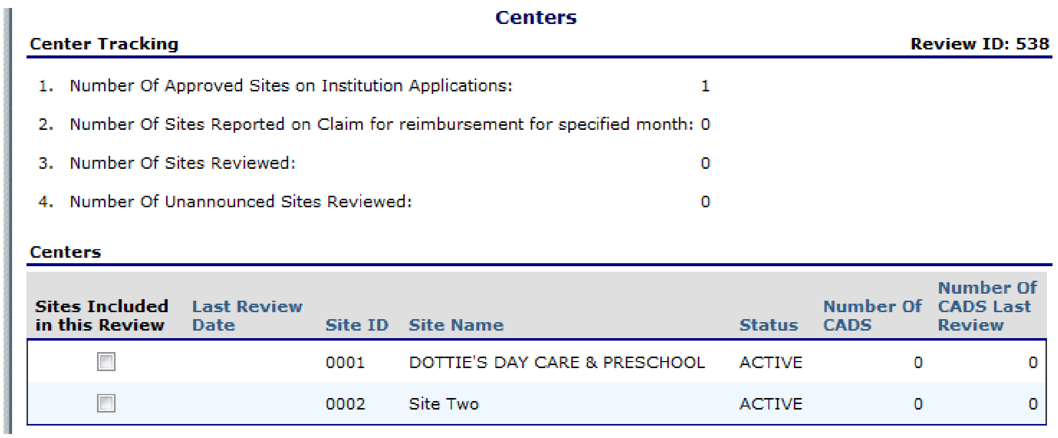
Contact: For CACFP, this is the Program Contact.

Adding Sites

As part of scheduling a review, the state can identify which sites would be included in the various meal type reviews **OR** the Reviewer can select the sites from the laptop.

To add a Site to the review

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review**.** The Review Dashboard displays.
4. Select the **View** or **Modify** link next to Sites.
5. Check the box next to the sites to include in the review.
6. Select **Save.**



Centers

Center Tracking **Review ID: 538**

1. Number Of Approved Sites on Institution Applications: 1
2. Number Of Sites Reported on Claim for reimbursement for specified month: 0
3. Number Of Sites Reviewed: 0
4. Number Of Unannounced Sites Reviewed: 0

Centers

Sites Included in this Review	Last Review Date	Site ID	Site Name	Status	Number Of CADS	Number Of CADS Last Review
☐		0001	DOTTIE'S DAY CARE & PRESCHOOL	ACTIVE	0	0
☐		0002	Site Two	ACTIVE	0	0

Figure 18: CACFP Sites/Providers screen

Serious Deficiencies

The Serious Deficiencies screen provides the State agency the ability to identify and track serious deficiencies. Serious Deficiencies can be accessed from the Compliance Menu (under the Serious Deficiencies menu item) or via the Review Information screen within a specific review.

To view or modify Institution Information

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review. The Review Dashboard displays.
4. Select the **View** or **Modify** link next to Serious Deficiencies. The Serious Deficiency Tracking list screen displays.
5. Select the deficiency to view or modify. The Serious Deficiency Tracking Detail screen displays.
6. Complete the screen.
7. Select **Save.**

Note: The default display on the Serious Deficiency Tracking list screen is to show all deficiencies, including closed. To not display closed deficiencies, uncheck the "Show Closed SD" checkbox on the Serious Deficiency Tracking list screen.

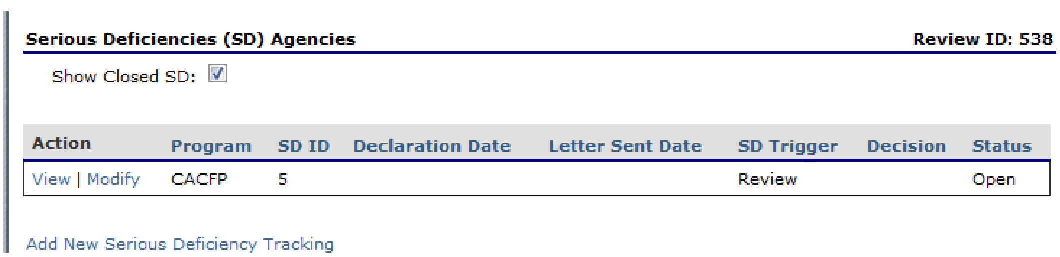


Figure 19: Serious Deficiency Tracking screen

To add a Serious Deficiency

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review. The Review Dashboard displays.
4. Select the **Modify** link for Serious Deficiency.
5. Select **Add New Serious Deficiency Tracking** link.
6. Complete the screen.

7. Select **Save.**

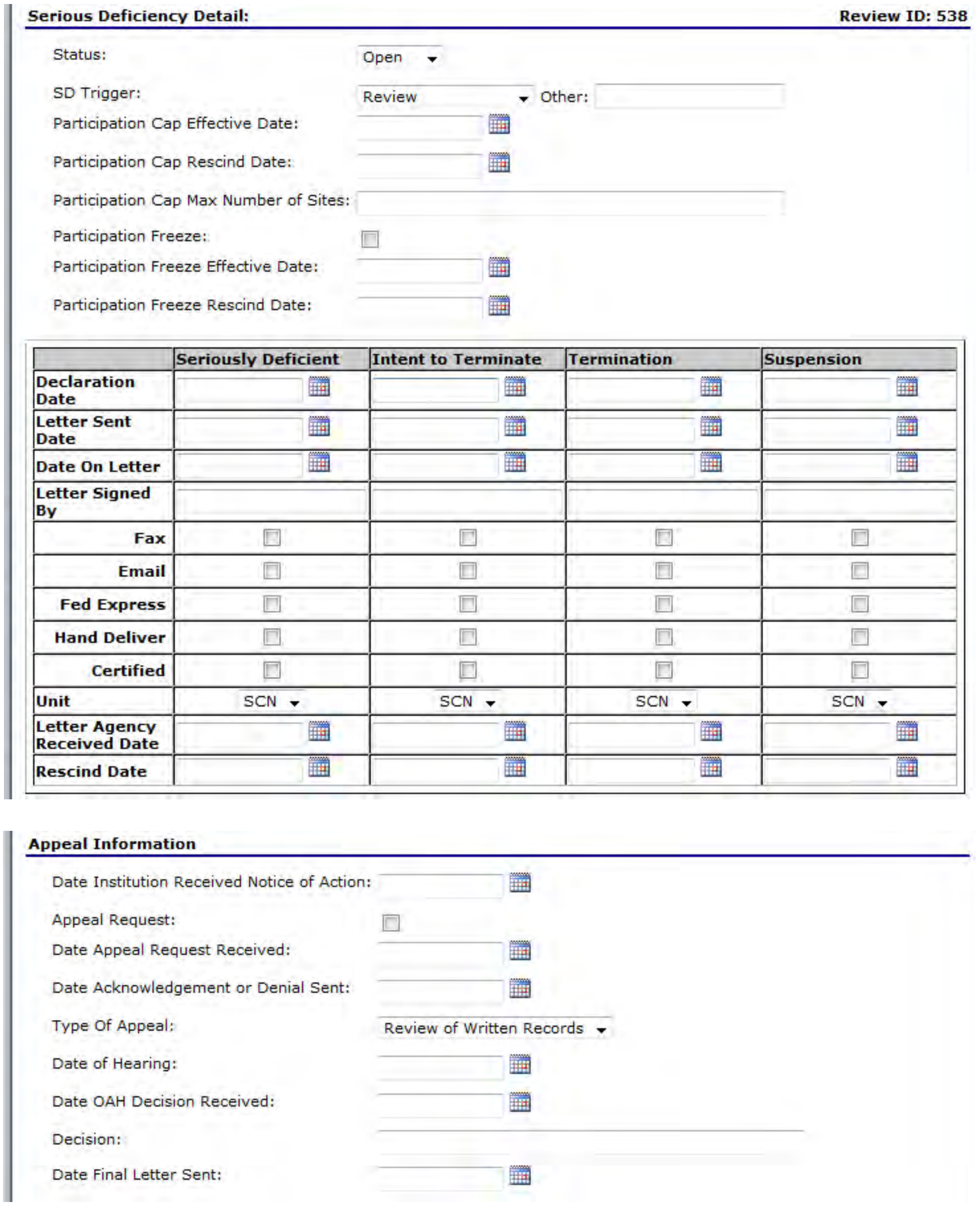


Figure 20: Serious Deficiency Tracking Detail screen

Commendations

The Commendations screen provides the ability for the state to enter commendations. In CDPHE, commendations will be entered on the laptop software.

To view or modify Commendations

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review**.** The Review Dashboard displays.
4. Select the **View** or **Modify** link next to Commendations.
5. Select the commendation to view or modify. Commendations Detail screen displays.
6. Complete the screen.
7. Select **Save.**

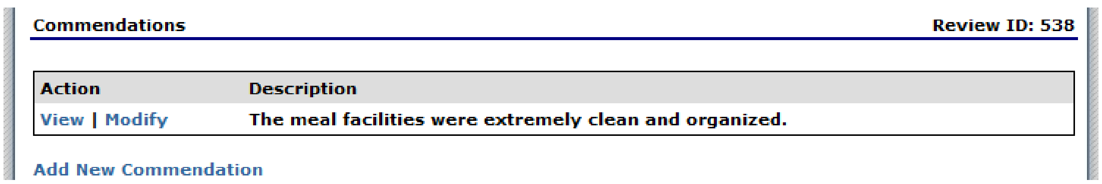


Figure 21: Commendations screen

To add a Commendation

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review**.** The Review Dashboard displays.
4. Select the **Modify** link for Commendation.
5. Select **Add New Commendation**.
6. Enter the commendation in the textbox.
7. Select **Save.**

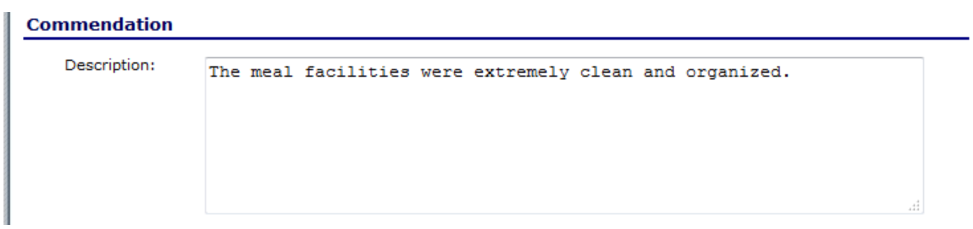


Figure 22: Commendations Detail screen

Notes to Institution

The Notes to Institution screen provides the ability for the state to enter notes that can be viewed by the Institution.

To view or modify Notes to Institution

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review**.** The Review Dashboard displays.
4. Select the **View** or **Modify** link next to Notes to Institution.
5. Select the note to view or modify. The Notes to Institution Detail screen displays.
6. Complete the screen.
7. Select **Save.**

Figure 23: Notes to Institution screen

To add a new note

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review. The Review Dashboard displays.
4. Select the **Modify** link for Notes to Institution.
5. Select **Create New Note**.
6. Enter the Subject in the textbox.
7. Enter the Note text in the textbox.
8. Select **Save.**

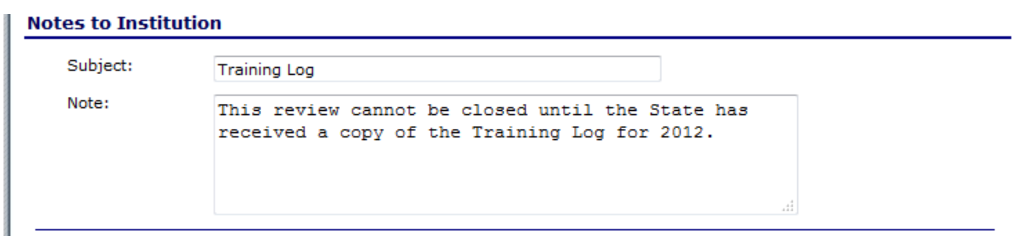


Figure 24: Notes to Institution Detail screen

State Agency Notes

The Internal State Agency Notes screen(s) provide the ability for the state to enter internal only notes that are not viewable by the Institution.

To view or modify State Agency Notes

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review**.** The Review Dashboard displays.
4. Select the **View** or **Modify** link next to State Agency Notes – Internal Use Only.
5. Select the note to view or modify. The Notes to Institution Detail screen displays.
6. Complete the screen.
7. Select **Save.**

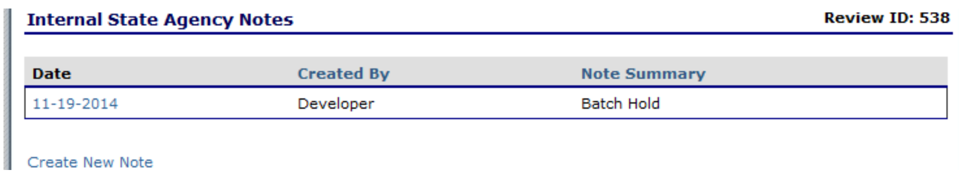


Figure 25: Internal State Agency Notes screen

To add a new note

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review. The Review Dashboard displays.
4. Select the **Modify** link for Notes to Institution.
5. Select **Create New Note**.
6. Enter the Subject in the textbox.
7. Enter the Note text in the textbox.
8. Select **Save.**

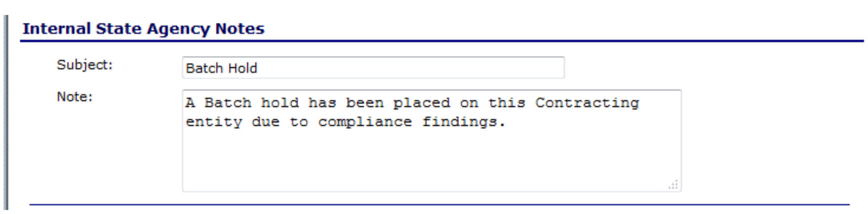


Figure 26: Internal State Agency Notes Detail screen

Corrective Action Documents

The Corrective Action Documents (CAD) section displays at the top of the Review Dashboard and provides an at-a-glance view of the total number of CADs (i.e., findings) associated with the selected Institution's review, as well as a count of CADs by status. The system will count all findings uploaded via the laptop, as well as those that may have been added via the Compliance administrative web screen. Within the Corrective Action Document screens, authorized users can add new findings, view or modify existing findings, and update Corrective Action Plan due dates within this section.

To view or modify Corrective Action Documents/Findings

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review. The Review Dashboard displays.
4. Select the **View** or **Modify** link under the Corrective Action Documents section of the screen. The Findings screen displays.
5. Select the finding to view or modify. The Findings Detail screen displays.
6. Complete the screen.
7. Select **Save.**

Note: In most instances, findings are identified during the review and uploaded into the CHEARS database. Uploaded findings will have a status of **Not Started**. All uploaded findings are viewable from the Findings screen.

Note: Once findings are uploaded, the State would go into each finding and complete the "Required Corrective Action" and "Corrective Action Required" fields. At this time they can also enter Special Instructions and Due Dates.

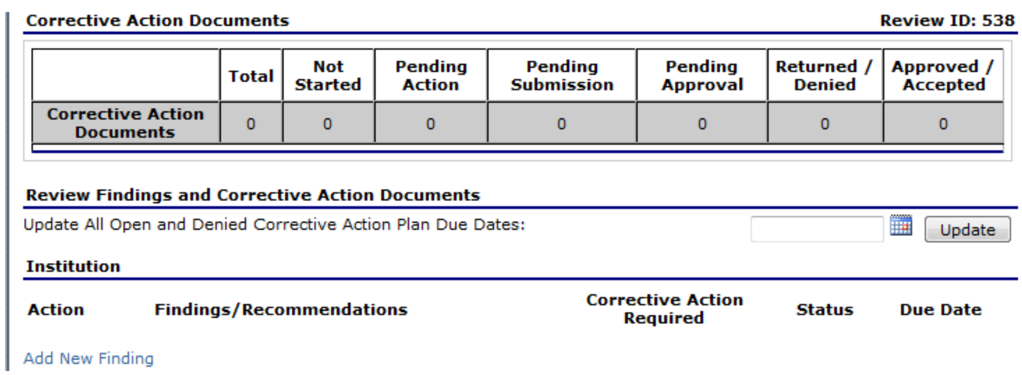
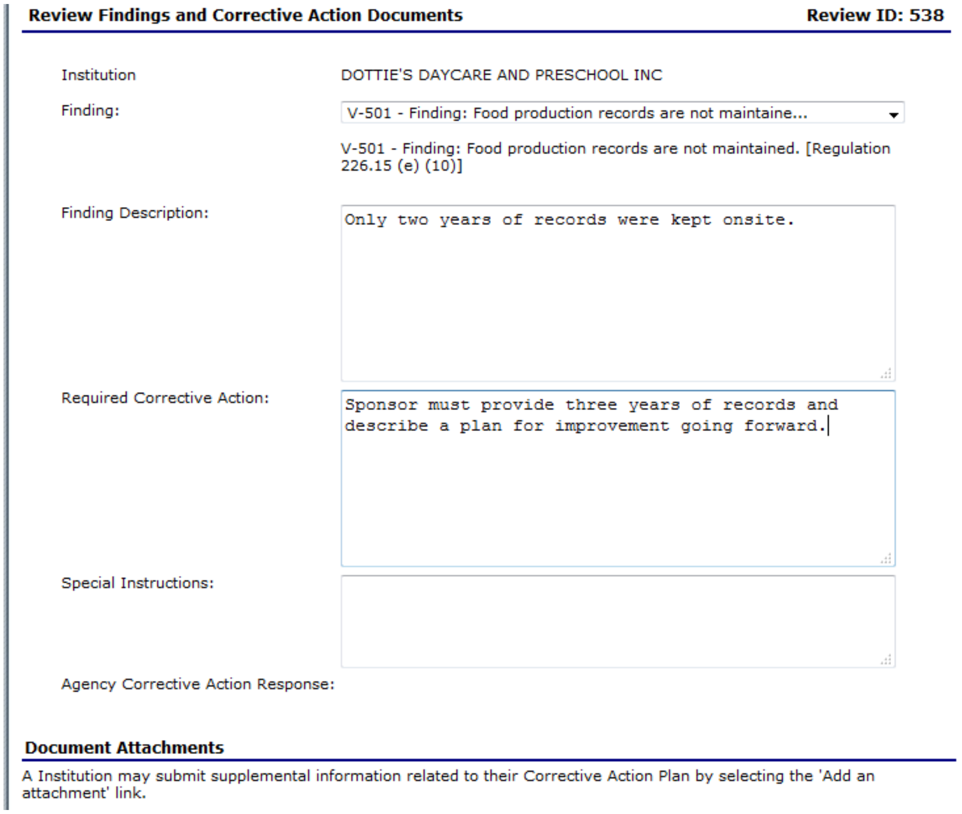


Figure 27: Findings screen



Review Findings and Corrective Action Documents **Review ID: 538**

Institution	DOTTIE'S DAYCARE AND PRESCHOOL INC
Finding:	V-501 - Finding: Food production records are not maintaine...
	V-501 - Finding: Food production records are not maintained. [Regulation 226.15 (e) (10)]
Finding Description:	Only two years of records were kept onsite.
Required Corrective Action:	Sponsor must provide three years of records and describe a plan for improvement going forward.
Special Instructions:	
Agency Corrective Action Response:	

Document Attachments

A Institution may submit supplemental information related to their Corrective Action Plan by selecting the 'Add an attachment' link.

Figure 28: Findings Detail screen

Findings Details Screen Buttons

The table below identifies the buttons available on the Findings Details screen and what user type may have access to these functions. Individual security rights vary among users, so the table is for informational purposes only.

Button	Available to State Users?	Available to Agency Users?
Save	Yes	Yes
Submit For Acceptance	Yes	Yes
Accept CAD	Yes	
Cancel	Yes	Yes
CAD Not Approved (displays after CAD has been submitted)	Yes	
ReOpen (displays after CAD has been submitted)	Yes	

Corrective Action Documents Status Codes

The system automatically sets statuses based on actions performed by the user. The table below identifies the various status codes associated with a CAD and under what conditions the status is set.

Status	How Status is Set
Not Started	Finding is identified; no updates to the finding by the Institution or the State has occurred
Pending Action	Finding, Finding Description, and Required Corrective Action fields are completed; the Corrective Action Required field in the Finding Tracking section is set to "Action Required"
Pending Submission	Agency Corrective Action Response field is completed by the Institution
Pending Approval	Institution has submitted their CAD for state review (i.e., Institution clicks the **Submit for Acceptance** button)
Denied	Authorized state user has clicked the **CAD not Approved** button
Closed	Authorized state user has clicked the **Accept CAD** button

Note: If the state decided to re-open a CAD, the status of the CAD returns to Not Started.

Note: If the state has identified a finding during the review, but decides NOT to require a CAD submission by the Institution, the state can set the Corrective Action Required field to "No Action Required" and the status will be set to **Closed**.

To add a new finding

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review. The Review Dashboard displays.
4. Select the **View** or **Modify** link for Corrective Action Documents**.**
5. Select **Add New Finding.**
6. Select **Finding** from drop-down list (required).
7. Enter **Finding Description** in the textbox (required).
8. Enter **Required Corrective Action** in the textbox (required).
9. Enter any **Special Instructions** in the textbox. (This field can only be viewed and modified by State Agency Users)
10. Complete the Finding Tracking section. The Corrective Action Required field is required to be completed.
11. Select **Save**.

Note: The Agency Correction Action Response field is available to Institutions only. This is the field the Institution would enter their response (i.e., corrective action) to the finding.

To add a new site finding

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review. The Review Dashboard displays.
4. Select the **View** or **Modify** link for Corrective Action Documents**.**
5. Select **Add New Site Finding.**
6. Select **Finding** from drop-down list (required).
7. Enter **Finding Description** in the textbox (required).
8. Enter **Required Corrective Action** in the textbox (required).
9. Enter any **Special Instructions** in the textbox. (This field can only be viewed and modified by State Agency Users)
10. Complete the Finding Tracking section. The Corrective Action Required field is required to be completed.
11. Select **Save**.

Note: The Add New Site Finding option is enabled only when sites are associated with the review.

To submit a CAD for acceptance

For each finding, the Institution must indicate the necessary corrective action response in the "Agency Corrective Action Response" field and submit the corrective action plan for acceptance before the assigned due date.

1. Select **Review Tracking** from the Compliance menu**.**
2. Select the **Details** link for the desired review. The Review Dashboard displays.
3. Select the **Modify** link for Corrective Action Documents**.**
4. Select the **Modify** link for the desired Finding.
5. Enter the **Agency Corrective Action Response** in the textbox.
6. Select **Submit for Acceptance.**

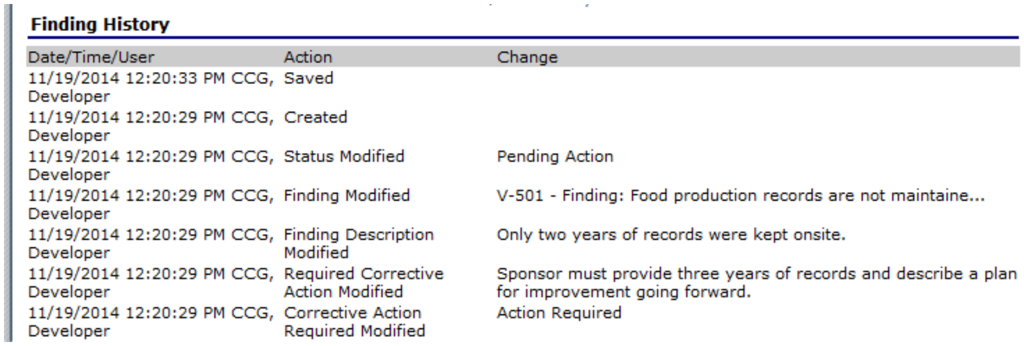
Note: The Agency Correction Action Response field is available to Institutions only.

To accept a CAD

If the Institution has submitted an acceptable corrective action response, the State can accept the corrective action.

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review. The Review Dashboard displays.
4. Select the **Modify** link for Corrective Action Documents**.**
5. Select the **Modify** link for the desired Finding.
6. Enter the Reviewer Response to CAD in the textbox.
7. Select **Accept CAD.**

Note: Selecting the **Show / Hide History** link dynamically displays/hides any history pertaining to the finding. This link is available to state users only. Agency entries will be retained in history only when the Institution selects **Submit for Acceptance**.



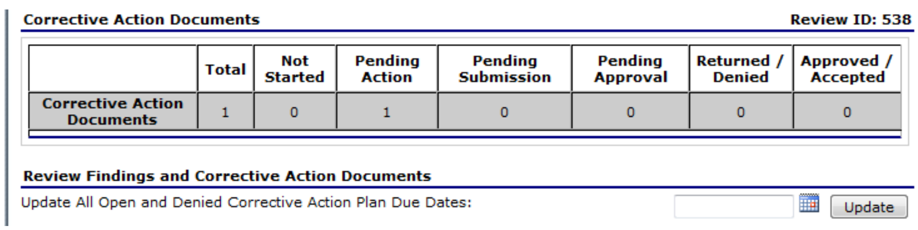
Finding History

Date/Time/User	Action	Change
11/19/2014 12:20:33 PM CCG, Developer	Saved	
11/19/2014 12:20:29 PM CCG, Developer	Created	
11/19/2014 12:20:29 PM CCG, Developer	Status Modified	Pending Action
11/19/2014 12:20:29 PM CCG, Developer	Finding Modified	V-501 - Finding: Food production records are not maintaine...
11/19/2014 12:20:29 PM CCG, Developer	Finding Description Modified	Only two years of records were kept onsite.
11/19/2014 12:20:29 PM CCG, Developer	Required Corrective Action Modified	Sponsor must provide three years of records and describe a plan for improvement going forward.
11/19/2014 12:20:29 PM CCG, Developer	Corrective Action Required Modified	Action Required

Figure 29: Show/Hide History screen

To update all Corrective Action Plan Due Dates

1. Search for and select an Institution, if necessary.
2. Select **Review Tracking** from the Compliance menu**.**
3. Select the **Details** link for the desired review. The Review Dashboard displays.
4. Select the **Modify** link for Corrective Action Documents**.**
5. Enter the new desired due date in the textbox.
6. Select **Update**.



Corrective Action Documents **Review ID: 538**

	Total	Not Started	Pending Action	Pending Submission	Pending Approval	Returned / Denied	Approved / Accepted
Corrective Action Documents	1	0	1	0	0	0	0

Review Findings and Corrective Action Documents

Update All Open and Denied Corrective Action Plan Due Dates: Update

Figure 30: Finding screen (partial)

Note: The system allows authorized users to enter a CAD due date and apply the due date to all open and denied CADs. This is a time-saver by eliminating the need for the State to enter dates on each individual CAD as they are developed or to have to open each CAD once a due date is determined.