Assisted Living
Non-Core Issues Punch List
Response Instructions

At the exit conference, we will review any preliminary core issues and the non-core issues/punch list items. If, at the exit, you disagree with one or more of your punch list items or you have additional information to provide to remove the item, please let the team leader know. From the date of your exit conference, you will have two (2) business days to submit the additional information through FLARES. The additional information must have been in existence during the survey and cannot be developed or created after the survey. The team leader will review the additional information to determine if there is enough evidence to remove the punch list item. If any changes are made to the punch list item(s), you will receive a communication from the team leader in FLARES. The communication will explain any changes to the punch list or will explain the reasons why the punch list item was not removed. If you still disagree with the decision by the team leader, you may then contact the RALF Program Supervisor to dispute the punch list items.

After the punch list is finalized and the survey has been approved by the RALF Program Supervisor, the facility will need to resolve each non-core issue listed on the form within **thirty (30) days** from the exit conference. You will need to submit acceptable evidence of resolution. Please provide one or two examples for each item on the non-core punch list.

Evidence of resolution may include: resident records, facility form updates, policy and/or procedure updates, documentation of staff training or in-services, receipts, pictures, etc. If forms are submitted as evidence of resolution, they should be filled out completely to show how the forms are being implemented to resolve non-core issue deficiencies.

If you have any questions about what evidence should be sent, please contact the team leader, whose name appears on the non-core issues punch list.

INSTRUCTIONS ON SUBMITTING THE EVIDENCE OF RESOLUTION FOR THE ADMINISTRATOR OR DESIGNEE:

Once you have corrected the deficient practices and are prepared to submit your evidence of resolution, please follow these directions:

1. Scan or upload the documents into one electronic file for **each punch list item**. If you have multiple pages for one punch and have difficulty putting your files together, consider asking for assistance at a Kinko's or similar type store.
2. Open your portal to FLARES at https://www.flareslive.com/Portal/ProviderLogin.aspx. If you have more than one facility, make sure to select the correct facility and hit the "load" button.
3. Click on the "File Upload" tab.
4. Click on the "new" button (which looks like a piece of paper on the upper right side of your screen).
5. Select the survey for which you are responding to (for example: 6/18/17 health care licensure and follow-up).
6. Select the type of document as "evidence of resolution". This will pull up your non-core/punch list items.
7. For each punch list item, select "choose file" and upload the document you combined for that punch list item. The document should have been combined and saved electronically onto your computer or

portable device (USB stick/memory stick). Repeat the process of uploading a single document for each consecutive punch list item.

8. Once you have uploaded the documents, hit the "send" button (which looks like an envelope) in the upper right corner of your screen.
9. Once you hit send, a pop up box will confirm you want to send the documents, hit "ok".
10. Repeat steps 3-9 for each punch list item.
11. After the items are sent, make sure the status says, "pending review".

There is a video available that walks you through the process as well (there is no sound on the video): https://vimeo.com/user36456574/review/192362095/cc83995863

After you submit your evidence of resolution (following the above instructions), the team leader will review them. If an item does not contain adequate evidence the non-core or punch list item has been corrected, the document will be rejected. When an item is rejected, the team leader will send a communication through the portal to advise you of what further information is required to be submitted.

When resubmitting an item that has been rejected, return to the instructions on Pg. 1 and follow the same steps you took to submit your evidence initially.

Remember: acceptable evidence of resolution for each non-core issue(s) must be submitted to the Department within thirty (30) days from the date of exit.

If resolution of the non-core issue is not possible within **thirty (30) days** of the exit conference due to weather, contractor or material availability, or other factors as agreed upon by the Department, you will need to submit a message through the portal to the team leader, requesting an extension.

The message should include:
- The item and rule # in need of an extension
- The reason for the delay;
- A plan for resolution;
- The date of expected resolution; and
- A plan for ensuring the safety of the residents until resolution.

The maximum duration for an extension is **six (6) months** from the date of the exit conference. The duration will be specified when an extension is granted.

Important Reminder:

When you submit evidence of resolution, the team leader is evaluating the documentation you submitted, not the form you submitted it on. They look at the documentation to determine if the sample you provided meets rule. To ensure the deficiency is corrected, you must implement the corrections for all residents, not just for those identified on the non-core punch list. Enforcement actions are imposed when: facilities fail to submit acceptable evidence of resolution, repeat deficiencies are identified because corrections were not applied across all residents, or system changes were not implemented to ensure the deficient practice did not recur.