



**State of Florida**  
**Agency for Persons with Disabilities**

Harmony for APD iConnect  
Licensing Renewals Training Manual (Residential Facilities) –  
Updated April 2026

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# Chapter 7 | Licensure Renewals

## Introduction

Licensure renewals occur annually, and providers must submit renewal applications at least 45 days prior to the license expiration date.

## Complete Facility Application Form



Both the Service Provider and the Licensing Specialist (Region QA Workstream Worker) will receive a tickler message advising of the need for renewal due to pending License Expiration. The Service Provider will need to complete a new Facility Application. Once complete, they will need to send it to the Licensing Specialist via a Note in iConnect

1. Set "Role" = Service Provider then click **Go**

A screenshot of a web form showing a dropdown menu labeled "Role" with "Service Provider" selected. An arrow points to the dropdown arrow. To the right is a "GO" button.

2. Navigate to the Provider's Licensed Facility home record, then click the **Providers > Forms** tab

A screenshot of the iConnect web interface. The "PROVIDERS" tab is selected in the navigation bar. Below it, the "Forms" sub-tab is selected. A search filter is applied, showing "31 Forms record(s) returned - now viewing 1 through 15". A table lists forms with columns for "Division" and "Form Name".

| Division | Form Name                          |
|----------|------------------------------------|
| APD      | Group Home Facility Checklist      |
| APD      | Group Home Personnel Record Review |
| APD      | Provider Enrollment Application    |

3. Click **File > Add Forms**

A screenshot of a yellow button labeled "Add Forms" with a "Print" link below it. An arrow points to the "Add Forms" text.

4. Select "Please Select Type:" as "Facility Application Form (2025-09)" from the drop-down list

The screenshot shows a web application interface for a 'License Application'. At the top, there is a 'File' menu and a timestamp '9/2/2025 11:20 A'. Below the menu, a dropdown menu is open, showing 'Please Select Type: Facility Application Form (APD 2025-09)'. Below this, a note states 'An asterisk (\*) indicates a required field'. The main form area is titled 'Provider Assessment' and contains several fields: 'Division \*' with a dropdown set to 'APD', 'Review \*' with a dropdown set to 'Annual', 'Review Date \*' with a date field set to '09/02/2025', 'Worker \*' with a text field containing 'Baer, Sylvia' and buttons for 'Lookup', 'Clear', and 'Details', 'Status \*' with a dropdown set to 'Pending', and 'Approved By' with an empty text field. A blue bar at the bottom of the form contains the text 'License Application'.

5. Update the following Header fields:
  - a. "Division" = APD
  - b. "Review" = Annual
  - c. Complete all fields on the Facility Application Form
  - d. "Status" = Pending

6. When finished, click **File > Save and Close Forms**



The screenshot shows a 'File' menu with the following options: 'History', 'Duplicate Forms', 'Spell Check', 'Save Forms', 'Save and Add Another Forms', 'Save and Close Forms', 'Print', and 'Close Forms'. The 'Save and Close Forms' option is highlighted with a yellow background, and an arrow points to it from the right. The menu is open over a form, with some fields visible in the background, including a date field set to '2025-09' and a dropdown menu set to 'D'.

## Complete License Capacity Form



The Service Provider will also complete the Calculation of License Capacity form.

*Note: If Conditions or Capacity changes are needed, please refer to the Residential Planning training materials.*

1. Set “Role” = Service Provider then click **Go**

A screenshot of a web form showing a dropdown menu for 'Role' with 'Service Provider' selected. A black arrow points to the dropdown arrow. To the right of the dropdown is a grey 'GO' button.

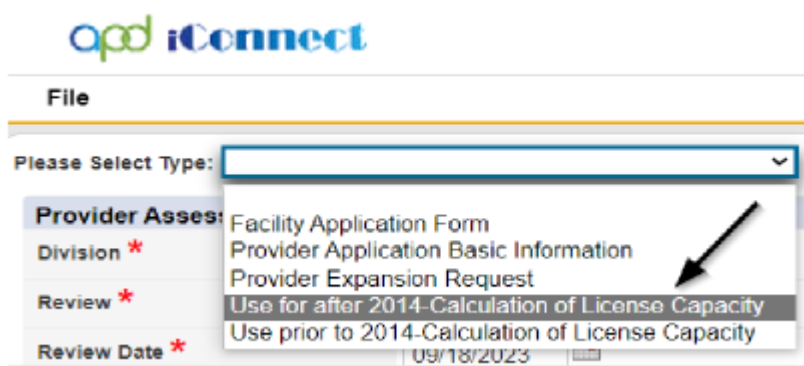
2. Navigate to the **Providers > Forms** tab

A screenshot of the software interface showing the 'Providers > Forms' tab. The 'Providers' tab is highlighted in yellow. Below the navigation tabs, there are filter options for 'Status' (set to 'Draft'), 'Division', and 'Form Name'. A table below shows a list of forms with columns for 'Division' and 'Form Name'. A black arrow points to the 'Forms' tab in the navigation bar.

3. Click **File > Add Forms**

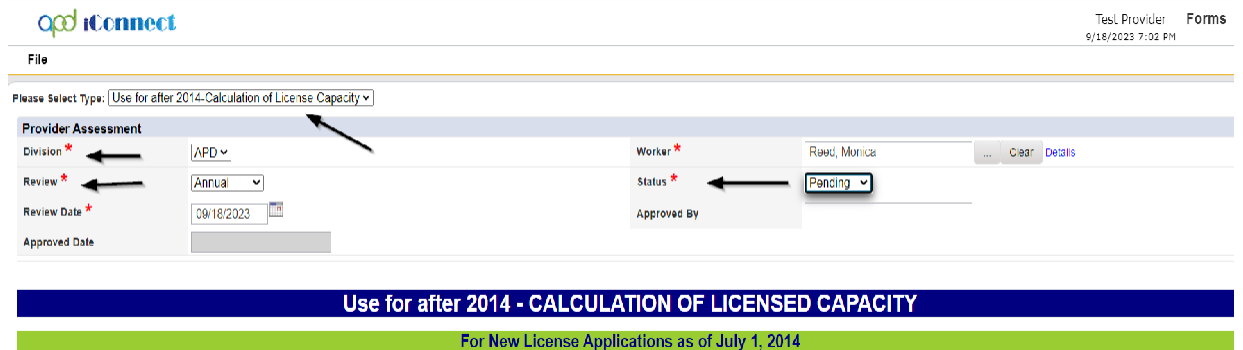
A screenshot of the 'File' menu showing the 'Add Forms' button highlighted in yellow. A black arrow points to the 'Add Forms' button.

4. Select “Please Select Type:” as “Use for after 2014 – Calculation of License Capacity” OR “Use prior to 2014-Calculation of License Capacity from the drop-down list. *Please note that ONLY the Service Provider will know which one they will need to complete, as this is related to what year they were licensed*

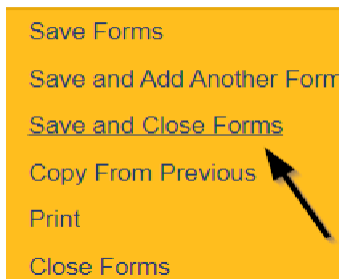


5. Update the following Header fields:

- a. "Division" = APD
- b. "Review" = Annual
- c. Complete all fields on the License Capacity Form
- d. "Status" = Update to Pending when all required fields have been completed



6. When finished, click **File > Save and Close Forms**



## Add Other Qualifying Documentation



The Service Provider will add a note and attach any supporting documentation.

1. Set "Role" = Service Provider then click **Go**

A screenshot of a web form showing a dropdown menu labeled "Role" with "Service Provider" selected. A black arrow points to the dropdown arrow. To the right of the dropdown is a grey button labeled "GO".

2. Navigate to the **Providers > Notes** tab

A screenshot of a web application interface. At the top, there are tabs for "File" and "Reports". Below that is a search bar with "Quick Search" and a dropdown menu set to "Providers". The main content area shows a list of providers, with "A TEST Provider (10002)" selected. Below the list is a navigation bar with tabs for "Workers", "Services", "Provider ID Numbers", "Contracts", "Boards", "Linked Providers", "Aliases", and "Conditions". Underneath, there are more tabs: "Providers", "Divisions", "Forms", "Enrollments", "Authorizations", "Notes", "Credentials", and "EVV Scheduling". The "Notes" tab is highlighted. Below the tabs is a filter section with "Note Type" and "Note Date" dropdowns, and a search bar. At the bottom are "Search" and "Reset" buttons.

3. Click **File > Add Notes**

A screenshot of a web application interface showing a menu with the following items: "Add New Provider Search", "Add Notes", and "Print". A black arrow points to the "Add Notes" item.

4. In the new Note record, update the following fields:
  - a. "Division" = APD
  - b. "Note Type" = Licensing Renewal
  - c. "Note Subtype" = Select a category below
    - i. *Background Screening (for Owner/Licensee, which could be one or more of the following)*
      1. Attestation of Good Moral Character
      2. Employment History Check
      3. Local Criminal Record Check
      4. Clearinghouse Screening
    - ii. *Business Information (which could be one or more of the following from the Additional Documentation Section of the application)*

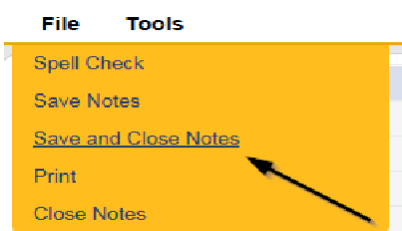
1. Articles of Incorporation
  2. Documentation of Financial Ability (bank statements, credit lines, etc.)
  3. Promo Materials
  4. Current Board Members' Names/Phone Numbers
  5. Names of all controlling Entities
- iii. *Facility (which could be one or more of the following)*
1. Facility Floor Plan
  2. Fire Inspection
  3. Signed Lease, if property is not owned by licensee
  4. Vehicle Registration/Insurance
  5. Zoning Documents
  6. Current Facility Staff Schedule
- iv. *Personnel Information (which could be one or more of the following)*
1. Driver's License (*Licensee/Facility Operator*)
  2. Education (*Licensee/Facility Operator*)
  3. Operator Experience (*Licensee/Facility Operator*)
  4. References (*Licensee/Facility Operator*)
  5. Resume (*Licensee/Facility Operator*)
  6. Summary of Employees (Education and Experience)
- v. *Policies and Procedures (which could be one or more of the following)*
1. Admission and Termination of Services Policy
  2. Sexual Activity Policy
  3. Behavioral Interventions and Responses Policy
  4. Comprehensive Emergency Management Plan
  5. Video Monitoring Criteria and Protocols (if video monitoring will be utilized)
  6. Professional Liability Insurance (for Medwaiver Service Providers)
- d. "Description" = Same as subtype
- e. "Note" = Enter notes to include a list of documents
- f. "Status" = Pending (Licensing Specialist will update the Note to Complete once all items have been verified.)
- g. Click **"Add Attachment"** and search for the copy of supporting documents on the user's device. Click **Upload**
- NOTE: Each attachment can be up to 18mb in size*
- h. Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Specialist \(Region QA Workstream Worker\)](#) as the Note Recipient

- i. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

The screenshot shows a 'Notes Details' form with the following fields and values:

- Division: APD
- Note By: Reed, Monica
- Note Date: 09/29/2023
- Note Type: Licensing Renewal
- Note Sub-Type: Background Screening
- Description: Background Screening
- Note: (Empty text area)
- Status: Pending
- Date Completed: 09/29/2023
- Attachments: Add Attachment
- Document/Description table: There are no attachments to display
- Note Recipients: Add Note Recipient, Lookup, Clear

5. When finished click **File > Save and Close Notes**

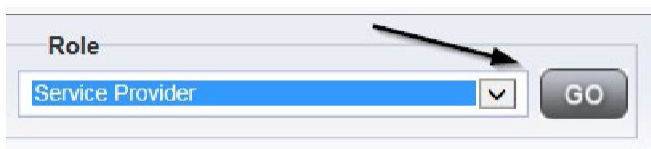


### Application Submitted Note



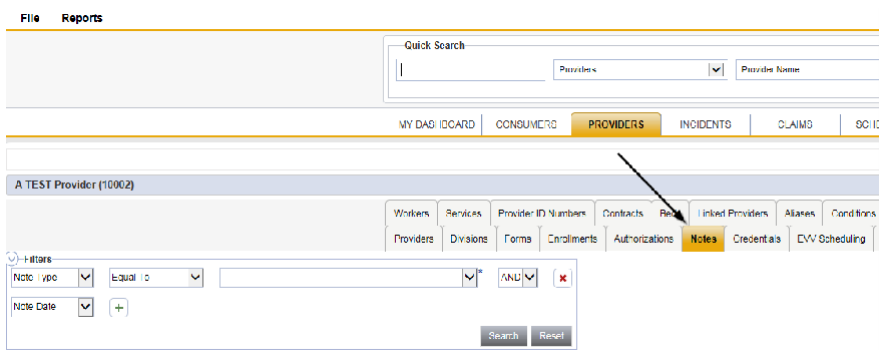
The Service Provider will also add a note advising the Licensing Specialist (Region QA Workstream Worker) that the application is submitted.

1. Set "Role" = Service Provider then click **Go**



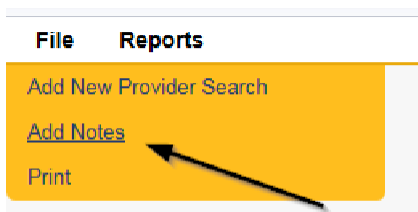
A screenshot of a web form with a label "Role" above a dropdown menu. The dropdown menu is open, showing "Service Provider" as the selected option. To the right of the dropdown is a grey button labeled "GO". An arrow points from the text "Service Provider" in the dropdown to the "GO" button.

2. Navigate to the **Providers > Notes** tab



A screenshot of a software interface. At the top, there are tabs for "MY DASHBOARD", "CONSUMERS", "PROVIDERS", "INCIDENTS", "CLAIMS", and "SOCIAL". The "PROVIDERS" tab is selected. Below this, there is a sub-tabbed interface for "A TEST Provider (10002)". The sub-tabs include "Workers", "Services", "Provider ID Numbers", "Contracts", "Releases", "Linked Providers", "Aliases", "Conditions", "Providers", "Divisions", "Forms", "Enrollments", "Authorizations", "Notes", "Credentials", and "EVV Scheduling". The "Notes" sub-tab is selected. Below the sub-tabs, there is a search area with "Note type" and "Note Date" dropdowns, and "Search" and "Reset" buttons. An arrow points from the text "Providers > Notes" in the instructions to the "Notes" sub-tab.

3. Click **File > Add Notes**



A screenshot of a software interface showing a "File" menu. The menu items are "Add New Provider Search", "Add Notes", and "Print". The "Add Notes" item is highlighted in yellow. An arrow points from the text "Add Notes" in the instructions to the "Add Notes" menu item.

4. In the new Note record, update the following fields:
  - a. "Division" = APD
  - b. "Note Type" = Licensing Renewal
  - c. "Note Subtype" = Application Submitted
  - d. "Description" = Application Submitted
  - e. "Note" = Enter notes
  - f. "Status" = Pending
  - g. Click the **Lookup** button on the "Add Note Recipient" to add the *Licensing Specialist (Region QA Workstream Worker)* as the Note Recipient
  - h. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

**Notes Details**

Division \* APD

Note By \* Reed, Monica

Note Date \* 09/19/2023

Note Type \* Licensing Renewal

Note Sub-Type \* Application Submitted

Description Application Submitted

Note Attach notorized Facility Application Form

Status \* Pending

Date Completed

**Attachments**

Add Attachment

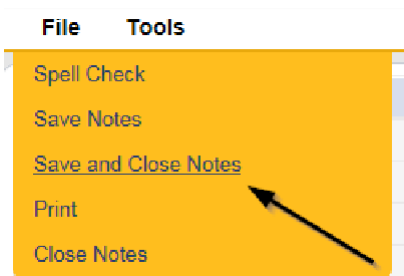
**Document** Description

There are no attachments to display

**Note Recipients**

Add Note Recipient:  Lookup Clear

5. When finished, click **File > Save and Close Notes**



6. Upon saving the note, a Workflow Wizard triggered the reminder tickler that is due in 30 calendar days

a. The tickler has been assigned to the Licensing Specialist, who will retrieve it from My Dashboard > Ticklers.

oqd iConnect Welcome, 10/12/2023 6:34 PM **Ticklers**

**File**

Filters: Status Equal To New AND x

Apply Alert Days Before Due

Search Reset

2 My Dashboard Ticklers record(s) returned - now viewing 1 through 2

| Tickler Name   | Provider Name   | Date Created | Date Due   | Date Completed | Status |
|--|-----------------|--------------|------------|----------------|--------|
| Notify Licensing Provider Applicant of any Errors or Omissions | Group Home Name | 10/12/2023   | 11/11/2023 |                | New    |

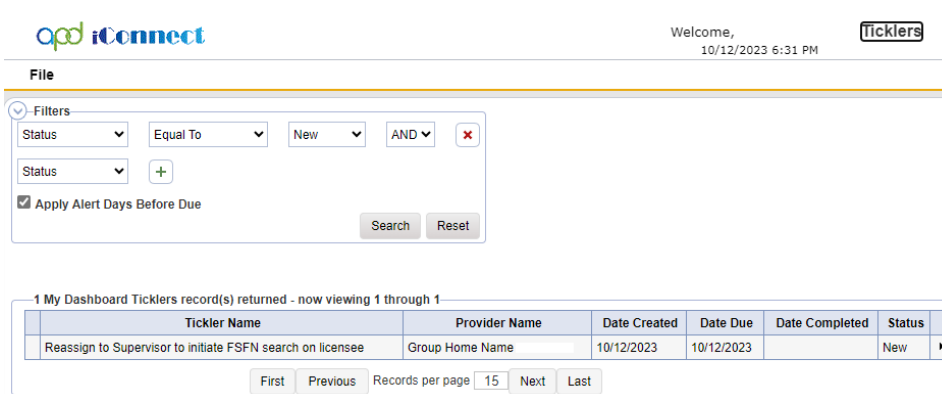
b. Tickler - "Review Licensing Renewal application for errors or omissions."

c. Assigned to the Licensing Specialist (Monitor 3)

d. Due on the **30th** calendar day from the “Licensing Renewal/Application Submitted” Pending note

7. In addition, the Workflow Wizard triggered a second reminder tickler that is due immediately.

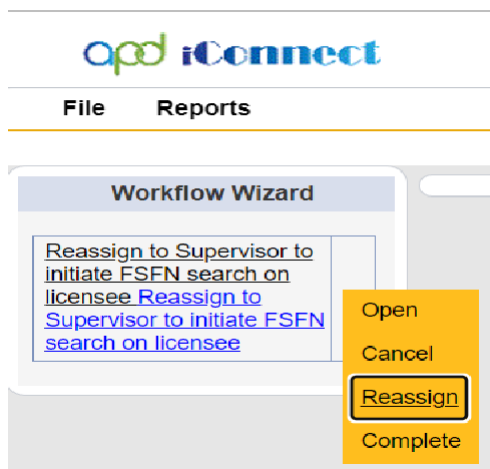
a. The tickler has been assigned to the Licensing Specialist, who will retrieve it from My Dashboard > Ticklers.



b. Tickler – “Reassign to Supervisor to Initiate FSFN search on licensee.”

c. Assigned to the Licensing Specialist (Monitor 3), who will reassign the tickler to the Supervisor.

i. Click the tickler flyout menu and select Reassign. Search for and select the Supervisor. The tickler has been reassigned, and the Supervisor will retrieve it from My Dashboard > Ticklers.



d. Due immediately.

## As Needed: Licensure Renewal Review Errors



The Licensing Specialist (Region QA Workstream Worker) will get notified of the pending note via My Dashboard and will review the submitted application package. If the review determines that corrections are needed, the Licensing Specialist (Region QA Workstream Worker) will respond and leave the note in pending status until no additional corrections are needed by the Service Provider. Proceed to [Licensure Renewal Review Approval](#) if no errors or omissions.

1. Set “Role” = Region QA Workstream Worker, then click **Go**.

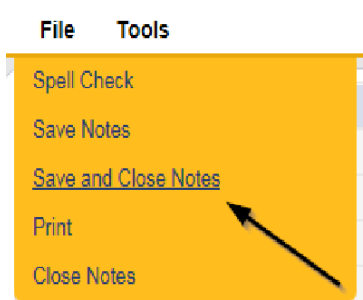
2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.

3. Select the **Note Type = Licensure Renewal** and **Description = Application Submitted** and select the pending record via the hyperlink.

| Provider      | Note type         | Note Date  | Description           | Author       | Status  |
|---------------|-------------------|------------|-----------------------|--------------|---------|
| test Provider | Licensure Renewal | 09/19/2023 | Application Submitted | Hcod, Monica | Pending |

4. In the existing Note record, update the following fields:
  - a. “Associated Form ID#” = Enter Form ID# if applicable
  - b. “Note Subtype” = Update to Errors/Omissions
  - c. “Description” = Update to Errors/Omissions
  - d. "Note" = Enter Notes specific to Errors/Omissions, then click **Append Text to Note**
  - e. "Status" = Leave Status as Pending
  - f. Click the **Lookup** button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
  - g. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.

5. When finished, click **File > Save and Close Notes**



6. Upon saving the Errors/Omissions note, a tickler will fire.
- a. Tickler – “Review to see if the applicant has sent the additional information requested, if not send out the 30 Day Notice.”
  - b. Assigned to Self
  - c. Due in 30 days
  - d. Can be cancelled if needed.

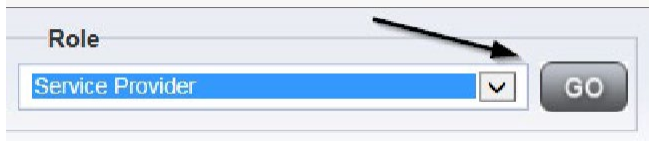


The Licensing Specialist (Region QA Workstream Worker) and Service Provider will leave the note in a Pending Status until all errors/omissions have been resolved. This process can be repeated multiple times.

## As Needed: Update Application

The Service Provider will get notified of the pending note via My Dashboard and will review the errors/omissions (or 30 Day Notice, 60 Day Notice, 90 Day Notice and 90 Day Final Notice notes) provided by the Licensing Specialist (Region QA Workstream Worker). The Service Provider will then respond to the pending note with the requested corrections and leave the note in pending status until no additional corrections are needed.

1. Set "Role" = Service Provider then click **Go**

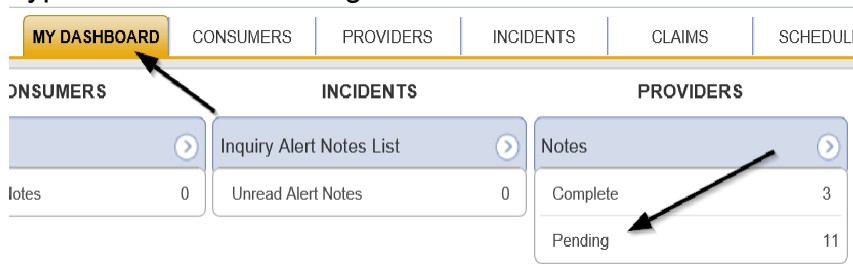


Role

Service Provider

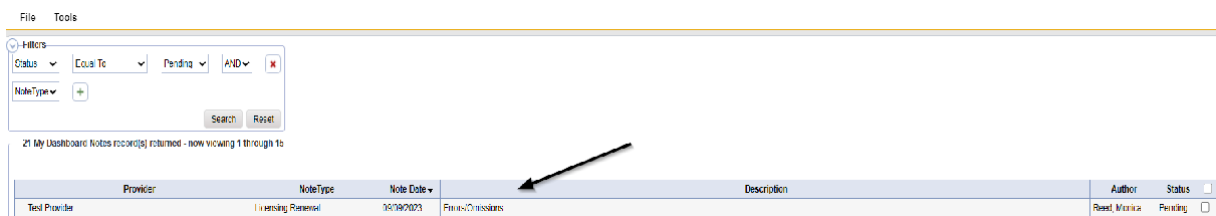
GO

2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.



| MY DASHBOARD | CONSUMERS                | PROVIDERS | INCIDENTS | CLAIMS | SCHEDULE |
|--------------|--------------------------|-----------|-----------|--------|----------|
| CONSUMERS    | INCIDENTS                | PROVIDERS |           |        |          |
| Notes        | Inquiry Alert Notes List | Notes     |           |        |          |
| 0            | Unread Alert Notes       | Complete  |           |        |          |
|              | 0                        | Pending   |           |        |          |
|              |                          | 3         |           |        |          |
|              |                          | 11        |           |        |          |

3. Select the **Note Type = Licensing Renewal** and **Description = Errors/Omissions** and select the pending record via the hyperlink.



File Tools

Filters

Status: Pending AND NoteType: Licensing Renewal

Search Reset

21 My Dashboard Notes records returned - now viewing 1 through 10

| Provider      | NoteType          | Note Date  | Description      | Author       | Status  |
|---------------|-------------------|------------|------------------|--------------|---------|
| Test Provider | Licensing Renewal | 06/09/2023 | Errors/Omissions | Reed, Monica | Pending |

4. In the existing Note record, update the following fields:
  - a. "Note" = Enter Notes as to what corrections have been made
  - b. "Status" = Leave Status as Pending.
  - c. Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Specialist \(Region QA Workstream Worker\)](#) as the Note Recipient
  - d. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.



**Notes Details**

Division \* APD

Note By \* Reed, Monica

Note Date \* 09/28/2023

Note Type \* Licensing Renewal

Note Sub-Type Errors/Omissions

Description Errors/Omissions

Note

On 9/26/2023 at 10:03 AM, Monica Reed wrote:  
test

New Text

B I U 16px A

Append Text to Note

Status \* Pending

Date Completed

**Attachments**

Add Attachment

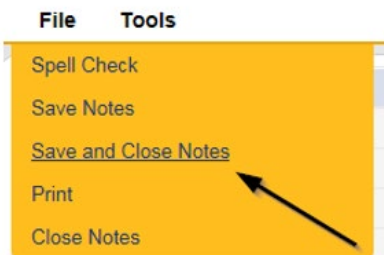
Document Description

There are no attachments to display

**Note Recipients**

Add Note Recipient:  Lookup Clear

5. When finished, click **File > Save and Close Notes**



The Licensing Specialist (Region QA Workstream Worker) and Service Provider will leave the note in a Pending Status until all errors/omissions have been resolved. This process can be repeated multiple times.

## Abuse Record Search

Once the application is submitted, the Licensing Specialist will do an Abuse Record Search on the licensee(s) and note the outcome in iConnect. This will coincide with the review of the renewal process.



The Licensing Specialist or designee will do the Abuse Record Search outside of iConnect. Once the outcome of the search is finalized, a Confidential Note will be created in the subsidiary (child) record in iConnect. The provider will not be able to view a Confidential Note type.

1. Set “Role” = Region QA Workstream Worker, then click **Go**.

A screenshot of a web form showing a dropdown menu for 'Role' with 'Region QA Workstream Worker' selected. A grey 'GO' button is to the right. An arrow points from the text above to the 'GO' button.

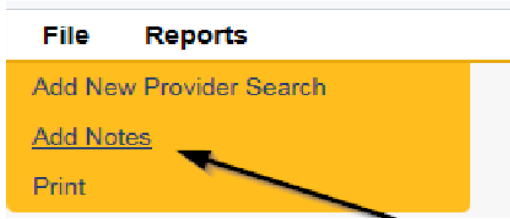
2. Navigate to the **Providers** chapter and enter the Provider’s Facility name in the Quick Search filter and click **Go**.

A screenshot of the iConnect web application. The 'Providers' tab is selected in the navigation bar. The 'Quick Search' filter is set to 'A Test Provider' and 'Providers'. An arrow points to the 'GO' button. Another arrow points to the 'PROVIDERS' tab in the navigation bar.

3. Navigate to the **Providers > Notes** tab

A screenshot of the iConnect web application showing the 'Providers > Notes' page. The 'PROVIDERS' tab is selected in the navigation bar. The 'Notes' tab is selected in the sub-navigation bar. An arrow points to the 'Notes' tab.

4. Go to **File > Add Notes**



5. In the new Note record, update the following fields:

- a. "Division" = APD
- b. "Note Type" = Confidential Note
- c. "Note Subtype" = Abuse Record Search
- d. "Description" = Abuse Record Search Complete
- e. "Note" = Enter notes
- f. "Status" = Update to Complete
- g. Click the **Lookup** button on the "Add Note Recipient" to add the *Supervisor* as the Note Recipient
- h. Enter last name and click **Search** in the pop-up browser window  
Select the name of the worker to attach them to the note

A screenshot of a web application form titled 'Notes Details'. The form contains several fields: 'Division' (dropdown menu with 'APD'), 'Note By' (dropdown menu with 'Baer, Sylvia'), 'Note Date' (calendar icon with '07/15/2024'), 'Associated Form ID#' (text input), 'Note Type' (dropdown menu with 'Confidential Note'), 'Note Sub-Type' (dropdown menu with 'Abuse Record Search'), 'Description' (text input with 'Abuse Record Search'), 'Note' (rich text editor with a toolbar and the text 'Details of the Search and its completion.'), 'Status' (dropdown menu with 'Complete'), and 'Date Completed' (calendar icon with '07/15/2024'). Below these fields are sections for 'Attachments' (with an 'Add Attachment' link), 'Attachments Grid' (empty table), 'Note Recipients' (with an 'Add Note Recipient' field and 'Lookup' and 'Clear' buttons), and 'Note Recipients Grid' (table with one row: Baer, Sylvia | 7/15/2024 | | Unread | | Remove). Black arrows point to the 'Note Type', 'Note Sub-Type', 'Description', 'Note', and 'Status' fields.

6. When finished, click **File > Save and Close Notes**.

## Licensure Renewal Review Approval



The Licensing Specialist (Region QA Workstream Worker) will get notified of the Application Submitted OR Errors/Omissions pending note via My Dashboard and will review the submitted application. If the licensure renewal review determines that no corrections are necessary, then the Licensing Specialist (Region QA Workstream Worker) will update the Application Submitted or Errors/Omissions note and assign it to the Service Provider. The Licensing Specialist will also update the Notes from Other Qualifying Documentation to the Complete status once verified.

1. Set "Role" = Region QA Workstream Worker, then click **Go**.

2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.

3. Select the **Note Type = Licensing Renewal** and **Description = Errors/Omissions** and select the pending record via the hyperlink.

| Provider      | Note Type         | Note Date  | Description      | Author       | Status  |
|---------------|-------------------|------------|------------------|--------------|---------|
| Test Provider | Licensing Renewal | 09/06/2023 | Errors/Omissions | Reed, Monica | Pending |

4. **OR** Select the **Note Type = Licensing Renewal** and **Description = Application Submitted** and select the pending record via the hyperlink.

| Provider      | Note Type         | Note Date  | Description           | Author       | Status  |
|---------------|-------------------|------------|-----------------------|--------------|---------|
| Test Provider | Licensing Renewal | 05/19/2023 | Application Submitted | Reed, Monica | Pending |

5. In the existing Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID# if applicable
  - b. "Note Subtype" = Update to Application Form Review Complete
  - c. "Description" = Update to Application Form Review Complete
  - d. "Note" = Enter Notes and then click "**Append Text to Note.**"
  - e. "Status" = Update to Complete
  - f. Click the **Lookup** button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
  - g. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.

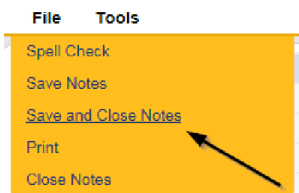
The screenshot shows the 'Notes Details' form with the following fields and values:

- Division: APD
- Note By: Reed, Monica
- Note Date: 09/19/2023
- Associated Form ID#: (empty)
- Note Type: Licensing Renewal
- Note Sub-Type: Application Form Review Complete
- Description: Application Form Review Complete
- Note: (empty text area)
- Status: Complete
- Date Completed: 09/20/2023

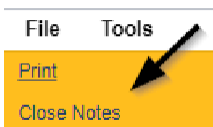
Arrows in the image point to the following elements:

- Note Sub-Type dropdown
- Description text field
- Status dropdown
- Lookup button in the Note Recipients section

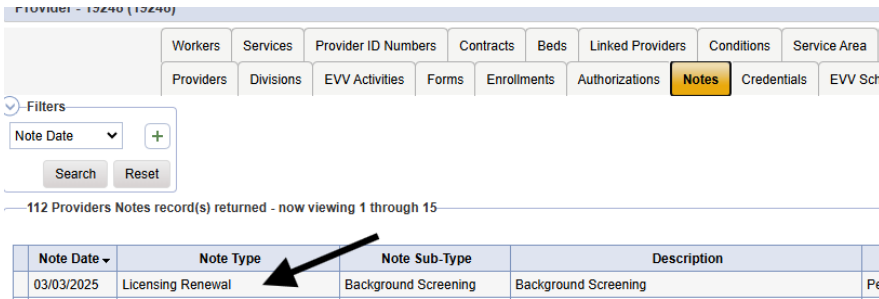
6. When finished, click **File > Save and Close Notes**



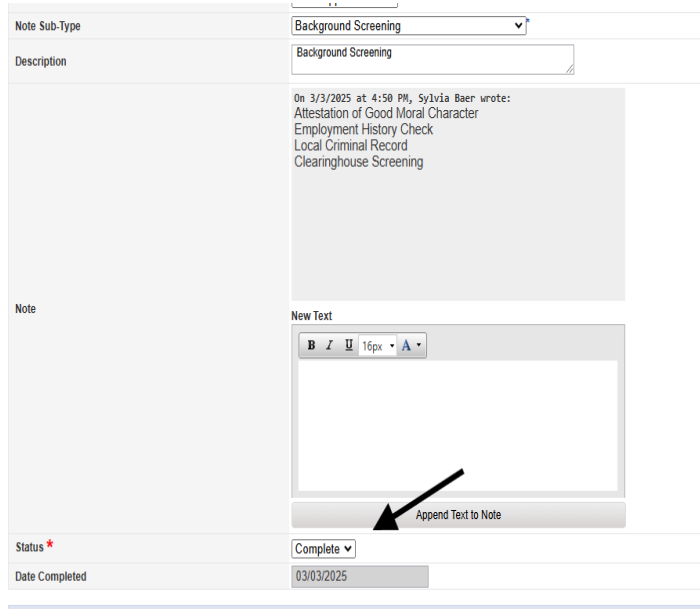
7. Click **File > Close Notes**



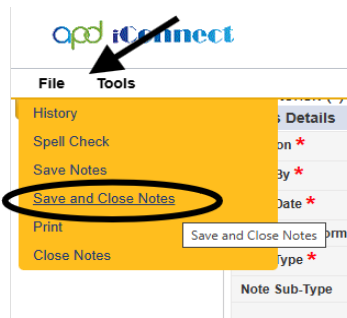
8. Navigate to the **Providers > Notes** tab and update the status of the following Notes to the Complete status once the supporting documentation has been verified.
  - a. Open the Note Type = Licensing Renewal and Note Subtypes = Background Screening, Business Information, Facility, Personnel Information, and Policies and Procedures.



- b. Update the Status to Complete.



- c. File > Save and Close Notes



9. Navigate to the **Providers > Forms** tab and enter the search criteria as **Form Name = Facility Application Form**, then click **Search** and select the form via the hyperlink on the record

A TEST Provider (10002)

Workers Services Provider ID Numbers Contracts Beds  
 Providers Divisions **Forms** Enrollments Authorizations

Filters  
 Form Name Equal To Facility Application Form (APD 2019-July) AND  
 Division +

Search Reset

1 Forms record(s) returned - now viewing 1 through 1

| Division | Form Name                                 |
|----------|---|
| APD      | Facility Application Form (APD 2019-July) |

10. Update the Status to **“Complete”** on the Facility Application Form Header and click **“OK”** on the pop-up message box

Message from webpage

By changing the status of this record, all required fields must be completed before the record can be saved. Do you want to

OK Cancel

File Reports Word Merge

Facility Application Form (APD 2025-09)

An asterisk (\*) indicates a required field

**Provider Assessment**

|               |            |             |                  |                      |
|---------------|------------|-------------|------------------|----------------------|
| Division *    | APD        | Worker *    | Provider, Sylvia | Lookup Clear Details |
| Review *      | Annual     | Status *    | Complete         |                      |
| Review Date * | 09/02/2025 | Approved By | Baer, Sylvia     | Details              |
| Approved Date | 09/02/2025 |             |                  |                      |

**License Application**

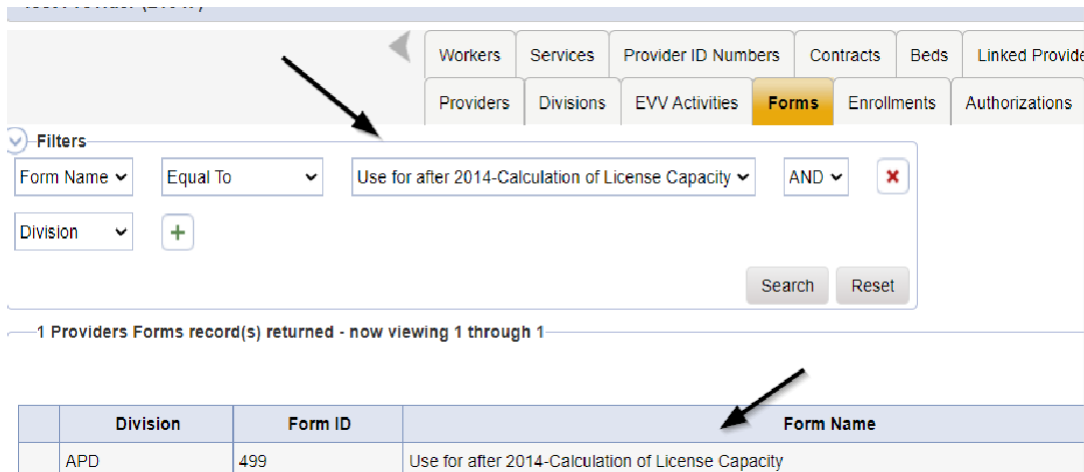
11. When finished, Select **File > Save and Close Forms**

**File** Word Merge

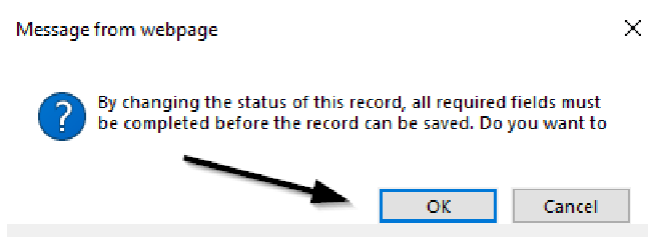
- History
- Duplicate Assessment
- Save Forms
- Delete Forms
- Save and Add Another Forms
- Save and Close Forms
- Reverse Status
- Print
- Close Forms

12. Update the search criteria as **Form Name = Use for after 2014 – Calculation of License Capacity OR Use for prior to 2014 – Calculation of Licensed Capacity**. Click **Search** and select the form via the hyperlink on the record

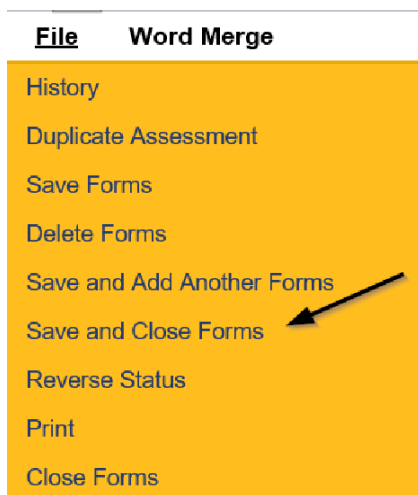
**NOTE:** If no changes were made to the Licensed Capacity form, the form can be updated to a complete status. However, if capacity changes have been made, the site visit will need to be completed **BEFORE** the form can be updated to a complete status.



13. Update the Status to **“Complete”** on the Licensed Capacity Form Header and click **“OK”** on the pop-up message box



14. When finished, Select **File > Save and Close Forms**



## Schedule Site Visit Appointment for Renewal



Once there are no errors or omissions on the Licensing Renewal Application, the Licensing Specialist (Region QA Workstream Worker) will call the Provider to schedule the site visit and add the appointment information into APD iConnect.

1. Set "Role" = Region QA Workstream Worker, then click **Go**.

Role  
Region QA Workstream Worker [v] GO

2. Navigate to the **Providers** chapter and enter the Provider's Licensed Facility home name in the Quick search filter and click **Go**.

APD iConnect  
File  
Quick Search  
A Test Provider X Providers Provider Name GO  
MY DASHBOARD CONSUMERS PROVIDERS INCIDENTS CLAIMS SCHEDULER  
Filters

3. The Provider's record will display. Navigate to the **Providers > Appointments** tab.

MY DASHBOARD CONSUMERS PROVIDERS INCIDENTS CLAIMS SCHEDULER UTILITIES RE  
A TEST Provider (10002)  
Workers Services Provider ID Numbers Contracts Decks Linked Providers Alliances Conditions Service Areas Admin Actions  
Providers Divisions Forms Enrollments Authorizations Notes Credentials EVV Scheduling CAP Appointments  
View Style: List View (selected), Monthly View, Weekly View, Daily View  
Filters: Status, Equal to, Pending, N/A, Type  
4 Appointments record(s) returned - now viewing 1 through 4  
Table with 5 columns: Type, Start Date, End Date, etc.  
Row 1: Site Visit, 00/21/2018, 00/21/2018

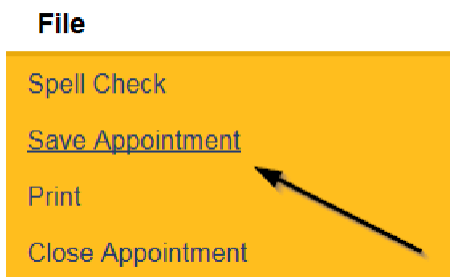
4. Click **File > Add Appointment**

APD iConnect  
File  
Add New Provider Search  
Add Appointment  
Spell Check  
Print

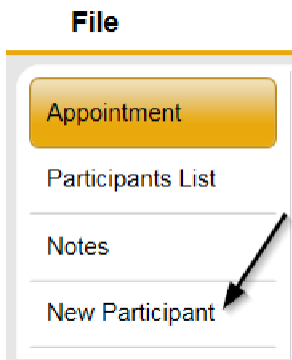
5. Update the following fields on the Appointment Details page
  - a. "Division" = APD
  - b. "Appointment Date" = Update date
  - c. "Start Time" = Update time
  - d. "Appointment End Date" = Update date
  - e. "End Time" = Update time
  - f. "Type" = Site Visit
  - g. "Subject" = Enter subject description
  - h. "Appt Summary" = Enter summary
  - i. "Appt Details" = Enter details
  - j. "Status" = Scheduled

| Appointments                   |  |
|--------------------------------|--|
| Division                       | APD ▾  |
| Appointment Date *             | 09/20/2023   |
| Start Time                     | 02 ▾ 00 ▾ PM ▾   |
| Appointment End Date           | 09/01/2023   |
| End Time                       | 03 ▾ 00 ▾ PM ▾   |
| Type *                         | Site Visit ▾   |
| Subject                        | <input type="text" value="Enter Subject Description"/> |
| Appt. Summary (non-HIPAA Data) | <input type="text"/>                                   |
| Appt. Details(HIPAA Data)      | <input type="text"/>                                   |
| Status *                       | Scheduled ▾  |

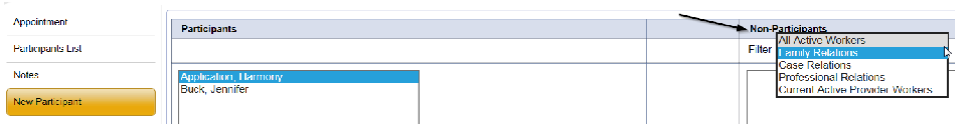
6. When finished, select **File > Save Appointment**



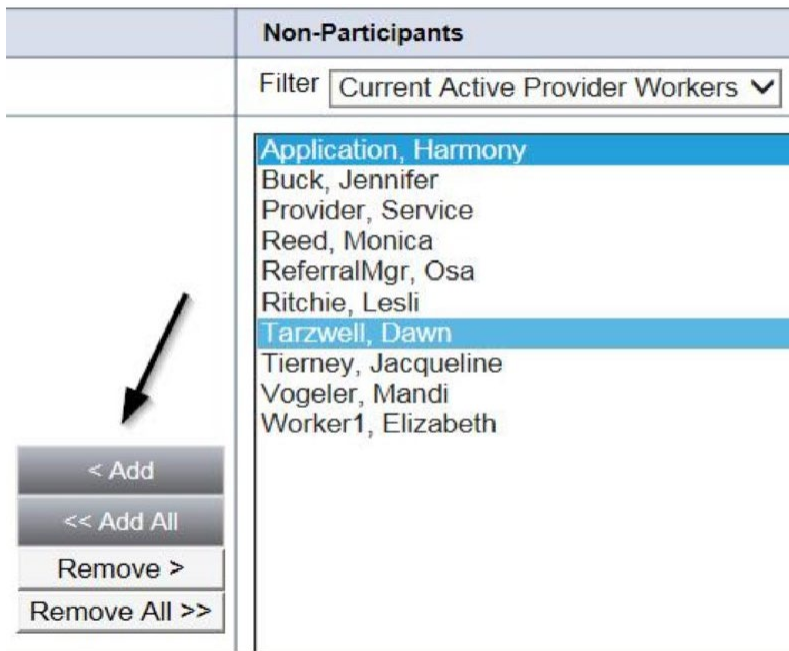
7. Click **New Participant** on the left-hand navigation menu



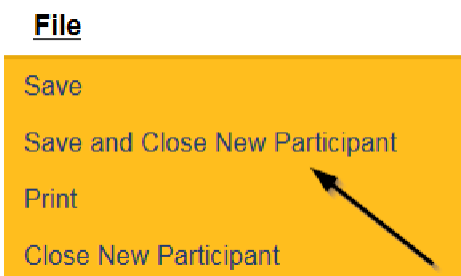
8. Set the **Non-Participants filter** list to the appropriate value in order to select the appointment participants



9. Select the appropriate Licensing Specialist (Region QA Workstream Worker) and Service Provider Worker names by holding the control key down and clicking on the names, and then click **< Add**



10. When finished, Select **File > Save and Close New Participant**



## As Needed: Reschedule Site Visit Appointment



If the site visit was scheduled and needs to be done on a different date/time, the QA Workstream Worker will need to reschedule the existing appointment. This will ensure the appointment information is accurate for reporting.

1. Set “Role” = Region QA Workstream Worker, then click **Go**.

Role  
Region QA Workstream Worker [v] GO

2. Navigate to the **Providers** chapter and enter the Provider’s Licensed Facility home name in the Quick Search filter and click **Go**.

Quick Search: A Test Provider X Providers Provider Name GO

MY DASHBOARD CONSUMERS PROVIDERS INCIDENTS CLAIMS SCHEDULER

3. The Provider’s record will display. Navigate to the **Providers > Appointments** tab.

A TEST Provider (10002)

Workers Services Provider ID Numbers Contracts Beds Linked Providers Aliases Conditions Service Area Admin Actions  
Providers Divisions Forms Enrollments Authorizations Notes Credentials EVV Scheduling CAP Appointments

View Style: 1st View Monthly View Weekly View Daily View

Filters: Status Equal To Pending AND Type + Search Reset

4 Appointments record(s) returned - now viewing 1 through 4

| Type       | Start Date | End Date   |
|------------|------------|------------|
| Site Visit | 09/21/2018 | 09/21/2018 |

4. Select the appointment record that needs to be updated via the hyperlink in the list view

A Test Provider (10000)

Workers Services Provider ID Numbers Contracts Beds Linked Providers Aliases Conditions Service Area Admin Actions  
Providers Divisions Forms Enrollments Authorizations Notes Credentials EVV Scheduling CAP Appointments

View Style: List View Monthly View Weekly View Daily View

Filters: Appointment Date + Search Reset

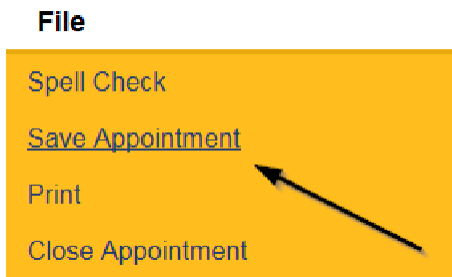
4 Appointments record(s) returned - now viewing 1 through 4

| Appointment Date | Start Time  | End Time    | Type       | Subject                                      | Status    |
|------------------|-------------|-------------|------------|--|-----------|
| 08/15/2022       | 3:00:00 PM  | 4:00:00 PM  | Site Visit | Appointment scheduled for monthly site visit | Scheduled |
| 04/29/2022       | 5:00:00 PM  | 6:00:00 PM  | Site Visit | Monthly visit                                | Scheduled |
| 06/03/2020       | 10:20:00 AM | 12:00:00 PM | General    | Test   | Scheduled |
| 07/09/2018       | 3:15:00 PM  | 3:45:00 PM  | Site Visit | Site Visit License Renewal                   | Scheduled |

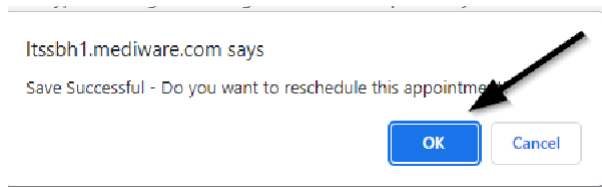
5. Update the following field on the Appointment Details page
  - a. "Status" = Update to Rescheduled

The screenshot shows the 'Appointment Details' page in the iConnect system. The 'Status' field at the bottom of the form is highlighted with a black arrow and set to 'Rescheduled'. Other fields include 'Division' (AP1), 'Appointment Date' (3/15/2022), 'Start Time' (08:00 PM), 'Appointment End Date' (3/15/2022), 'End Time' (08:00 PM), 'Type' (SBA Visit), 'Subject' (Monthly visit), 'App. Summary (non-HIPAA Data)' (summary), and 'App. Details (HIPAA Data)' (details).

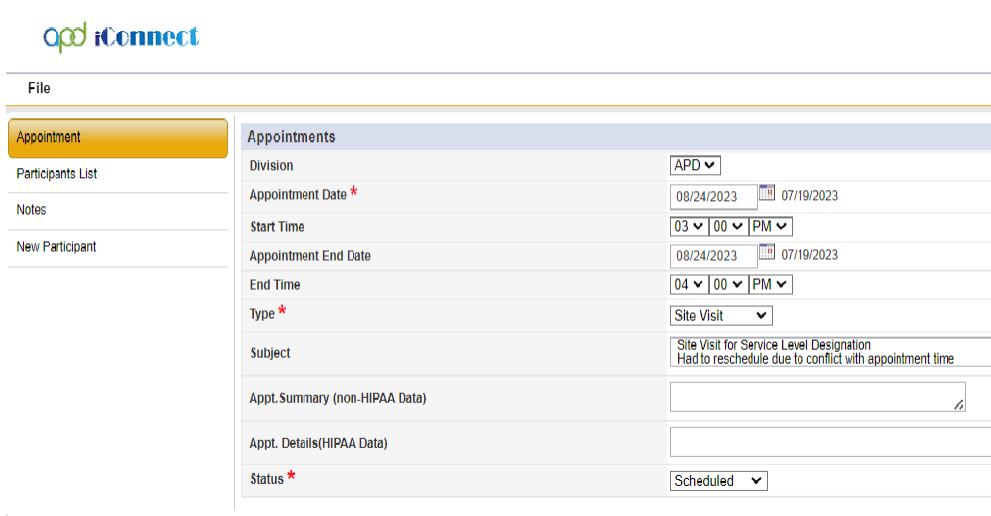
6. When finished, select **File > Save Appointment**



7. A prompt will appear that asks, "Do you want to reschedule this appointment?"

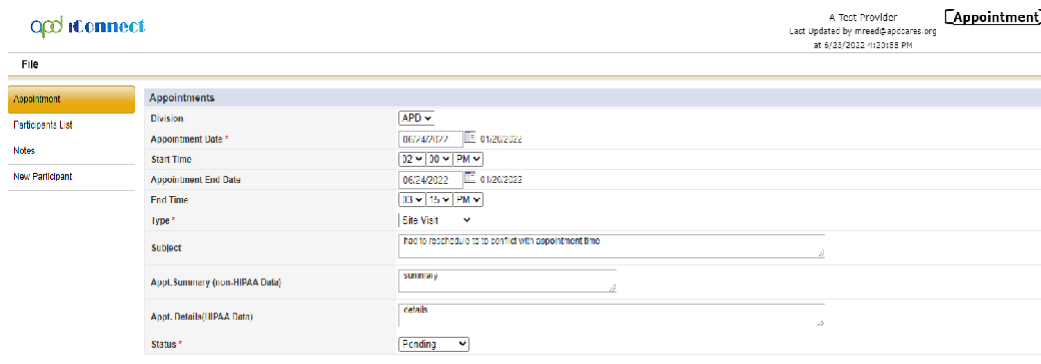


8. Click OK to reschedule the appointment. The appointment page opens, showing some data from the previous appointment.
9. Update the Appointment date and time information for the new appointment.
10. Update the status from Pending to Scheduled, if appropriate.



11. Click **File > Save Appointment**. Both the original and rescheduled appointments are listed in the Appointments tab detail view.

12. The rescheduled appointments detail page will now show the date of the original appointment next to the new Appointment Date and Appointment End date fields.



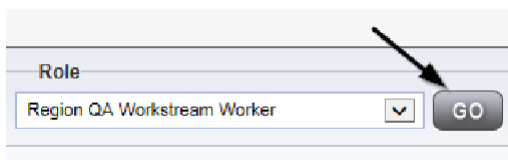
## Complete Renewal Site Visit



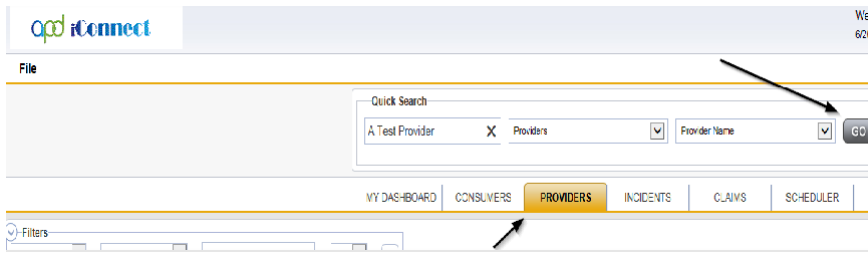
The Licensing Specialist (Region QA Workstream Worker) can print out the applicable checklists prior to the site visit if they do not have a laptop/tablet. If they have a laptop/tablet, the forms can be completed in iConnect while conducting the site visit.

## Complete Licensing Checklists

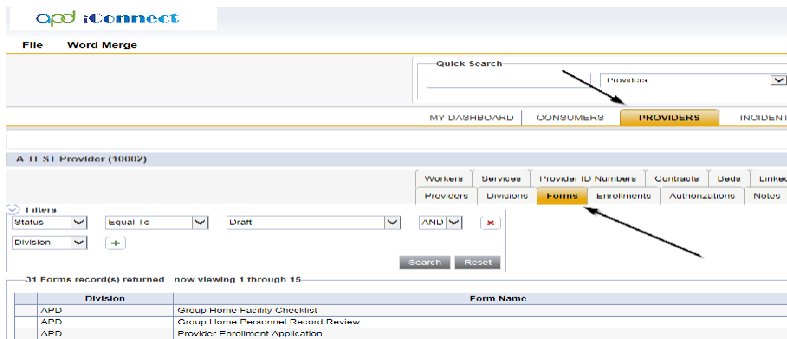
1. Set "Role" = Region QA Workstream Worker then click **Go**.



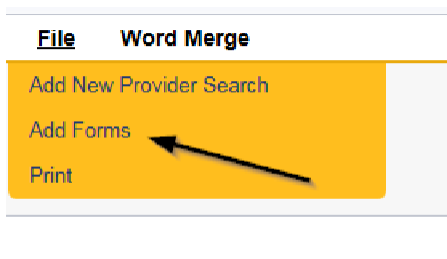
2. Navigate to the **Providers** chapter and enter the Provider's Licensed Facility home name in the Quick Search filter and click **Go**.



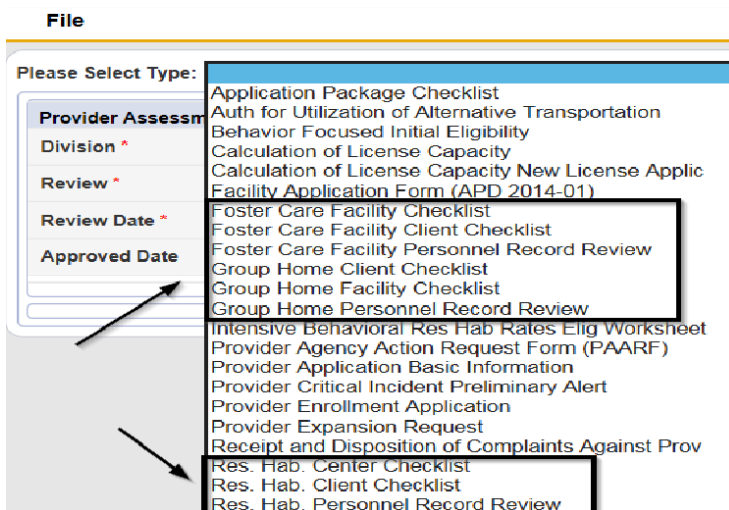
3. The Provider's record will display. Navigate to the **Providers > Forms** tab



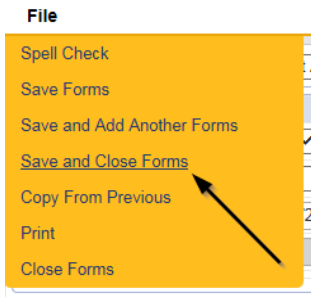
4. Click **File > Add Forms**



5. Select "Please Select Type" as applicable from the drop-down list



6. Update the following Header fields:
  - a. "Division" = APD
  - b. "Review" = Annual
  - c. Complete all fields on the Checklist Form
  - d. When finished, click **File > Save and Close Forms**



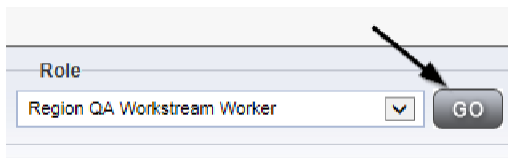
NOTE: If the users printed out the checklists, once they get back in the office, they will need to manually enter the checklist information into the forms tab under the Provider's record.

### Complete Appointment

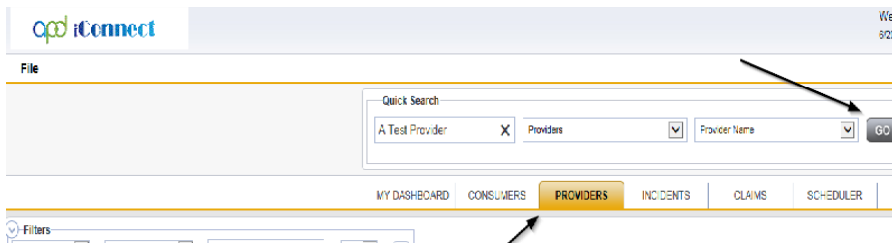


The QA Workstream Worker will update the appointment in APD iConnect after the site visit is completed.

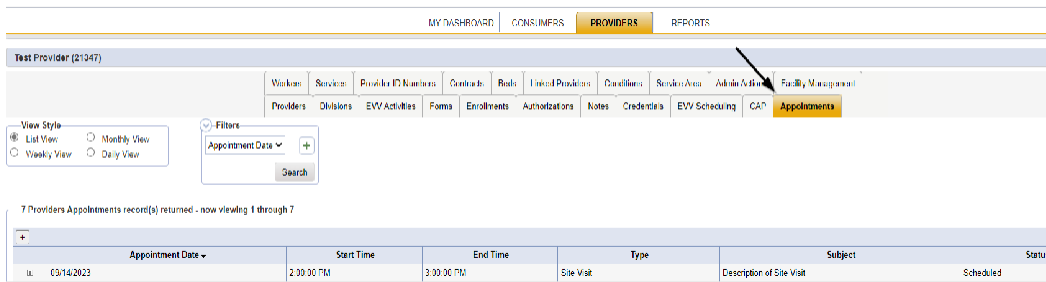
1. Set "Role" = Region QA Workstream Worker, then click **Go**.



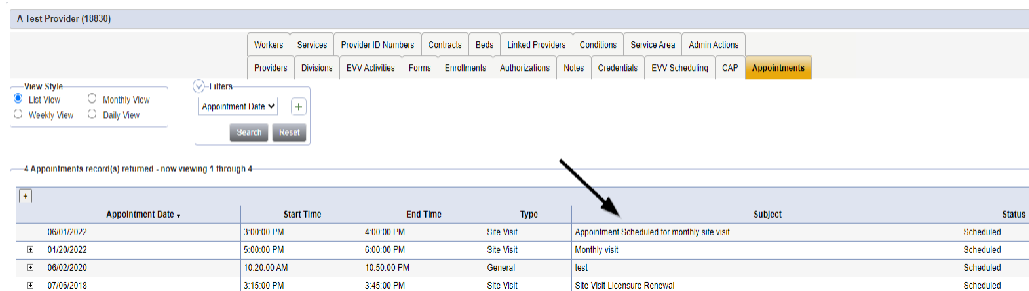
2. Navigate to the **Providers** chapter and enter the Provider's Facility name in the Quick Search filter and click **Go**.



3. The Provider's record will display. Navigate to the **Providers > Appointments** tab.



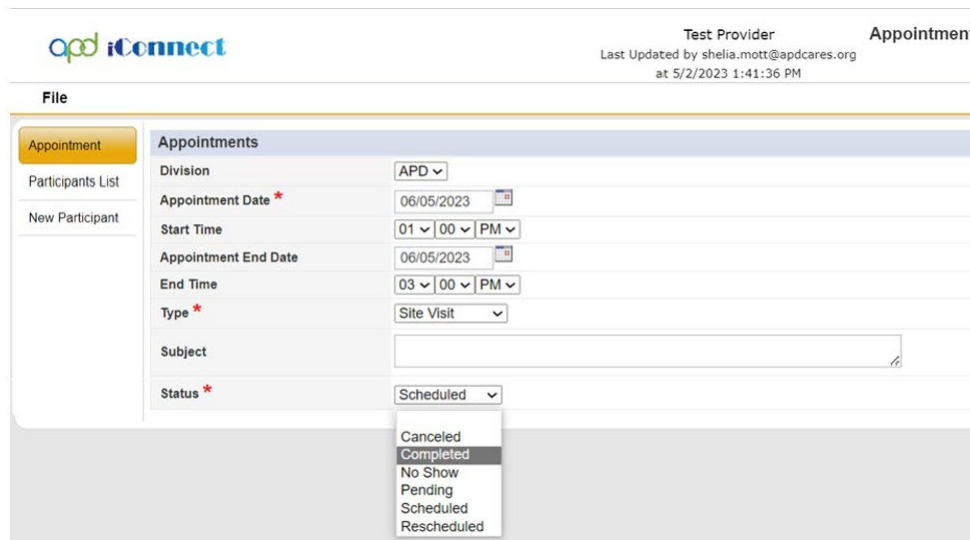
4. Select the appointment record that needs to be updated via the hyperlink in the list view



5. Update the following field on the Appointment Details page

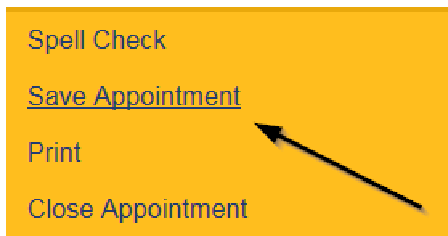
a. "Status" =

- Update to **Completed** if the site visit was completed.
- Update to **Cancelled** if the site visit was cancelled but not rescheduled.
- Update to **No Show** if the Residential Monitor attempted to make the site visit, but the contact person was not available. A new site visit will need to be scheduled.



6. When finished, select **File > Save Appointment**

## File



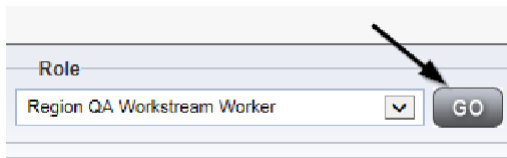
7. From the File menu, select **Close Appointment**.

## Complete Application Package Checklist

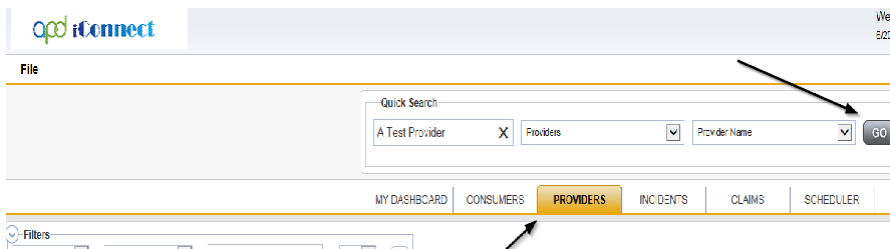


The Licensing Specialist (Region QA Workstream Worker) will review the Service Provider record and complete the Application Package Checklist to proceed with the approval process.

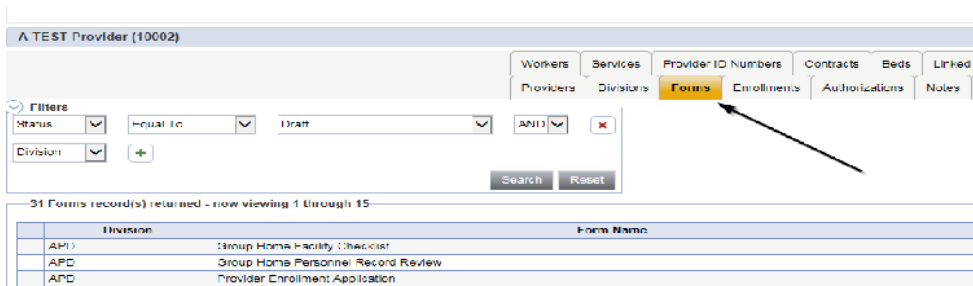
1. Set "Role" = Region QA Workstream Worker, then click **Go**.



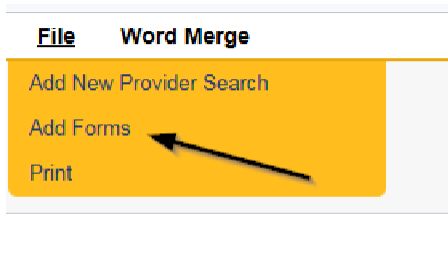
2. Navigate to the **Providers** chapter and enter the Provider's Licensed Facility home name in the Quick Search filter and click **Go**.



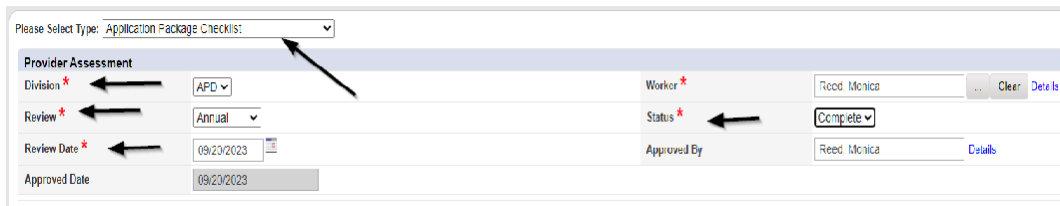
3. The Provider's record will display. Navigate to the **Providers > Forms** tab



4. Click **File > Add Forms**



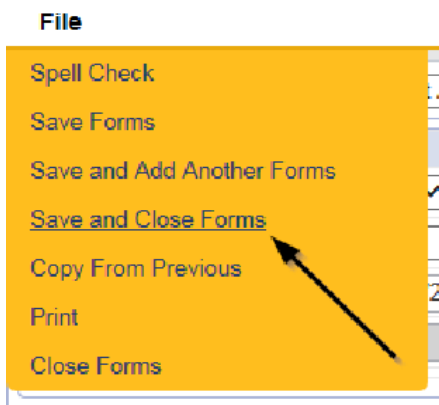
5. Select "Please Select Type:" as "Application Package Checklist" from the drop-down list



6. Update the following Header fields:

- a. "Division" = APD
- b. "Review" = Annual
- c. Complete all fields on the Application Package Checklist
- d. "Status" = Complete

7. When finished, click **File > Save and Close Forms**





Proceed to [Site Visit No Violations Note](#) if no violations OR proceed to [Site Visit Violation Note](#)

## Site Visit No Violations Note



The Licensing Specialist (Region QA Workstream Worker) will document in a note that there are no site visit issues.

If issues or deficiencies were noted during the site visit, proceed to the [Site Visit Violations Note](#) issues section.

1. Set “Role” = Region QA Workstream Worker, then click **Go**.

Role  
Region QA Workstream Worker [v] GO

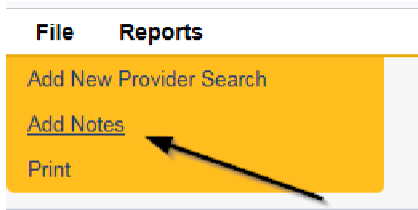
2. Navigate to the **Providers** chapter and enter the Provider’s Licensed Facility home name in the Quick Search filter and click **Go**.

opd connect  
File  
Quick Search  
A Test Provider X Providers [v] Provider Name [v] GO  
MY DASHBOARD CONSUMERS PROVIDERS INCIDENTS CLAIMS SCHEDULER  
Filters

3. The Provider’s record will display. Navigate to the **Providers > Notes** tab

MY DASHBOARD CONSUMERS PROVIDERS INCIDENTS CLAIMS SCHEDULER  
A TEST Provider (10002)  
Workflows Services Provider ID Numbers Contracts Billing Linked Providers Aliases Conditions  
Providers Divisions Forms Enrollments Authorizations Notes Credentials EVV Scheduling  
Filters  
Note Type [v] Equal to [v] [v] AND [v] X  
Note Date [v] +  
Search Reset

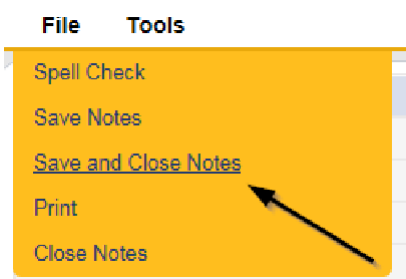
4. Click **File > Add Notes**



5. In the new Note record, update the following fields:

- a. "Division" = APD
- b. "Associated Form ID#" = Enter Form ID# if applicable
- c. "Note Type" = Licensing Renewal
- d. "Note Subtype" = Site Visit Complete with no issues or deficiencies
- e. "Description" = Site Visit Complete with no issues or deficiencies
- f. "Note" = Enter the list of site visit results
- g. "Status" = Complete
- h. Click the **Lookup** button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
- i. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note
- j. Click the **Lookup** button on the "Add Note Recipient" to add the *Licensing Supervisor* as the Note Recipient
- k. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

- When finished, click **File > Save and Close Notes**

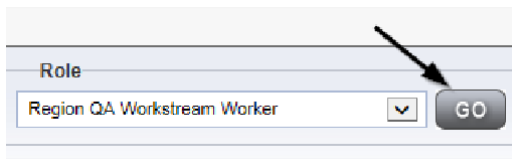


## Supervisor Review

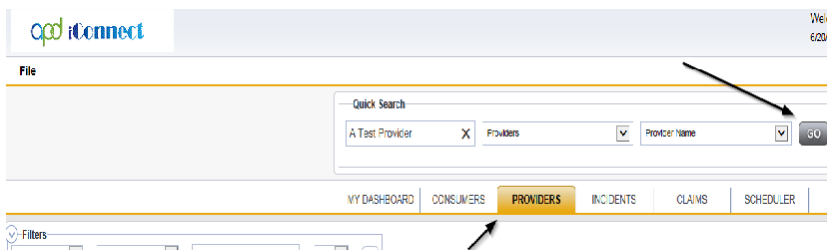


The Licensing Specialist (Region QA Workstream Worker) will send a note to the Licensing Supervisor to advise them to do a review of the checklists, which may also include reviewing the CAP record, NNC, and any other documentation.

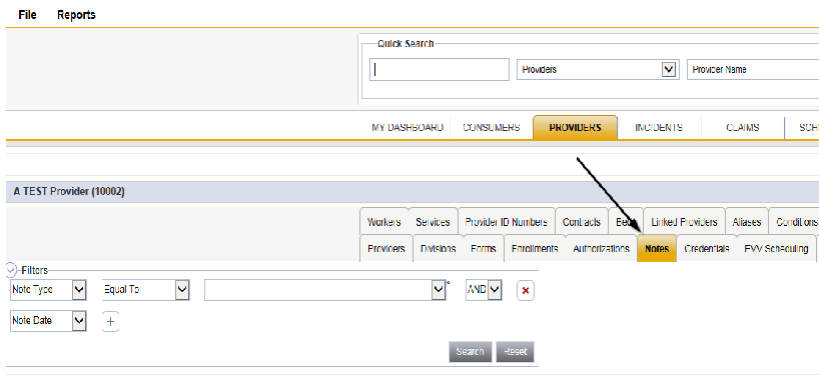
- Set "Role" = Region QA Workstream Worker, then click **Go**.



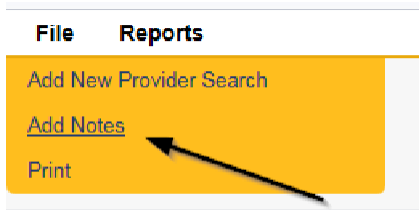
- Navigate to the **Providers** chapter and enter the Provider's Licensed Facility home name in the Quick Search filter and click **Go**.



- The Provider's record will display. Navigate to the **Providers > Notes** tab



4. Click **File > Add Notes**



5. In the new Note record, update the following fields:
  - a. "Division" = APD
  - b. "Associated Form ID#" = Enter Form ID if applicable
  - c. "Note Type" = Licensing Renewal/Supervisor Review
  - d. "Description" = If there are violations, enter "CAP ID = Violations", and if there are no violations enter "No Violations"
  - e. "Note" = Enter notes
  - f. "Status" = Pending
  - g. "Attachments" = If violations were noted, a CAP was created and accepted, the NNC must be attached to this Supervisor Review Note so the Supervisor has all the documentation needed to approve the renewal. If this review did not require a CAP, there would be no attachments.
  - h. Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Supervisor](#) as the Note Recipient
  - i. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

**Notes Details**

Division \* APD

Note By \* Baer, Sylvia

Note Date \* 09/08/2025

Associated Form ID#

Note Type \* Licensing Renewal/Supervisor Review

Note Sub-Type

Description CAP ID 987 - Violations

Note

Status \* Pending

Date Completed

**Attachments**

[Add Attachment](#)

**Attachments Grid**

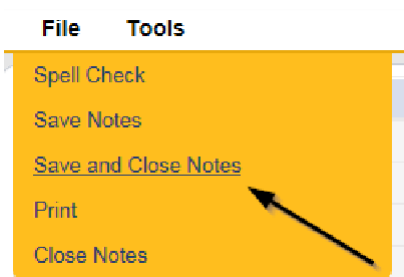
| Document                            | Description | Category | Action |
|-------------------------------------|-------------|----------|--------|
| There are no attachments to display |             |          |        |

**Note Recipients**

Add Note Recipient:

**Note Recipients Grid**

6. When finished click **File > Save and Close Notes**



**Supervisor Approval**



The Licensing Supervisor will receive notification on My Dashboard for the review. The Supervisor will need to review all checklists, notes, Corrective Action Plan and Notice of Non-Compliance (if applicable). If the supervisor determines that more information is needed proceed to [Further Documentation Required](#).


1. Set “Role” = Region QA Workstream Worker/Lead then click **Go**.

2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.

3. Select the **Note Type = Licensing Renewal/Supervisor Review** and select the pending record via the hyperlink.

| Provider      | Note Type                           | Note Date  | Description                         | Action        | Status  |
|---------------|-------------------------------------|------------|-------------------------------------|---------------|---------|
| Test Provider | Licensing Renewal/Supervisor Review | 05/20/2023 | Licensing Renewal/Supervisor Review | Read, Monitor | Pending |

4. If this is a Supervisor Approval that does not require further documentation or further documentation was required and has been received, in the existing Note record, update the following fields:
  - a. “Associated Form ID#” = Enter Form ID# if applicable
  - b. “Note Type” = Update to Licensing Renewal/Supervisor Approval
  - c. “Note Subtype” =
    - i. If this is a Supervisor Approval and Further Documentation is NOT required, leave this field blank.
    - ii. If this is a Supervisor Approval that required Further Documentation, which has now been provided, leave as **Further Documentation Provided**

| Notes Details       |  |
|---------------------|--|
| Division *          | APD ▾  |
| Note By *           | Buck, Jennifer   |
| Note Date *         | 09/26/2023  |
| Associated Form ID# |  |
| Note Type *         | Licensing Renewal/Supervisor Approval ▾*   |
| Note Sub-Type       | Further Documentation Provided ▾*  |

- d. "Description" = No updates
- e. "Note" = Enter Notes
- f. "Status" = Update to Complete
- g. Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Specialist \(Region QA Workstream Worker\)](#) as the Note Recipient
- h. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.
- i. Click the **Lookup** button on the "Add Note Recipient" to add the [ROM](#) as the Note Recipient
- j. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note



If this review required further documentation and the Licensing Specialist (Region QA Workstream Worker) did not change the Note Subtype to Further Documentation Provided before sending it back to the Supervisor, the Supervisor will need to do it before the Licensing Renewal/Supervisor Approval Note Type will be visible.

**Notes Details**

Division \* APD

Note By \* Baer, Sylvia

Note Date \* 09/08/2025

Associated Form ID#

Note Type \* Licensing Renewal/Supervisor Approval

Note Sub-Type

Description CAP ID 987 - Violations

Note

New Text

B I U 16px A

Append Text to Note

Status \* Complete

Date Completed 09/08/2025

**Attachments**

Add Attachment

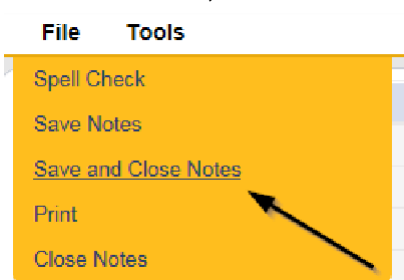
**Attachments Grid**

| Document                            | Description | Category |
|-------------------------------------|-------------|----------|
| There are no attachments to display |             |          |

**Note Recipients**

Add Note Recipient:

5. When finished, click **File > Save and Close Notes**



6. Select **File > Close Notes**



## Update License Information



The Licensing Specialist will be notified of the Supervisor Approval from the Licensing Renewal/Supervisor Approval note on My Dashboard > Provider > Notes. This note serves as notification to update the license information with the new renewal information. The license information needs to be updated before the ROM Review begins.

1. Set “Role” = Region QA Workstream Worker, then click **Go**.

2. Navigate to the **Providers** chapter and enter the Provider’s Licensed Facility home name in the Quick Search filter and click **Go**.

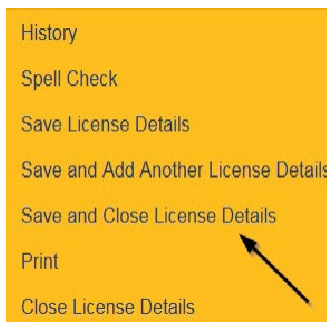
3. The Provider’s record will display. Navigate to the **Providers > Credentials** tab and select the License that is being renewed via the hyperlink on the row

|         |                  |             |
|---------|------------------|-------------|
| License | Foster Home      | FH12345678  |
| License | MWSA             | R3355566677 |
| License | Behavior Focused |             |

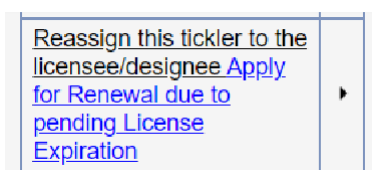
4. Update the following fields:
  - a. "Date of Renewal/Subsequent License" = Enter Renewal Date
  - b. "Effective Date" = Enter New Effective Date
  - c. "Expiration Date" = Enter New Expiration Date
  - d. "Status" = Active
  - e. "Reason" = Renewal
  - f. "QA Workstream Worker" = Select worker
  - g. Optional – If license is for less than one year, enter the following:
    - i. "Less than One Year" = Select checkbox for Yes
    - ii. "License Duration " = Select One Month or Three Months

| License Details                      |  |
|--------------------------------------|--|
| Credential Type *                    | License  |
| License Type *                       | Foster Home  |
| License Number *                     | 858585   |
| Original Date of Issuance *          | 01/01/2023   |
| Date of Renewal/Subsequent License * | 09/01/2023   |
| Effective Date *                     | 09/01/2023   |
| Expiration Date *                    | 09/30/2024   |
| Less than One Year                   | <input checked="" type="checkbox"/>                                      |
| License Duration                     | One Month  |
| Comment                              |  |
| Status                               | Active   |
| Reason                               | Renewal  |
| QA Workstream Worker                 | Reed, Monica <span>Lookup</span> <span>Clear</span> <span>Details</span> |

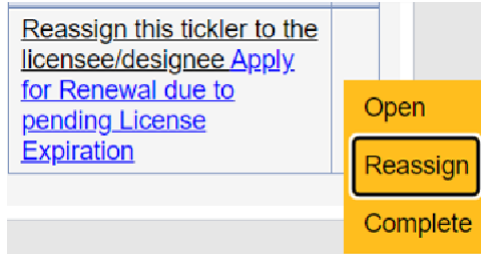
5. When finished, click **File > Save and Close License Details**



6. Upon saving the license record, a Workflow Wizard triggered the reminder tickler that is due in 90 calendar days before the license expiration date.



- a. Tickler - “Reassign this tickler to the licensee/designee. “Apply for Renewal due to pending License Expiration.”
- b. Reassign to licensee/designee.
  - i. Click the tickler flyout menu and select Reassign. Search for and select the licensee/designee. The tickler has been reassigned, and the licensee/designee will retrieve it from My Dashboard > Ticklers



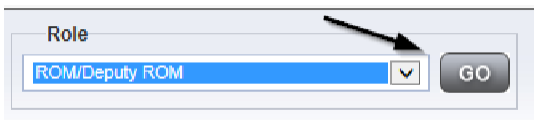
- c. Due on the **90th** calendar day before the License expiration date for license types of Foster Home, Group Home, Residential Habilitation Center

## ROM Review

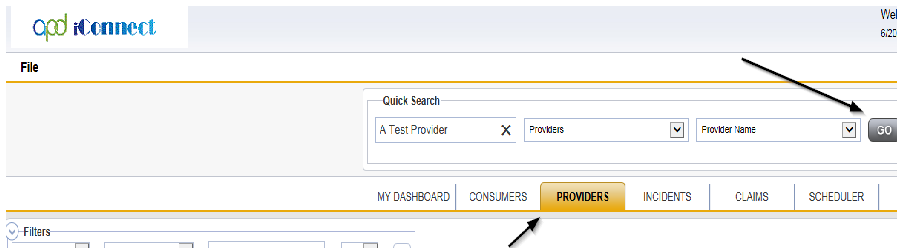


The ROM/Designee will receive notification of the Supervisor Approval or the Supervisor Denial via a note on My Dashboard. The ROM will need to review all checklists, notes, Corrective Action Plan, and Notice of Non-Compliance (if applicable). If more information is needed, proceed to [Further Documentation Required](#). If approving or denying, they will then print out the License Certificate. The Licensing Specialist will have added the license information to the provider record before the ROM prints the License Certificate.

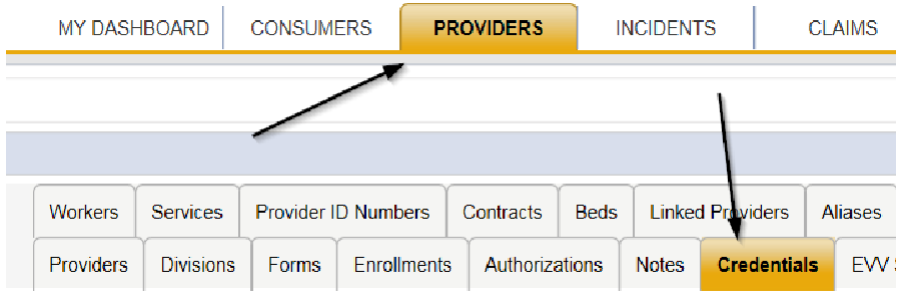
1. Set “Role” = ROM/Deputy ROM, then click **Go**.



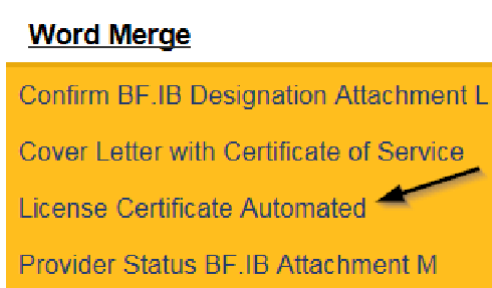
2. Navigate to the **Providers** chapter and enter the Provider’s Licensed Facility home name in the Quick Search filter and click **Go**.



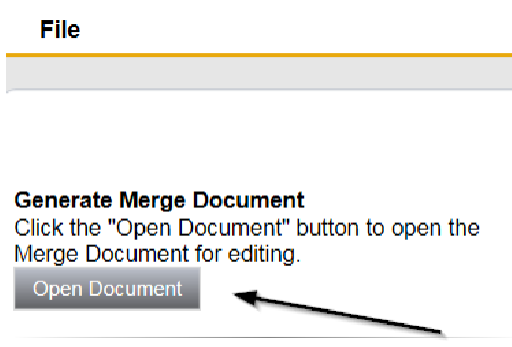
3. The Provider's record will display. Navigate to the **Providers > Credentials** tab



4. Select Word Merge > License Certificate Automated



5. Select **Open Document** to open the Word Merge document for editing and complete the



6. Save the Word Merge Document to the device by clicking the **Save** button and then **Open**



7. **Edit** the Word Merge Document as necessary

---



**CERTIFICATE OF LICENSE**

8. When finished, click **File > Print** to print the updated Word Merge and then **File > Save, File > Close**

9. Select **File > Close** to close the Word Merge in APD iConnect



The ROM/Designee will then sign, scan, and save the License Certificate to their device.

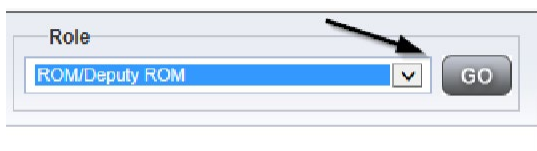
**ROM Approval**



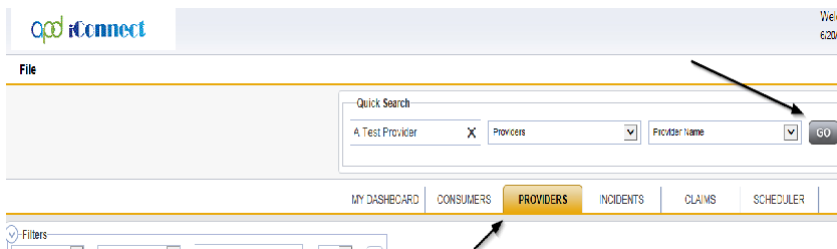
The ROM will attach the hardcopy of the License Certificate into a new note. If the ROM determines that more information is needed, proceed to [Further Documentation Required](#).

*NOTE: An electronic signature will not be accepted on the License Certificate. The ROM will need to sign the hard copy and send it via interoffice mail to the Licensing Specialist (Region QA Workstream Worker).*

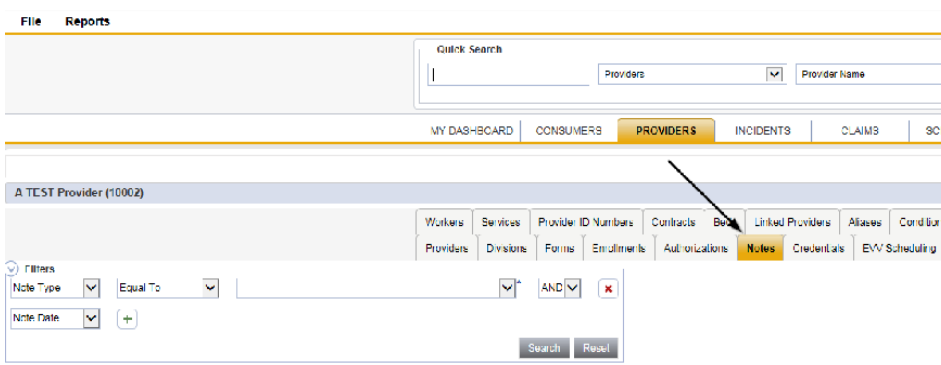
1. Set "Role" = ROM/Deputy ROM, then click **Go**



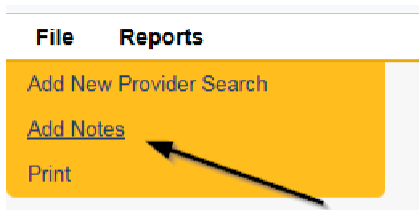
2. Navigate to the **Providers** chapter and enter the Provider's Licensed Facility home name in the Quick Search filter and click **Go**.



3. The Provider's record will display. Navigate to the **Providers > Notes** tab



4. Click **File > Add Notes**



5. In the new Note record, update the following fields:
  - a. "Division" = APD
  - b. "Associated Form ID#" – Enter Form ID if applicable
  - c. "Note Type" = Licensing Renewal/ROM Approval
  - d. "Description" = Enter CAP ID from note if applicable
  - e. "Note" = Enter notes
  - f. "Status" = Complete
  - g. Click "**Add Attachment**" and search for the copy of the signed License Certificate on the user's device. click **Upload**

- h. Click the **Lookup** button on the "Add Note Recipient" to add the *Licensing Specialist (Region QA Workstream Worker)* as the Note Recipient
- i. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

**Notes Details**

Division \* APD

Note By \* Baer, Sylvia

Note Date \* 09/08/2025

Associated Form ID#

Note Type \* Licensing Renewal/ROM Approval

Note Sub-Type

Description CAP ID 987 - Violations

Note

Status \* Complete

Date Completed 09/08/2025

**Attachments**

Add Attachment

**Attachments Grid**

| Document                            | Description |
|-------------------------------------|-------------|
| There are no attachments to display |             |

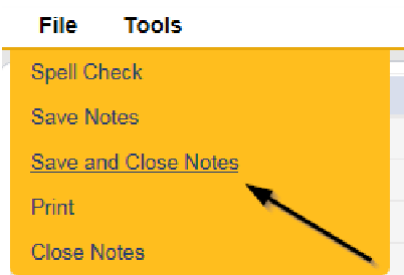
**Note Recipients**

Add Note Recipient:

**Note Recipients Grid**

| Name | Date Sent | Date Read |
|------|-----------|-----------|
|------|-----------|-----------|

6. When finished, click **File > Save and Close Notes**

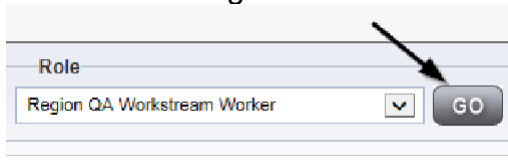


### Signed License Certificate Note



The Licensing Specialist (Region QA Workstream Worker) will receive notification of the ROM Approval note on My Dashboard. They will also receive the signed hard copy of the License Certificate from the ROM/Designee. They will then generate and print the Cover Letter and add a new note to advise the Service Provider and Agency Clerk.

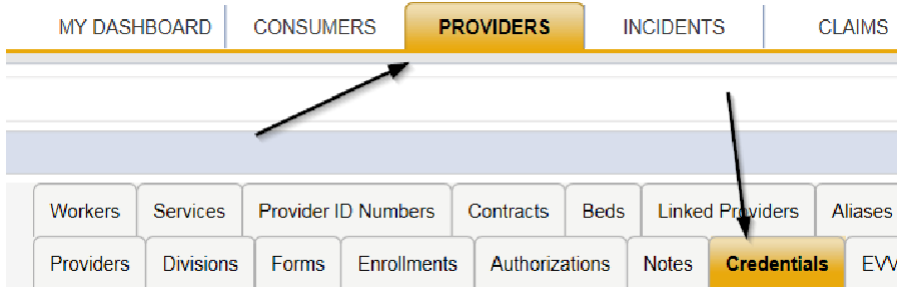
1. Set "Role" = Region QA Workstream Worker, then click **Go**.



2. Navigate to the **Providers** chapter and enter the Provider's Licensed Facility home name in the Quick Search filter and click **Go**.

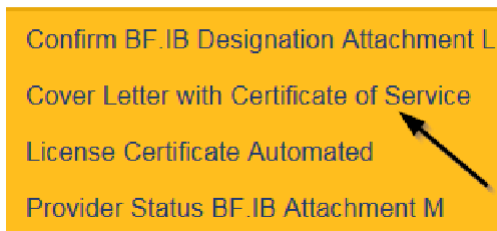


3. The Provider's record will display. Navigate to the **Providers > Credentials** tab



4. Select Word Merge > Cover Letter with Certificate of Service

#### **Word Merge**



5. When finished, click **File > Print** to print the updated Word Merge and then **File > Save, File > Close**

6. In APD iConnect, click **Upload and Save to Note** after saving the Word document

7. In the new Note record, update the following fields:
  - a. "Division" = APD
  - b. "Associated Form ID#" = Enter Form ID# if applicable
  - c. "Note Type" = Licensing Renewal

- d. "Note Subtype" = Signed License Certificate
- e. "Description" = Signed License Certificate
- f. "Note" = Enter notes
- g. "Status" = Complete
- h. Click **"Add Attachment"** and search for the copy of the signed License Certificate and the Cover Letter on the user's device. Click Upload
- i. Click the **Lookup** button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
- j. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note
- k. Click the **Lookup** button on the "Add Note Recipient" to add the *Agency Clerk* as the Note Recipient

**IMPORTANT:** *The signed license certificate and cover letter will need to be emailed to the Agency Clerk outside of iConnect at [apd.agencyclerk@apdcares.org](mailto:apd.agencyclerk@apdcares.org).*

- l. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

**Notes Details**

Division \* APD

Note By \* Reed, Monica

Note Date \* 09/20/2023

Associated Form ID#

Note Type \* Licensing Renewal

Note Sub-Type Signed License Certificate

Description Signed License Certificate

Note

Status \* Complete

Date Completed 09/20/2023

**Attachments**

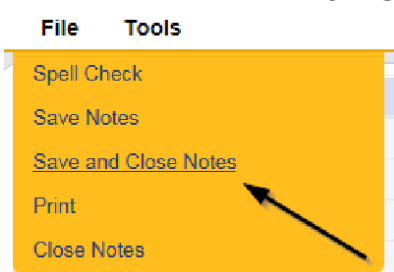
Add Attachment

| Document                            | Description |
|-------------------------------------|-------------|
| There are no attachments to display |             |

**Note Recipients**

Add Note Recipient:

## 8. When finished click **File > Save and Close Notes**





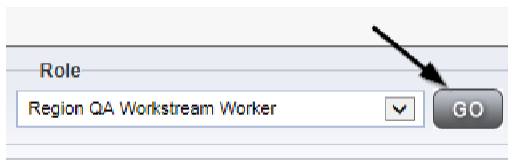
The Licensing Specialist (Region QA Workstream Worker) will then mail the hardcopy signed Original License Certificate along with the Cover Letter to the Service Provider.

### As Needed: Site Visit Violation Note

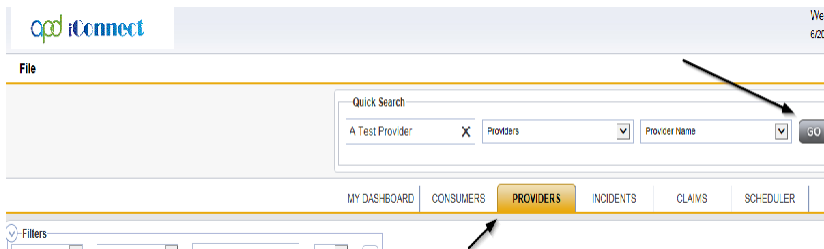


If during the site visit, deficiencies are identified, then the Licensing Specialist (Region QA Workstream Worker) will add a note and start the corrective action process.

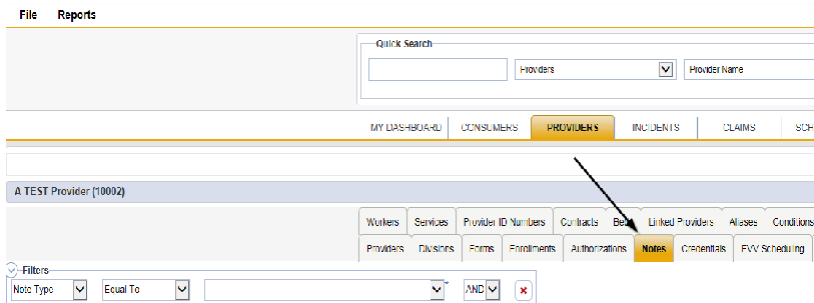
1. Set “Role” = Region QA Workstream Worker, then click **Go**.



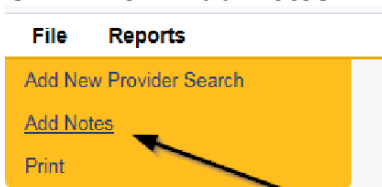
2. Navigate to the **Providers** chapter and enter the Provider’s Licensed Facility home name in the Quick Search filter and click **Go**.



3. The Provider’s record will display. Navigate to the **Providers > Notes** tab



4. Click **File > Add Notes**



5. In the new Note record, update the following fields:
  - a. "Division" = APD
  - b. "Associated Form ID#" = Enter Form ID# if applicable
  - c. "Note Type" = Licensing Renewal
  - d. "Note Subtype" = Site Visit Complete with issues or deficiencies
  - e. "Description" = Site Visit Complete with issues or deficiencies and CAP ID
  - f. "Note" = Enter that violations were observed (not specific as to which ones, just that there are violations), and an NNC will be issued
  - g. "Status" = Complete
  - h. Click the **Lookup** button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
  - i. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

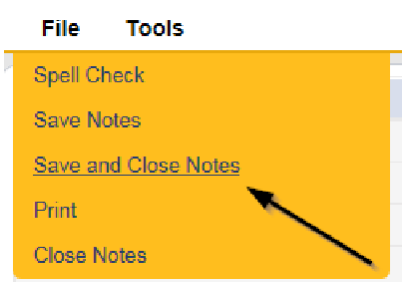
The screenshot shows a 'Notes Details' form with the following fields and values:

- Division \***: APD
- Note By \***: Reed, Monica
- Note Date \***: 09/20/2023
- Associated Form ID#**: (empty)
- Note Type \***: Licensing Renewal
- Note Sub-Type**: Site Visit Complete with issues or deficiencies
- Description**: Site Visit Complete with issues or deficiencies
- Note**: Enter that violations were observed and an NNC will be issued
- Status \***: Complete
- Date Completed**: 09/20/2023

The 'Attachments' section shows 'There are no attachments to display'.

The 'Note Recipients' section has an 'Add Note Recipient' field and 'Lookup' and 'Clear' buttons. An arrow points to the 'Lookup' button.

6. When finished, click **File > Save and Close Notes**

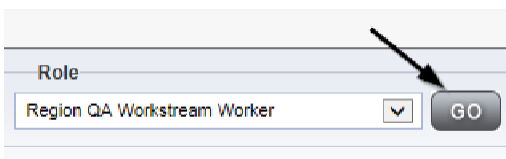


**As Needed: Add CAP for Violations**

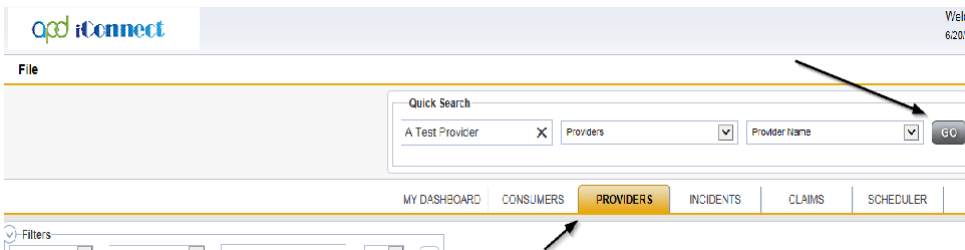


The site visit has been completed, and violations have been identified. The Licensing Specialist (Region QA Workstream Worker) will create a CAP record and notify the provider that there were violations via a Note.

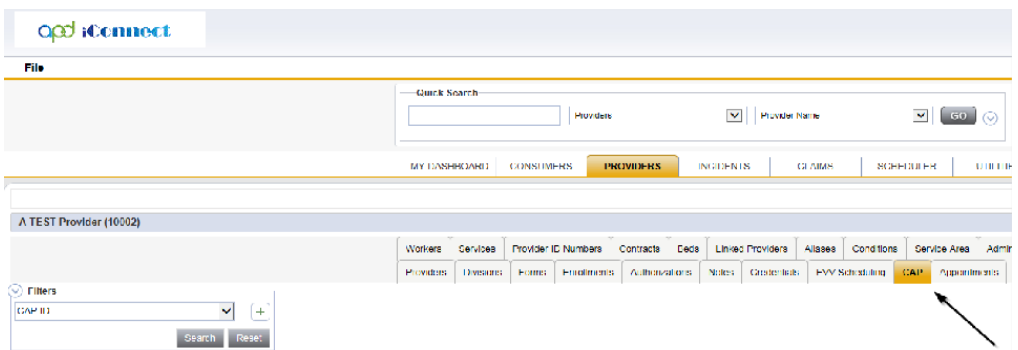
1. Set "Role" = Region QA Workstream Worker then click **Go**.



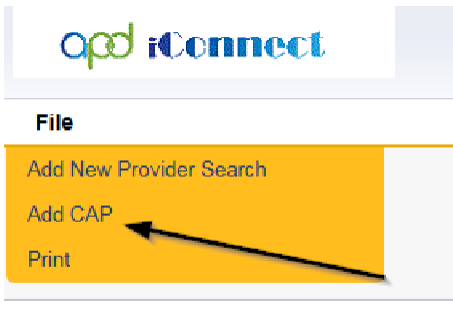
2. Navigate to the **Providers** chapter and enter the Provider's Licensed Facility home record name in the Quick Search filter and click **Go**.



3. The Provider's record will display. Navigate to the **Providers > CAP** tab



4. Select **File > Add CAP**



5. Update the following fields:

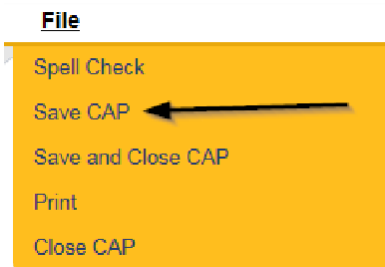
- a. "CAP Type" = Notice of Non – Compliance

*NOTE: The CAP Type selection will determine what fields are displayed on this screen*

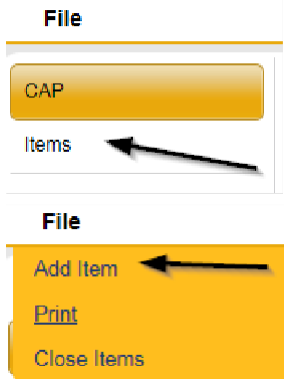
- b. "Date of CAP" = Enter Date
- c. "Associated Form ID#" = Enter Form ID# if applicable
- d. "Date Provider Notified" = Enter Date
- e. "CAP Due Date" = Enter Date as 15 calendar days after date provider notified
- f. "Status" = Defaults to Pending (leave as pending)
- g. "Comments" = Enter Comments
- h. "Date Submitted by Provider" = will not be complete when CAP initially created so leave blank
- i. "Date Verified Complete by APD Staff" = will not be complete when CAP initially created so leave blank
- j. "Licensing Worker" = Click the **Lookup** button to add the appropriate worker
- k. "QA Workstream Lead" = Click the **Lookup** button to add the appropriate worker

| CAP                                 |   |
|-------------------------------------|---|
| CAP ID                              | <input type="text"/>  |
| CAP Type                            | Notice of Non-Compliance ▾  |
| Date of CAP                         | 09/01/2023 <input type="text"/>   |
| Associated Form ID#                 | <input type="text"/>  |
| Date Provider Notified              | 09/01/2023 <input type="text"/>   |
| CAP Due Date                        | 09/30/2023 <input type="text"/>   |
| Status                              | Pending ▾   |
| Comments                            | <div style="border: 1px solid #ccc; padding: 5px;"><p><b>B</b> <i>I</i> <u>U</u> 16px ▾ <b>A</b> ▾</p><p>Enter Comments</p><br/><br/><br/><br/><br/><br/><br/><br/><br/><br/></div> |
| Date Submitted by Provider          | <input type="text"/>  |
| Date Verified Complete by APD Staff | <input type="text"/>  |
| Licensing Worker                    | Reed, Monica <input type="button" value="Lookup"/> <input type="button" value="Clear"/> <a href="#">Details</a>   |
| QA Workstream Lead                  | Buck, Jennifer <input type="button" value="Lookup"/> <input type="button" value="Clear"/> <a href="#">Details</a>   |

6. When finished, select **File > Save CAP**



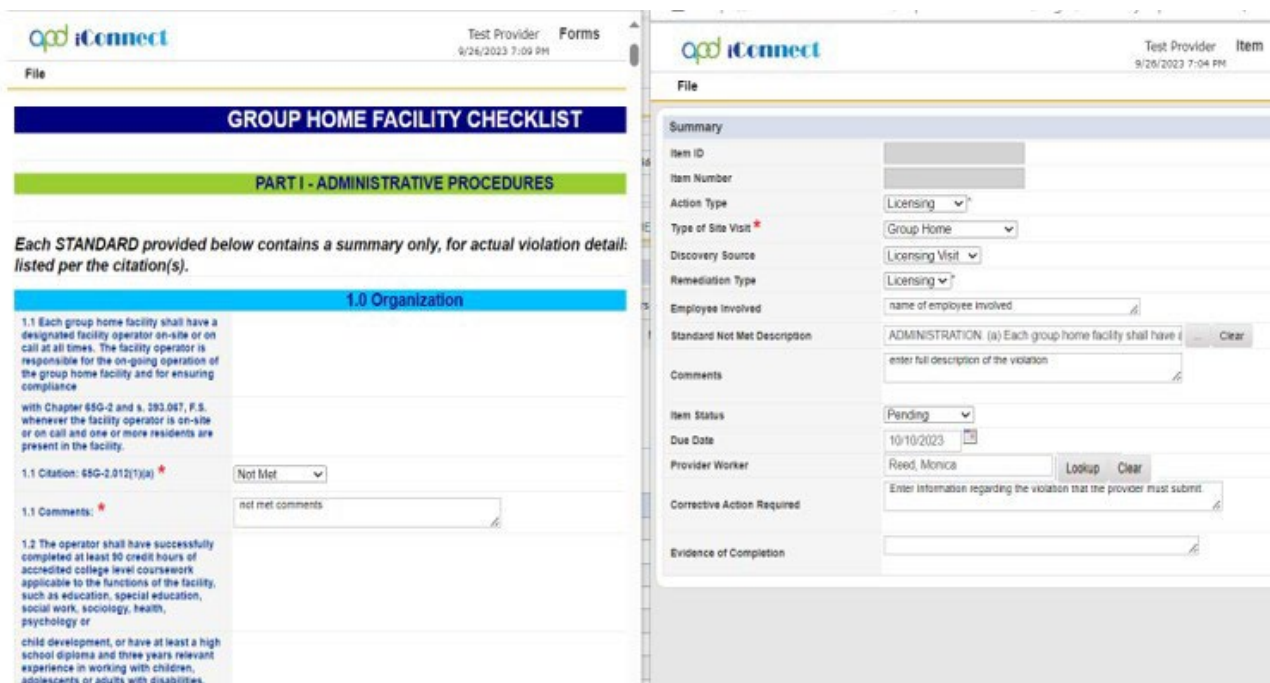
7. Click "Items" on the left-hand navigation menu and then **File > Add Item**



8. An item will be added for every not met standard on the Licensing Checklist



form. TIP: Open the Licensing Checklist form. Open the Item Details page. Keep both visible so you can reference the Licensing Checklist form when adding the item details.



9. Update the following fields:

- a. "Action Type" = Licensing
- b. "Type of Site Visit" = Select as appropriate
  - i. Foster Home
  - ii. Group Home
  - iii. Residential Habilitation
- c. "Discovery Source" = Licensing Visit
- d. "Remediation Type" = Licensing
- e. "Employee Involved" = Enter name if applicable
- f. "Standard Not Met Description" = Click the ellipsis to add the appropriate Standard Not Met – search by description with a few key words
- g. "Comments" = Enter the full description of the violation (i.e., Resident J.A. did not receive Seroquel as prescribed on 9/1/2019)
- h. "Item Status" = Defaults to Pending – leave as Pending
- i. "Due Date" = Enter the due date as 15 days from the date of issuance (date of issuance should match the date the provider was notified on the CAP detail screen)
- j. "Provider Worker" = Click the **Lookup** button to add the worker
- k. "Corrective Action Required" = Enter Information regarding the violation that the provider must submit. The Provider will then append with the information (e.g., Request copy of Medication Administration records)

The screenshot shows the iConnect system interface. At the top right, it says "Test Provider Item" and "9/26/2023 7:04 PM". Below that is a "File" menu. The main form is titled "Summary" and contains the following fields:

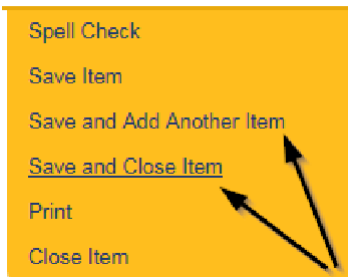
|                              |  |
|------------------------------|--|
| Item ID                      |  |
| Item Number                  |  |
| Action Type                  | Licensing  |
| Type of Site Visit *         | Group Home   |
| Discovery Source             | Licensing Visit  |
| Remediation Type             | Licensing  |
| Employee Involved            | name of employee involved  |
| Standard Not Met Description | Foreclosures and evictions. (a) Licensees must provide notifi... Clear   |
| Comments                     | enter full description of the violation                                  |
| Item Status                  | Pending  |
| Due Date                     | 10/10/2023   |
| Provider Worker              | Reed, Monica Lookup Clear Details  |
| Corrective Action Required   | Enter Information regarding the violation that the provider must submit. |
| Evidence of Completion       |  |



If additional items need to be added, then repeat steps 5 and 6 as necessary by selecting **File > Save and Add Another Item** for each new item.

10. When finished, select **File > Save and Close Item**

**File**

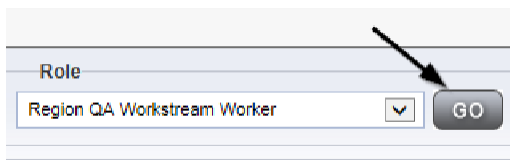


**As Needed: Supervisor Review**

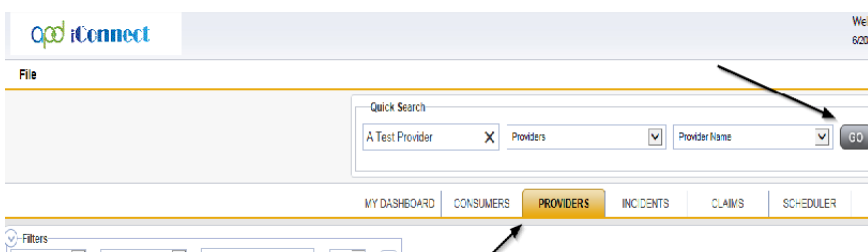


The Licensing Specialist (Region QA Workstream Worker) will send a note to the Licensing Supervisor to advise them to do a review of the checklists, CAP record, and any other documentation and provide approval prior to generating the NNC. If denied proceed to [Supervisor Denial](#).

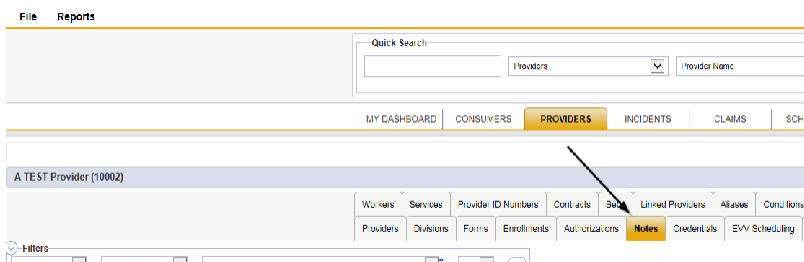
1. Set “Role” = Region QA Workstream Worker/Lead then click **Go**.



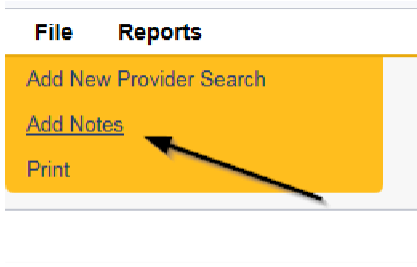
2. Navigate to the **Providers** chapter and enter the Provider’s Licensed Facility home name in the Quick Search filter and click **Go**.



3. The Provider’s record will display. Navigate to the **Providers > Notes** tab



4. Click **File > Add Notes**

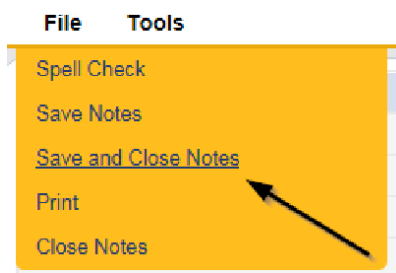


5. In the Note record, update the following fields:

- a. "Associated Form ID#" = Enter Form ID# if applicable
- b. "Note Type" = Licensing Renewal/Supervisor Review
- c. "Description" = CAP ID
- d. "Notes" = Enter notes
- e. "Status" = Pending
- f. Click **"Add Attachment"** and search for the copy of the NNC report on the user's device. click **Upload**
- g. Click the **Lookup** button on the "Add Note Recipient" to add the *Licensing Supervisor* as the Note Recipient
- h. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

A screenshot of a 'Notes Details' form. The form contains several fields: 'Division' (dropdown: APD), 'Note By' (dropdown: Baer, Sylvia), 'Note Date' (calendar: 09/08/2025), 'Associated Form ID#' (text input), 'Note Type' (dropdown: Licensing Renewal/Supervisor Review), 'Note Sub-Type' (dropdown), 'Description' (text input: CAP ID 987 - Violations), 'Note' (rich text editor), 'Status' (dropdown: Pending), and 'Date Completed' (text input). Below the form is an 'Attachments' section with an 'Add Attachment' link and an empty 'Attachments Grid' table. At the bottom is a 'Note Recipients' section with an 'Add Note Recipient' text input, a 'Lookup' button, and a 'Clear' button. A 'Note Recipients Grid' table is partially visible at the very bottom. Black arrows point to the 'Note Type', 'Description', 'Note', and 'Status' fields.

6. When finished, click **File > Save and Close Notes**



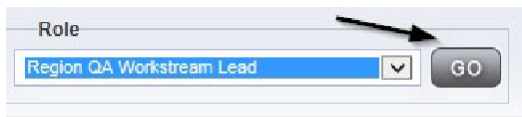
Proceed to [Supervisor Approval](#) and then to [Submit CAP](#) due to violations.

### As Needed: Supervisor Approval

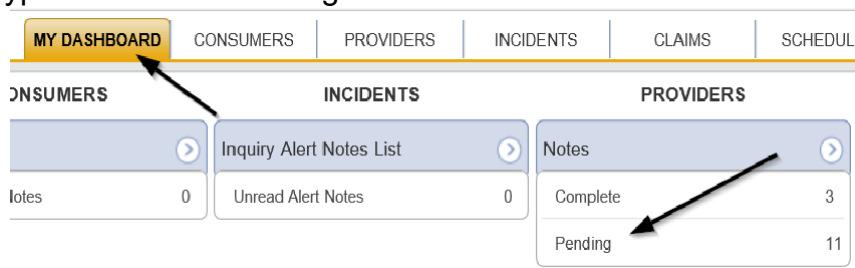


The Licensing Supervisor will receive notification on My Dashboard for the review. The Supervisor will need to review all checklists, notes, Corrective Action Plan, and Notice of Non-Compliance (if applicable). If the supervisor determines that more information is needed, proceed to [Further Documentation Required](#).

1. Set "Role" = Region QA Workstream Worker/Lead, then click **Go**.



2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.



3. Select the **Note Type = Licensing Renewal/Supervisor Review** and select the pending record via the hyperlink.

| Provider      | Note Type                           | Note Date  | Description                         | Author       | Status  |
|---------------|-------------------------------------|------------|-------------------------------------|--------------|---------|
| Test Provider | Licensing Renewal/Supervisor Review | 05/26/2023 | Licensing Renewal/Supervisor Review | Reed, Monica | Pending |

4. If this is a Supervisor Approval that does not require further documentation or further documentation was required and has been received, in the existing Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID# if applicable
  - b. "Note Type" = Update to Licensing Renewal/Supervisor Approval
  - c. "Note Subtype" =
    - i. If this is a Supervisor Approval and Further Documentation is NOT required, leave this field blank. If this is a Supervisor Approval that required Further Documentation, which has now been provided, leave as **Further Documentation Provided**

| Notes Details       |                                       |
|---------------------|---------------------------------------|
| Division *          | APD                                   |
| Note By *           | Buck, Jennifer                        |
| Note Date *         | 09/26/2023                            |
| Associated Form ID# |                                       |
| Note Type *         | Licensing Renewal/Supervisor Approval |
| Note Sub-Type       | Further Documentation Provided        |

- d. "Description" = No updates
- e. "Note" = Enter Notes
- f. "Status" = Update to Complete
- g. Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Specialist \(Region QA Workstream Worker\)](#) as the Note Recipient
- h. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.
- i. Click the **Lookup** button on the "Add Note Recipient" to add the [ROM](#) as the Note Recipient
- j. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note



If this review required further documentation and the Licensing Specialist did not change the Note Subtype to Further Documentation Provided before sending it back to the Supervisor, the Supervisor will need to do it before the Licensing Renewal/Supervisor Approval Note Type will be visible.

**Notes Details**

Division \*

Note By \*

Note Date \*

Associated Form ID#

Note Type \*

Note Sub-Type

Description

Note

New Text

**B** *I* U 16px **A**

Append Text to Note

Status \*

Date Completed

**Attachments**

[Add Attachment](#)

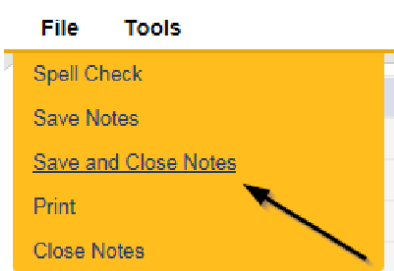
**Attachments Grid**

| Document                            | Description | Category |
|-------------------------------------|-------------|----------|
| There are no attachments to display |             |          |

**Note Recipients**

Add Note Recipient:

5. When finished, click **File > Save and Close Notes**



## As Needed: Generate NNC



If there are violations, and after Supervisor Approval, the Licensing Specialist (Region QA Workstream Worker) will generate the Notice of Non-Compliance report.

If a PAARF is needed, then proceed to Chapter 13 for the PAARF process.

1. Set "Role" = Region QA Workstream Worker/Lead, then click **Go**.

Role  
Region QA Workstream Worker [v] GO

2. Navigate to the **Providers > CAP** tab

File  
Quick Search  
Providers [v] Provider Name [v] GO  
MY DASHBOARD CONSUMERS PROVIDERS INCIDENTS CLINICS SCHEDULER UTILITIES  
A H I S I Provider (10000)  
Workers Services Provider ID Numbers Contracts Beds Linked Providers Aliases Conditions Service Area Admin  
Providers Divisions Forms Enrollments Authorizations Notes Certificates EVV Scheduling CAP Appointments  
Filters  
CAP ID [v] +  
Search Reset

3. Select the previously created new **CAP** record via the hyperlink for that record

Test Provider (21347)  
Workers Services Provider ID Numbers Contracts Beds Linked Providers Conditions Service Area Admin Actions  
Providers Divisions EVV Activities Forms Enrollments Authorizations Notes Credentials EVV Scheduling CAP  
Filters  
CAP ID [v] +  
Search Reset  
9 Providers CAP record(s) returned - now viewing 1 through 9

| CAP ID | QIO Report Number | CAP Type                 | Date Provider Notified | CAP Due Date | Status  | Number of Alerts | Number of Items | Licensing Worker | QA Workstream Worker |
|--------|-------------------|--------------------------|------------------------|--------------|---------|------------------|-----------------|------------------|----------------------|
| 122    |                   | Notice of Non-Compliance | 09/01/2023             | 09/30/2023   | Pending |                  | 1               | Read, Monica     |                      |

4. Select **Reports > NNC** from the CAP Details page

File Reports  
CAP NNC  
Items  
Open NNC  
CAP ID 122  
CAP Type Notice of Non-Compliance [v]

- The NNC Report screen will display. Enter the CAP ID and click **View Report**

**State of Florida**

**Agency for Persons with Disabilities**

| <b>NOTICE OF NONCOMPLIANCE</b>                                |                     |              |  |                            |
|---|---------------------|--------------|--|----------------------------|
| Issued To (Name of Licensee):<br>TRINABRIDGE HOUSE GROUP HOME |                     |              | License Number:<br>5137-4-001                  |                            |
| Address:<br>648 VILLAGEWAY AVE S                              |                     |              | Facility Name:<br>TRINABRIDGE HOUSE GROUP HOME |                            |
| City:<br>ST PETERSBURG  | County:<br>PINELLAS | State:<br>FL | Zip:<br>33707                                  | Telephone:<br>813-884-4474 |
| APD Representative:   |                     |              | Title:   |                            |

Sections 120.695, Florida Statutes allow for certain minor offenses to be addressed by the issuance of a Notice of Noncompliance and the requirement of corrective action without penalty.

**VIOLATION**

It appears that on 07/10/2023, you were in violation of the following statute(s) or rule(s):

Item ID#109: 2.0032(3) Licensees and facility employees must permit any Agency staff or designated agent of the State of Florida, who presents proper State of Florida-issued identification, to enter and inspect any part of any facility building or to inspect records relating to the operation of the facility or the provision of client care at any time that facility staff, management, owners, directors, or residents are present in the facility. A violation of this subsection shall constitute a Class II violation.

Comments: test

- Save the NNC Report to the device so it can be attached to the Supervisor Review note in the next section.

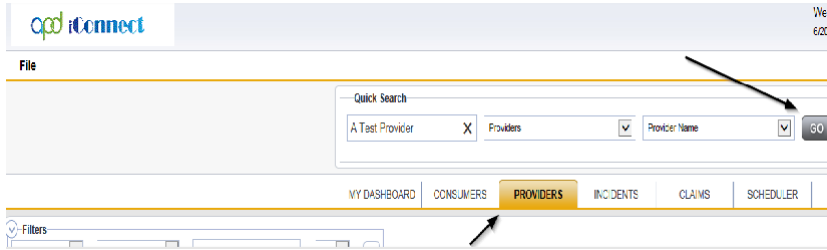
**As Needed: Service Provider NNC Notification**



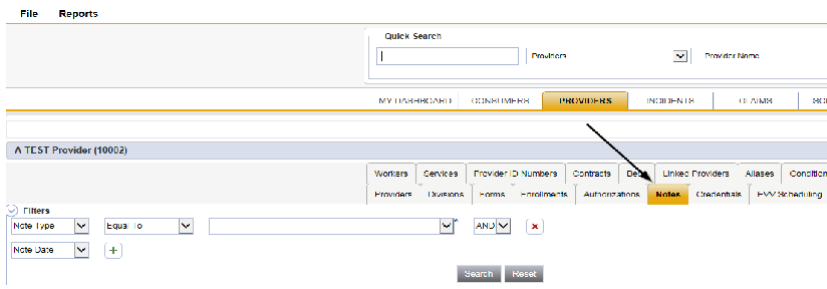
The Licensing Specialist (Region QA Workstream Worker) will get notified of the completed Supervisor Approval note via My Dashboard. The Licensing Specialist (Region QA Workstream Worker) will then add a new note advising the Service Provider of their approval.

- Set "Role" = Region QA Workstream Worker, then click **Go**.

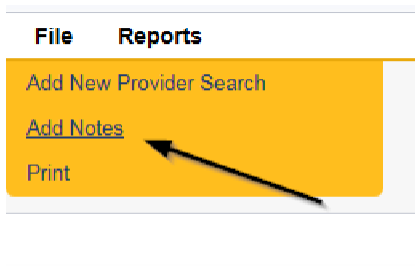
- Navigate to the **Providers** chapter and enter the Provider's Licensed Facility home name in the Quick Search filter and click **Go**.



- The Provider's record will display. Navigate to the **Providers > Notes** tab



- Click **File > Add Notes**



- In the new Note record, update the following fields:
  - "Division" = APD
  - "Associated Form ID#" = Enter Form ID# if applicable
  - "Note Type" = Licensing Renewal
  - "Note Subtype" = NNC Notification
  - "Description" = NNC Notification – CAP ID
  - "Note" = Enter notes
  - "Status" = Complete
  - "Attachment" = attach the NNC
  - Click the **Lookup** button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient
  - Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

**Notes Details**

Division \* APD

Note By \* Reed, Monica

Note Date \* 09/21/2023

Associated Form ID#

Note Type \* Licensing Renewal

Note Sub-Type \* NNC Notification

Description \* NNC Notification CAP ID 789

Note

Status \* Complete

Date Completed 09/21/2023

**Attachments**

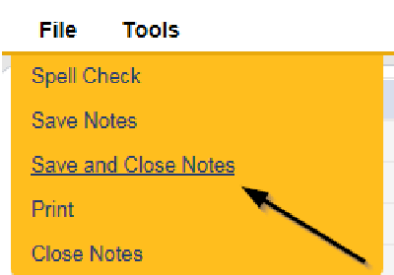
Add Attachment

| Document                            | Description |
|-------------------------------------|-------------|
| There are no attachments to display |             |

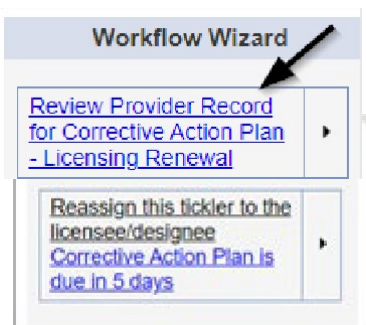
**Note Recipients**

Add Note Recipient:

6. When finished click **File > Save and Close Notes**



7. Upon saving the note, a Workflow Wizard triggered the two reminder ticklers



- Tickler - "Reassign this tickler to the licensee/designee." Corrective Action Plan is due in 5 days."
- Reassign the tickler to the provider.

- i. Click the tickler flyout menu and select Reassign. Search for and select the licensee/designee. The tickler has been reassigned, and the licensee/designee will retrieve if from My Dashboard > Ticklers
- c. Tickler – “Review Provider Record for Corrective Action Plan – Licensing Renewal.”
- d. Assigned to the Licensing Specialist (Monitor 3)
- e. Due on the **15th** calendar day from the “Licensing Renewal/NNC Notification” Complete note

## As Needed: Update CAP Items



The Service Provider will receive the NNC Notification note on My Dashboard. They will then update the CAP item(s) by describing the action taken to correct the identified site visit violations by updating the CAP item record.

1. Set “Role” = Service Provider then click **Go**

2. Navigate to the **Providers > CAP** tab

3. Select the previously created new **CAP** record via the hyperlink for that record

| CAP ID | QIO Report Number | Date Provider Notified | Status  | Number of Alerts | Number of Items | Licensing Worker   |
|--------|-------------------|------------------------|---------|------------------|-----------------|--------------------|
| 71     |                   | 07/09/2018             | Pending |                  | 1               | Richardson, Regina |

4. Click “Items” on the left-hand navigation menu and then select the appropriate line item via the hyperlink for that record

| Item Number | QIO Category | Remediation Type | Standard Not Met | Item Status | Due Date   | Complete Date | Worker | Action Type | Corrective Action Required                                    |
|-------------|--------------|------------------|------------------|-------------|------------|---------------|--------|-------------|---|
|             |              | Licensing        | 53               | Pending     | 07/21/2018 |               |        | Licensing   | Need up to date background screening for employee Monica Reed |

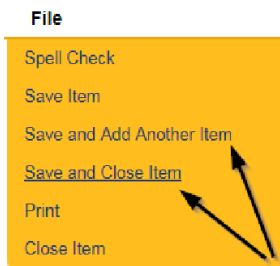
5. Update the following fields:

- a. "Corrective Action Required" = The Provider will describe the action taken to correct this violation, and click "**Append Text to Note**" to add the information

The screenshot shows a CAP item form with the following fields and values:

- Action Type: Licensing
- Discovery Source: Licensing Visit
- Remediation Type: Licensing
- Employee Involved: Monica Reed
- Standard Not Met: 53 The provider maintains written policies and procedures detailing how the provider will ensure compliance with background screening and five-year rescreening.
- Standard Not Met Description: (Empty)
- Comments: (Empty)
- Item Status: Pending
- Due Date: 07/31/2018
- Complete Date: (Empty)
- Worker: (Empty) with Lookup and Clear buttons
- Corrective Action Required: (Empty text area) with an "Append Text to Note" button below it.

6. When finished with that item, select **File > Save and Close Item**



If additional CAP items need to be updated, then repeat steps 6 and 7 as necessary after selecting the next item.

7. When finished with all items, click **File > Close Items**



## As Needed: CAP Submit Note



The Service Provider will add a new note to advise the Licensing Specialist (Region QA Workstream Worker) that the CAP is ready for submission and review.

1. Set "Role" = Service Provider then click **Go**

A screenshot of a web form showing a dropdown menu labeled "Role" with "Service Provider" selected. A black arrow points to the dropdown arrow. To the right of the dropdown is a grey button labeled "GO".

2. Navigate to the **Providers > Notes** tab

A screenshot of a web application interface. The top navigation bar includes "File" and "Reports". Below it is a search bar with "Check Search" and a dropdown menu set to "Providers". The main navigation bar has tabs for "MY DASH BOARD", "CONSUMERS", "PROVIDERS", "INCIDENTS", "CLAIMS", and "SOCIAL". The "PROVIDERS" tab is active. Below the tabs is a sub-navigation bar with options: "Workers", "Services", "Provider ID Numbers", "Contacts", "BOA", "Linked Providers", "Aliases", and "Certificates". The "Notes" option is highlighted in yellow. Below this is a filter section with "Filters" and various dropdown menus. At the bottom are "Search" and "Reset" buttons.

3. Click **File > Add Notes**

A screenshot of a web application interface showing a dropdown menu. The menu is open, displaying three options: "Add New Provider Search", "Add Notes", and "Print". A black arrow points to the "Add Notes" option.

4. In the new Note record, update the following fields:
  - a. "Division" = APD
  - b. "Note Type" = Licensing Renewal
  - c. "Note Subtype" = CAP Submitted
  - d. "Description" = CAP Submitted – CAP ID
  - e. "Note" = Enter notes
  - f. "Status" = Pending
  - g. Click **Add Attachment** and search for the copy of supporting documents on the user's device. click **Upload**
  - h. Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Specialist \(Region QA Workstream Worker\)](#) as the Note Recipient

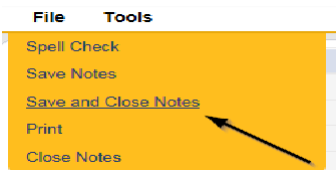
- i. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

The screenshot shows a 'Notes Details' form with the following fields and values:

- Division: APD
- Note By: Reed, Monica
- Note Date: 09/21/2023
- Note Type: Licensing Renewal
- Note Sub-Type: CAP Submitted
- Description: CAP Submitted CAP ID 785
- Note: (Empty text area)
- Status: Pending
- Date Completed: (Empty)
- Attachments: Add Attachment
- Document: (Table with no data)
- Note Recipients: Add Note Recipient (with a search box and 'Lookup'/'Clear' buttons)

Arrows in the image point to the following fields: Note Date, Note Type, Note Sub-Type, Description, Note, Status, Attachments, and the search box in the Note Recipients section.

5. When finished, click **File > Save and Close Notes**



### As Needed: CAP Accepted



The Licensing Specialist (Region QA Workstream Worker) will receive notification of the CAP Submitted or Revised note on My Dashboard. The Licensing Specialist (Region QA Workstream Worker) will review the CAP Items and all documentation to determine if the CAP is accepted. If all items are complete, then proceed; otherwise, proceed to [CAP Rejected Note](#) or [Licensing Supervisor Denial](#).

1. Set "Role" = Region QA Workstream Worker, then click **Go**.

2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.

| Notes    |    |
|----------|----|
| Complete | 59 |
| Draft    | 1  |
| Pending  | 29 |

3. Select the Note Type = Licensing Renewal and Note Subtype = CAP Submitted and select the pending record via the hyperlink.

| Provider      | Note type         | Note Date  | Description   | Author       | Status  |                          |
|---------------|-------------------|------------|---------------|--------------|---------|--------------------------|
| Test Provider | Licensing Renewal | 09/21/2023 | CAP Submitted | Reed, Monica | Pending | <input type="checkbox"/> |

4. In the existing Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID# if applicable
  - b. "Note Type" = Leave as Licensing Renewal
  - c. "Note Subtype" = Update to CAP Accepted
  - d. "Description" = Update to CAP Accepted – CAP ID
  - e. "Note" = Enter Notes
  - f. "Status" = Update to Complete
  - g. Click the **Lookup** button on the "Add Note Recipient" to add the **Service Provider** as the Note Recipient
  - h. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.

**Notes Details**

Division **APD**

Note By **Reed, Monica**

Note Date **09/21/2023**

Associated Form ID#

Note Type **Licensing Renewal**

Note Sub-Type **CAP Accepted**

Description **CAP Accepted CAP ID 789**

Note

New Text

Append Text to Note

Status **Complete**

Date Completed **09/21/2023**

**Attachments**

Add Attachment

Document Description

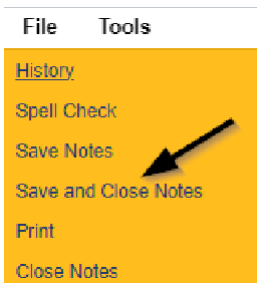
There are no attachments to display

**Note Recipients**

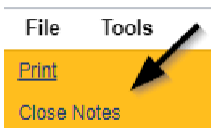
Add Note Recipient

Lookup Clear

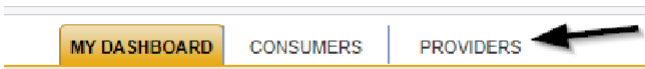
5. Click **File > Save and Close Notes**



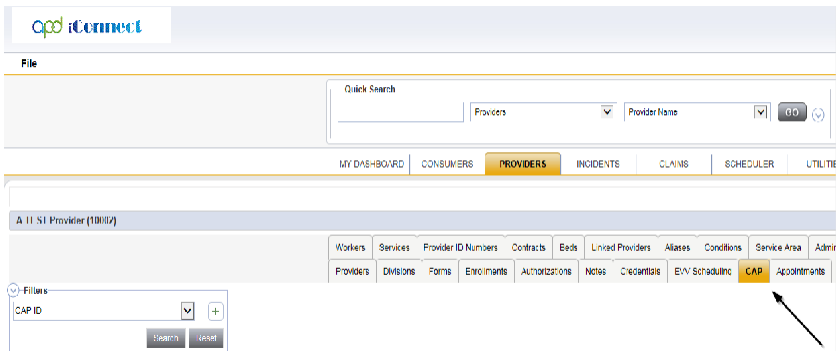
6. Click **File > Close Notes**



7. Navigate to the Provider's Chapter



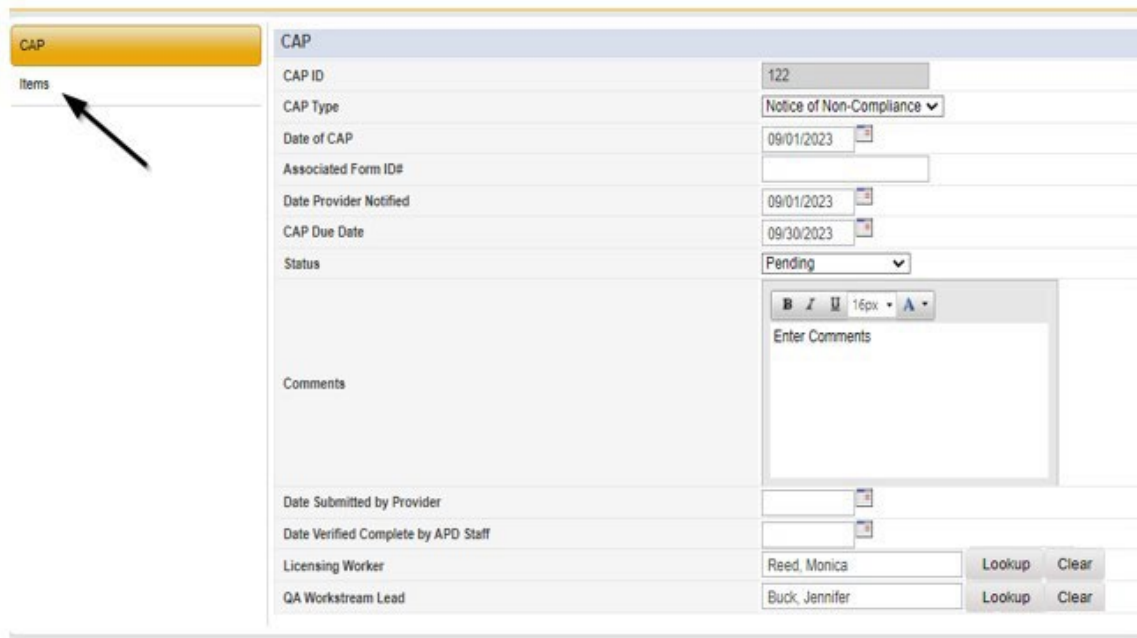
8. The Provider's record will display. Navigate to the **Providers > CAP** tab



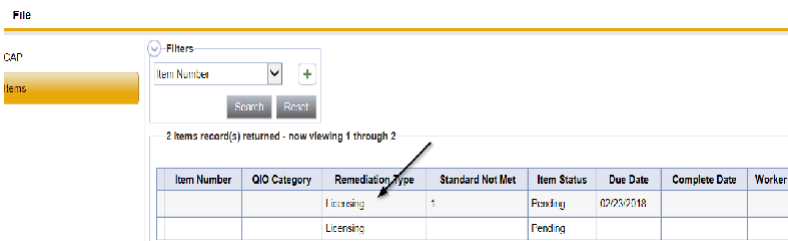
9. Select the appropriate CAP record via the hyperlink

| CAP ID | QIO Report Number | Date Provider Notified | Status  | Number of Alerts | Number of Items | Licensing Worker   |
|--------|-------------------|------------------------|---------|------------------|-----------------|--------------------|
| 71     |                   | 07/09/2018             | Pending |                  | 1               | Richardson, Regina |

10. Click the Items link on the left-hand navigation menu



11. Select an individual Item via the hyperlink in the list view grid that has not been completed



12. In the Item record, update the following fields:

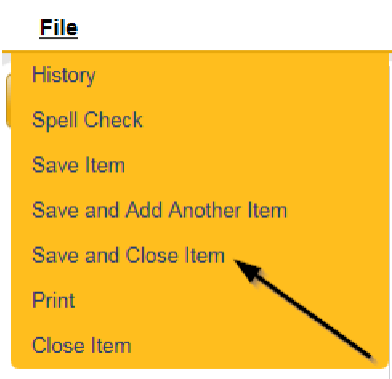
- "Complete Date" = Enter Date

- b. "Item Status" = Complete
- c. "Evidence of Completion" = Enter what was received, reviewed, and accepted to mark the item complete



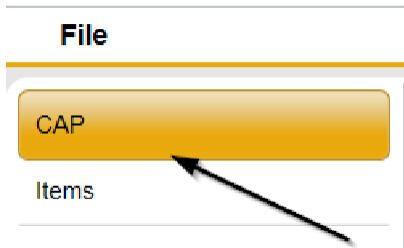
Repeat steps 11 – 12 for each item that needs to be completed in the CAP record.

13. When finished, click **File > Save and Close Item**



*If ALL items are complete for the CAP record, then proceed to close the CAP record. NOTE: CAP record must remain in a Pending status until all items are completed or rejected.*

14. Click **CAP** on the left-hand navigation menu



15. On the CAP details screen, complete the following fields:

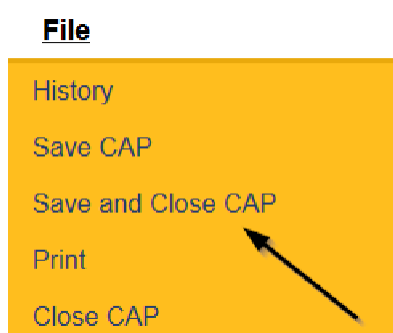
- a. "Status" = Complete
- b. "Date Submitted by Provider" = Enter Date
- c. "Date Verified Completed by APD Staff" = Enter Date

The image shows a CAP details form with the following fields and values:

|                                     |                          |
|-------------------------------------|--------------------------|
| CAP ID                              | 122                      |
| CAP Type                            | Notice of Non-Compliance |
| Date of CAP                         | 09/01/2023               |
| Associated Form ID#                 | 491                      |
| Date Provider Notified              | 09/01/2023               |
| CAP Due Date                        | 09/30/2023               |
| Status                              | Complete                 |
| Comments                            | Enter Comments           |
| Date Submitted by Provider          | 09/15/2023               |
| Date Verified Complete by APD Staff | 09/15/2023               |
| Licensing Worker                    | Reed, Monica             |
| QA Workstream Lead                  | Buck, Jennifer           |

Arrows point to the Status, Date Submitted by Provider, and Date Verified Complete by APD Staff fields.

16. When finished, Select **File > Save and Close CAP**



Proceed to [Supervisor Review](#)

## As Needed: Further Documentation Required



If further documentation is required, the Licensing Supervisor or ROM will update the existing Licensing Renewal/Supervisor Review note to the Licensing Specialist (Region QA Workstream Worker).

1. Set "Role" = Region QA Workstream Worker/Lead or ROM, then click **Go**.

A screenshot of a web form showing a dropdown menu for "Role". The selected option is "Region QA Workstream Lead". An arrow points to the dropdown arrow. To the right of the dropdown is a "GO" button.

2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.

3. Select the **Note Type = Licensing Renewal/Supervisor Review** and select the pending record via the hyperlink.

A screenshot of a search interface. The filters section shows "Status" set to "Equal To" and "Pending", and "Note Type" set to "+". Below the filters, a table displays search results. An arrow points to the "Note Type" column in the table.

| Provider      | Note Type                           | Note Date  | Description                         | Author       | Status  |
|---------------|-------------------------------------|------------|-------------------------------------|--------------|---------|
| Test Provider | Licensing Renewal/Supervisor Review | 03/21/2023 | Licensing Renewal/Supervisor Review | Reed, Monica | Pending |

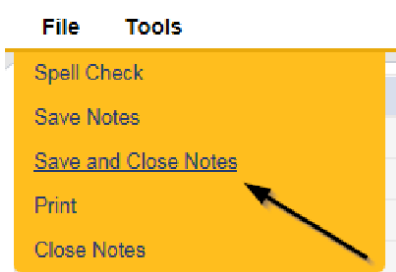
4. In the existing Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID# if applicable
  - b. "Note Subtype" = Update to Further Documentation Required
  - c. "Description" = Update to Further Documentation Required – CAP ID
  - d. "Note" = Enter Notes for what information is needed
  - e. "Status" = Complete
  - f. Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Specialist \(Region QA Workstream Worker\)](#) as the Note Recipient
  - g. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.

The screenshot shows a 'Notes Details' form with the following fields and values:

- Division: APD
- Note By: Reed, Monica
- Note Date: 09/29/2023
- Associated Form ID#: 352
- Note Type: Licensing Renewal/Supervisor Review
- Note Sub-Type: Further Documentation Required
- Description: Further Documentation Required CAP ID 122
- Status: Complete
- Date Completed: 09/29/2023

Arrows point to the following fields: Associated Form ID#, Note Type, Note Sub-Type, Description, Status, and the New Text editor.

5. When finished, click **File > Save and Close Notes**



6. Upon saving the Further Documentation Required note, a tickler will fire.
- Tickler – “Review to see if the applicant has sent the additional information requested; if not, send out the 30-Day Notice.”
  - Assigned to Self
  - It’s due in 30 days
  - It can be cancelled if needed.

## As Needed: 30 Day Notice



If a note was sent with either “Errors and Omissions” or “Further Documentation Required” a tickler was generated to the licensing specialist that created the note. The tickler will remind the licensing specialist to reach out to the applicant if the applicant has not responded or provided the needed documentation requested.

If the applicant has not sent the needed documentation, the licensing specialist will update the note as follows:

1. Set “Role” = to Region QA Workstream Worker, then click **GO**

Role  
Region QA Workstream Worker [v] GO

2. Navigate to the Provider Child (facility) record and click on the **Notes** tab

File Reports

Quick Search

Providers [v] Provider Name

MY DASH ICARD CONSUMERS **PROVIDERS** INCIDENTS CLAIMS SOCIAL

A TEST Provider (10002)

Workers Services Provider ID Numbers Contracts Bids Linked Providers Aliases Conditions

Providers Divisions Forms Enrollments Authorizations **Notes** Credentials DVM Scheduling

Filters

Note Type [v] Equal To [v]

Note Date [v] +

Search Reset

3. Select the **Note Type = Licensing Renewal** and **Note Subtype= Errors and Omissions or Further Documentation Required**.

MY DASHBOARD CONSUMERS **PROVIDERS** CASES

Workers Services Provider ID Numbers Contracts Bids Linked Providers Conditions Service An

Providers Divisions CAP EVV Scheduling Forms Enrollments Authorizations **Notes** Credential

Filters

Note Date [v] +

Search Reset

38 Providers Notes record(s) returned - now viewing 1 through 16

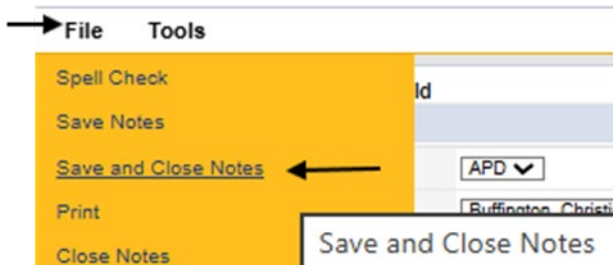
| Note Date  | Note Type         | Note Sub-Type    | Description      | Status  |
|------------|-------------------|------------------|------------------|---------|
| 01/15/2025 | Licensing Renewal | Errors/Omissions | Errors/Omissions | Pending |

4. In the Note record, update the following fields
  - a. "Note Subtype" = update to 30 Day Notice
  - b. "Description" = update to 30 Day Notice
  - c. "Note" = enter notes as needed and click **Append Text to Note**.
  - d. "Status" = leave as Pending
  - e. Click the **Lookup** button on the "Add Note Recipient" to add the [Service Provider](#) as the Note Recipient.
  - f. Enter the last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.

The screenshot shows a web-based form for editing a note. At the top, there are several dropdown menus: 'Note Type' is set to 'Licensing Renewal', 'Note Sub-Type' is set to '30 Day Notice', and 'Status' is set to 'Pending'. The 'Description' field contains '30 Day Notice'. Below this is a 'Note' field with a rich text editor containing the text '60 Day Notice'. To the right of the note field is a 'New Text' box with a rich text editor and an 'Append Text to Note' button. Below the form are sections for 'Attachments' and 'Note Recipients'. The 'Note Recipients' section has a 'Lookup' button highlighted with an arrow.

**NOTE:** If the applicant did not mark the Note as Read, the applicant will not be able to be added as a Note Recipient again. The Note will remain on their My Dashboard.

#### 5. File > Save and Close



6. When the Licensing Renewal /30 Day Notice note was saved, a Workflow Wizard was triggered to remind the QA Workstream Worker to verify if the needed information was received.
  - a. Tickler – “Review to see if the applicant has sent the additional information requested, if not send out the 60 Day Notice.”
  - b. Assigned to **Self**
  - c. Due on the **30<sup>th</sup>** calendar day from the “Licensing Renewal/30 Day Notice” pending note
  - d. It can be cancelled and reassigned if needed.



If the applicant responded to the note, proceed to [Complete Application](#)

### As Needed: 60 Day Notice

If a note was sent with a note subtype of “30 Day Notice,” a tickler was generated for the licensing specialist who created the note. The tickler will remind the licensing specialist to reach out to the applicant if the applicant has not responded or provided the needed documentation requested.



If the applicant has not sent the documentation needed, the licensing specialist will update the note as follows:

1. Set “Role” = to Region QA Workstream Worker, then click **Go**.

2. Navigate to the Provider Child (facility) record and click on the **Notes** tab

3. Select the **Note Type =Licensing Renewal** and **Note Subtype = “30 Day Notice”**

| Note Date  | Note Type         | Note Sub-Type | Description   | Status  | Date Completed |
|------------|-------------------|---------------|---------------|---------|----------------|
| 01/15/2026 | Licensing Renewal | 30 Day Notice | 30 Day Notice | Pending |                |

4. In the Note record, update the following fields:
  - a. "Note Subtype" = update to 60 Day Notice
  - b. "Description" = update to 60 Day Notice
  - c. "Note" = enter notes as needed and click **Append Text to Note**.
  - d. "Status" = leave as Pending
  - e. Click the **Lookup** button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient.
  - f. Enter the last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.

Note Sub-Type: 60 Day Notice

Description: 60 Day Notice

Note: On 1/12/2026 at 4:16 PM, Christine Buffington wrote: Additional Notes will go here.

New Text: Updated from 30 day notice to 60 day notice

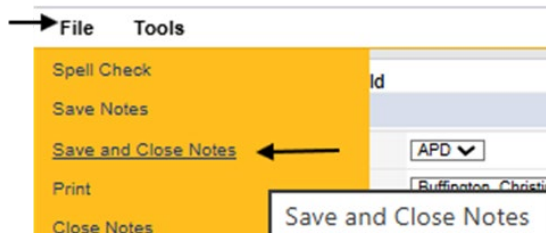
Append Text to Note

Status: Pending

| Name                | Date Sent  | Date Read | Status | Date Signed |
|---------------------|------------|-----------|--------|-------------|
| Provider, Christine | 01/09/2026 |           | Unread |             |

**NOTE:** If the applicant did not mark the Note as Read, the applicant will not be able to be added as a Note Recipient again. The Note will remain on their My Dashboard

5. **File > Save and Close**



6. When the Licensing Renewal/60 Day Notice note was saved, a Workflow Wizard was triggered to remind the QA Workstream Worker to verify if the information needed was received.
  - a. Tickler – “Review to see if the applicant has sent the additional information requested, if not send out the 90 Day Notice.”
  - b. Assigned to **Self**
  - c. Due on the **30<sup>th</sup>** calendar day from the “Licensing Renewal/60 Day Notice” pending note
  - d. It can be cancelled and reassigned if needed.



If the applicant responded to the note, proceed to [Complete Application](#)

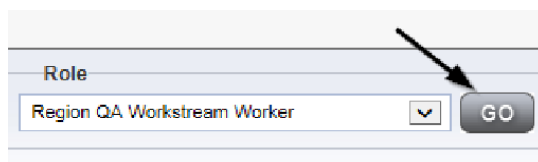
### As Needed: 90 Day Notice



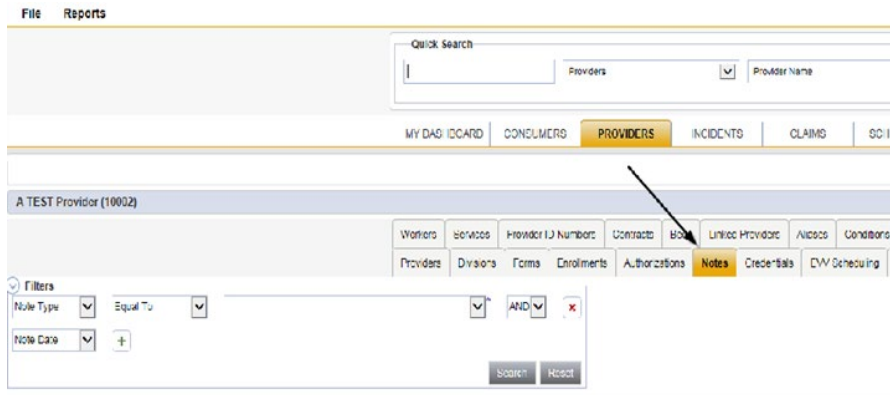
If a note was sent with a note subtype of “60 Day Notice” a tickler was generated to the licensing specialist that created the note. The tickler will remind the licensing specialist to reach out to the applicant if the applicant has not responded or provided the needed documentation requested.

If the applicant has not sent the documentation needed, the licensing specialist will update the note as follows:

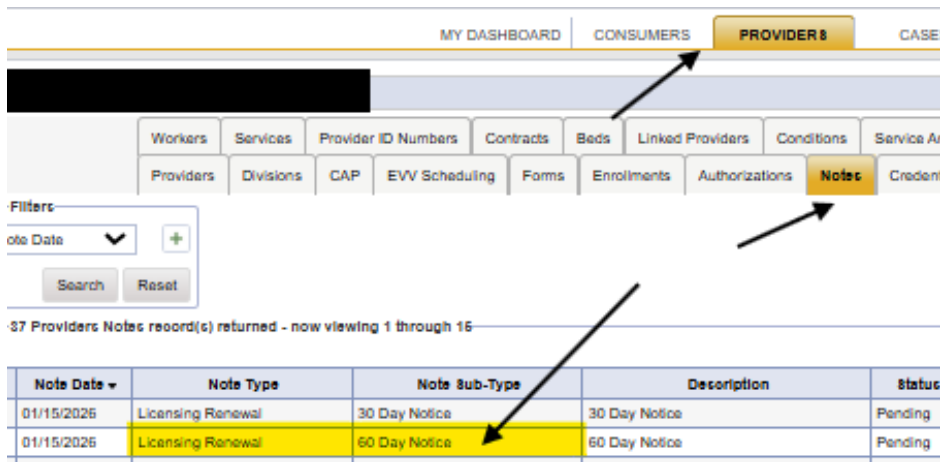
1. Set “Role” = QA Workstream Worker/Lead



2. Navigate to the Provider Child (facility) record and click on the **Notes** tab



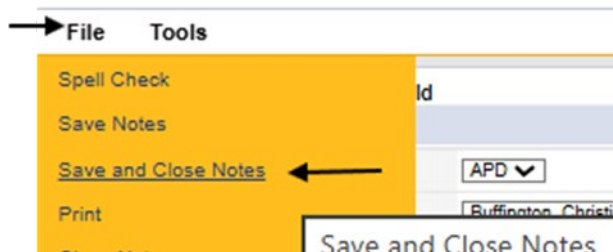
3. Select the **Note Type =Licensing Renewal** and **Note Subtype = “60 Day Notice”**



4. In the Note record, update the following fields:
- "Note Subtype" = 90 Day Notice
  - "Description" = 90 Day Notice
  - "Note" = enter notes and click **Append Text to Note**
  - "Status" = Pending
  - Click the **Lookup** button on the "Add Note Recipient" to add the [Service Provider](#) as the Note Recipient.
  - Enter the last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.

**NOTE:** If the applicant did not mark the Note as Read, the applicant will not be able to be added as a Note Recipient again. The Note will remain on their My Dashboard

5. **File > Save and Close**



6. When the Licensing Renewal/90 Day Notice note was saved, a Workflow Wizard was triggered to remind the QA Workstream Worker to verify if the needed information was received.
  - a. Tickler – “Review to see if the applicant has sent the additional information requested, if not update based upon the iConnect Training Manual.”

- b. Assigned to **Self**
- c. Due on the **30<sup>th</sup>** calendar day from the “Initial Application/90 Day Notice” pending note
- d. Can be cancelled and reassigned if needed.



If the applicant responded to the note, proceed to [Complete Application](#)

### As Needed: 90 Day Final Notice



If the licensing specialist sends the 90 Day Notice note and the applicant responds for the first time; however, all the needed documentation was not received, the licensing specialist will send out a 90 Day Final Notice stating ALL documentation is needed.

1. Set “Role” = QA Workstream Worker/Lead

2. Navigate to the Provider Child (facility) record and click on the **Notes** tab

3. Select the **Note Type = Licensing Renewal** and **Note Subtype = “90 Day Notice”**

| Note Date  | Note Type           | Note Sub-Type       | Description         | Status  |
|------------|---------------------|---------------------|---------------------|---------|
| 01/13/2026 | Initial Application | 90 Day Final Notice | 90 Day Final Notice | Pending |
| 01/13/2026 | Initial Application | Errors/Omissions    |                     | Pending |
| 01/13/2026 | Licensing Renewal   | 90 Day Notice       | 90 Day Notice       | Pending |

4. In the Note record update the following fields:
  - a. "Note Subtype" = 90 Day Final Notice
  - b. "Description" = 90 Day Final Notice
  - c. "Note" = enter notes and click **Append Text to Note**
  - d. "Status" = Pending
  - e. Click the **Lookup** button on the "Add Note Recipient" to add the *Service Provider* as the Note Recipient.
  - f. Enter the last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.

An asterisk (\*) indicates a required field

**Notes Details**

Division \*

Note By \*

Note Date \*

Associated Form ID#

Note Type \*

Note Sub-Type

Description

Note

On 1/14/2026 at 4:12 PM, Sylvia Baer wrote:  
30 Day Notice  
On 1/14/2026 at 4:13 PM, Sylvia Baer wrote:  
60 Day Notice  
On 1/14/2026 at 4:14 PM, Sylvia Baer wrote:  
90 Day Notice  
On 1/14/2026 at 4:14 PM, Sylvia Baer wrote:  
90 Day Final Notice

New Text

**B I U** 16px **A**

Append Text to Note

Status \*

Date Completed

---

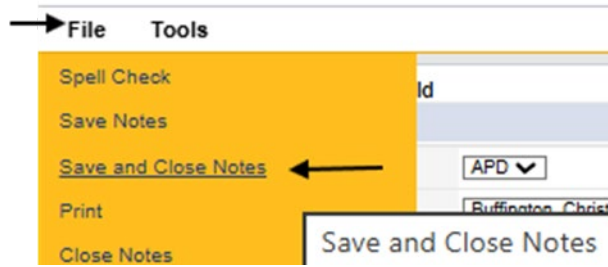
**Note Recipients**

Add Note Recipient

| Name                | Date Sent  | Date Read | Status | Date Signed |                                       |
|---------------------|------------|-----------|--------|-------------|---------------------------------------|
| Provider, Christine | 01/09/2026 |           | Unread |             | <input type="button" value="Remove"/> |

**NOTE:** If the applicant did not mark the Note as Read, the applicant will not be able to be added as a Note Recipient again. The Note will remain on their My Dashboard

5. **File > Save and Close Notes**



6. When the Licensing Renewal/90 Day Final Notice note was saved, a Workflow Wizard was triggered to remind the QA Workstream Worker to verify if the needed information was received.
- a. Tickler – “Review to determine if applicant has provided ALL the necessary information.”
  - b. Assigned to **Self**
  - c. Due on the **30<sup>th</sup>** calendar day from the “Licensing Renewals/90 Day Final Notice” pending note
  - d. It can be cancelled and reassigned if needed.



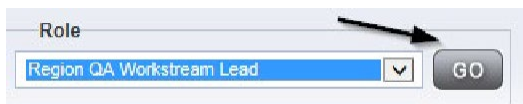
If the applicant responded to the note, proceed to [Complete Application](#)

**As Needed: Requested Information**

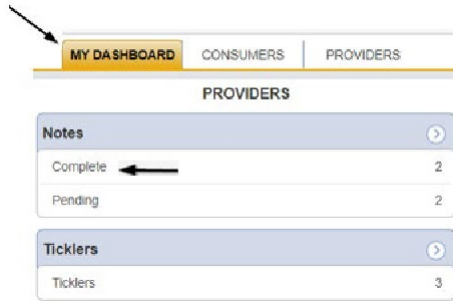


The Licensing Specialist (Region QA Workstream Worker) will be notified of the Further Documentation note via My Dashboard. They will request information from the Service Provider via a new note.

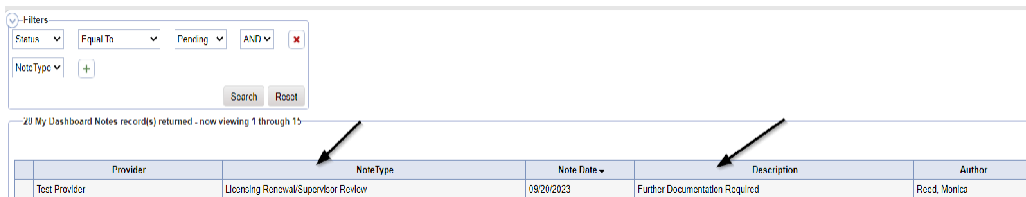
1. Set “Role” = QA Workstream Worker or Lead, then click **Go**



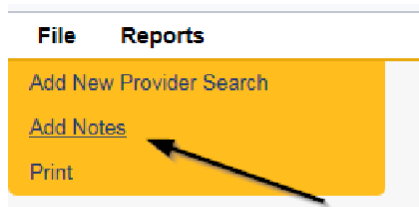
2. Navigate to the **My Dashboard > Providers > Notes > Complete** and click the hyperlink for the Pending notes.



3. Select the **Note Type = Licensing Renewal/Supervisor Review** and **Subtype = Further Documentation Required** and select the record via the hyperlink.



4. Review the note for the requested documentation, then close the note.
5. The Licensing Specialist (Region QA Workstream Worker) will create a new note to communicate with the Provider. Navigate to the **Provider > Notes** tab. Click **File > Add Notes**



6. In the new Note record, update the following fields:
  - a. "Division" = APD
  - b. "Associated Form ID#" = Enter Form ID# if applicable
  - c. "Note Type" = Licensing Renewal
  - d. "Note Subtype" = Further Documentation Required
  - e. "Description" = Further Documentation Required CAP ID
  - f. "Note" = Enter notes as to what is being requested
  - g. "Status" = Pending
  - h. Click the **Lookup** button on the "Add Note Recipient" to add the **Service Provider** as the Note Recipient
  - i. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

**Notes Details**

Division \* APD

Note By \* Buck, Jennifer

Note Date \* 09/26/2023

Associated Form ID#

Note Type \* Licensing Renewal

Note Sub-Type \* Further Documentation Required

Description Further Documentation Required CAP ID 122

Note

Status \* Pending

Date Completed

**Attachments**

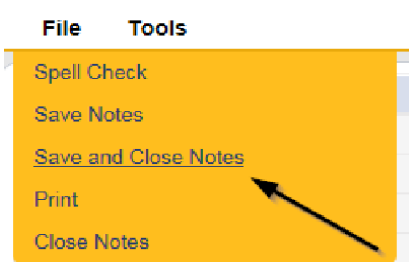
Add Attachment

| Document                            | Description | Category |
|-------------------------------------|-------------|----------|
| There are no attachments to display |             |          |

**Note Recipients**

Add Note Recipient:  Lookup Clear

7. When finished, click **File > Save and Close Notes**



8. Set "Role" = Service Provider

**Role**

Service Provider

GO

9. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.

| MY DASHBOARD     | CONSUMERS | PROVIDERS | INCIDENTS | CLAIMS | SCHEDULE |
|------------------|-----------|-----------|-----------|--------|----------|
| <b>CONSUMERS</b> |           |           |           |        |          |
| <b>INCIDENTS</b> |           |           |           |        |          |
| <b>PROVIDERS</b> |           |           |           |        |          |
| Notes            |           |           |           |        |          |
| Complete 3       |           |           |           |        |          |
| Pending 11       |           |           |           |        |          |

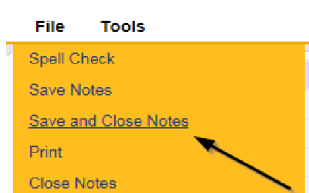
10. Select the **Note Type = Licensing Renewal** and select the pending record via the hyperlink.

11. Review the note for requested information. Add it to the existing note.

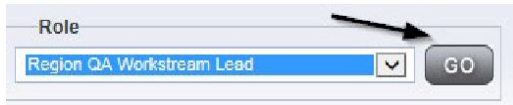
Update the following fields:

- a. "Note Subtype" = Leave as to Further Documentation Required
- b. "Description" = Leave as Further Documentation Required CAP ID
- c. "Note" = Enter notes as to what corrections/revisions have been made and what attachments have been provided
- d. "Status" = Leave as Pending
- e. Click **"Add Attachment"** and search for the copy of supporting documents on the user's device. Click **Upload**
- f. Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Specialist \(Region QA Workstream Worker\)](#) as the Note Recipient
- g. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

12. When finished, click **File > Save and Close Notes**



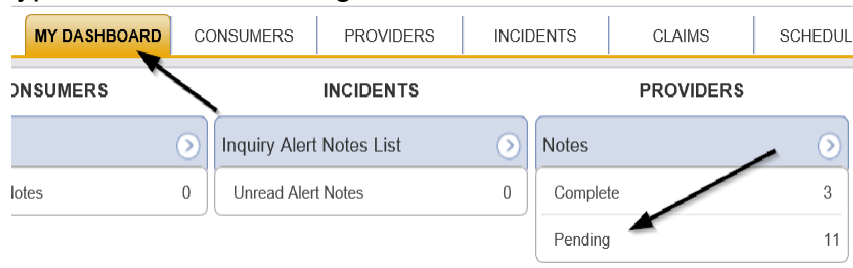
13. Set "Role" = QA Workstream Worker or Lead, then click **Go**



A screenshot of a web form. At the top, the word "Role" is displayed. Below it is a dropdown menu with a blue border and a downward-pointing arrow. The selected option is "Region QA Workstream Lead". To the right of the dropdown is a grey button with the text "GO" in white. An arrow points from the text "Role" in the instruction above to the dropdown menu.

14. The Licensing Specialist (Region QA Workstream Worker) will review the note submitted by the Service Provider to ensure all requested information/documentation was provided.

15. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.



A screenshot of a dashboard interface. At the top, there are navigation tabs: "MY DASHBOARD" (highlighted in yellow), "CONSUMERS", "PROVIDERS", "INCIDENTS", "CLAIMS", and "SCHEDULE". Below the tabs, there are three main sections: "CONSUMERS", "INCIDENTS", and "PROVIDERS". Under "CONSUMERS", there is a "Notes" link with a count of 0. Under "INCIDENTS", there is an "Inquiry Alert Notes List" link with a count of 0. Under "PROVIDERS", there is a "Notes" link with a count of 0. Below this, there is a table with two rows: "Complete" with a count of 3, and "Pending" with a count of 11. An arrow points from the instruction above to the "Pending" row in the table.

| Notes    | Count |
|----------|-------|
| Complete | 3     |
| Pending  | 11    |

16. Select the **Note Type = Licensing Renewal** and select the pending record via the hyperlink.

17. Review the contents of the note. Update the following fields to forward the note to the Licensing Supervisor or ROM.

- "Note Type" = Update to Licensing Renewal/Supervisor Review
- "Sub Type" = Update to Further Documentation Provided
- "Description" = Update to Further Documentation Provided CAP ID
- "Notes" = Add any additional details for the Supervisor or ROM regarding the requested documentation that was provided by the provider.
- "Status" = Leave as Pending
- Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Supervisor or ROM](#) as the Note Recipient
- Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

**Notes Details**

Division \* APD

Note By \* Buck, Jennifer

Note Date \* 09/26/2023

Associated Form ID#

Note Type \* Licensing Renewal/Supervisor Review

Note Sub-Type Further Documentation Provided

Description Further Documentation Provided CAP ID 122

Note

On 9/26/2023 at 8:13 PM, Jennifer Buck wrote:  
enter detail of further documentation that is needed  
On 9/26/2023 at 8:31 PM, Jennifer Buck wrote:  
Provider adds notes and requested documentation

New Text

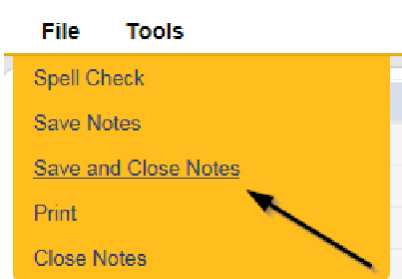
Note from the Licensing Specialist back to the Supervisor or ROM that further documentation has been provided and requested review be completed.

Append Text to Note

Status \* Pending

Date Completed

18. When finished click **File > Save and Close Notes**



Proceed to [Supervisor Approval](#). Even if the ROM requested the documentation, the Supervisor must approve it first.

## As Needed: CAP Rejected



If all corrective actions are not completed, the Licensing Specialist (Region QA Workstream Worker) will create a note to advise the Provider of the outstanding items, along with updating the CAP items to Rejected.

1. Set "Role" = Region QA Workstream Worker, then click **Go**.

Role  
Region QA Workstream Worker [v] GO

2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.

MY DASHBOARD CONSUMERS PROVIDERS

PROVIDERS

Notes [v]

|          |    |
|----------|----|
| Complete | 59 |
| Draft    | 1  |
| Pending  | 29 |

3. Select the Note Type = Licensing Renewal and Note Subtype = CAP Submitted and select the pending record via the hyperlink.

Filters  
Status Equal To Pending AND  
Note Type +  
Search Reset

29 My Dashboard Notes record(s) returned - now viewing 1 through 15

| Provider      | Note Type         | Note Date  | Description   | Auditor      | Status  |
|---------------|-------------------|------------|---------------|--------------|---------|
| Test Provider | Licensing Renewal | 05/21/2023 | CAP Submitted | Reed, Monica | Pending |

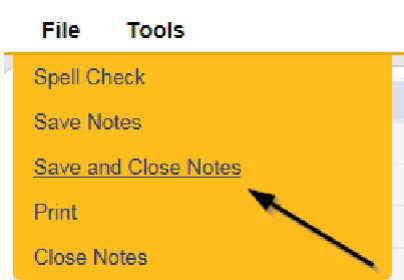
4. In the existing Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID# if applicable
  - b. "Note Type" = Leave as Licensing Renewal
  - c. "Note Subtype" = Update to CAP Rejected CAP ID
  - d. "Description" = Update to CAP Rejected
  - e. "Note" = Enter Notes and list reasons for rejection
  - f. "Status" = Leave as Pending
  - g. Click the **Lookup** button on the "Add Note Recipient" to add the [Service Provider](#) as the Note Recipient

- h. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.

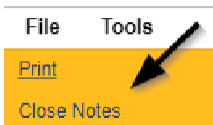
The screenshot shows a 'Notes Details' form with the following fields and values:

- Division: APD
- Note By: Reed, Monica
- Note Date: 09/21/2023
- Associated Form ID#: (empty)
- Note Type: Licensing Renewal
- Note Sub-Type: CAP Rejected
- Description: CAP Rejected CAP ID 122
- Note: (empty text area)
- New Text: Enter notes and list items that are rejected
- Status: Pending
- Date Completed: (empty)
- Attachments: Add Attachment
- Document: (empty)
- Description: (empty)
- Note Recipients: Add Note Recipient, Lookup, Clear

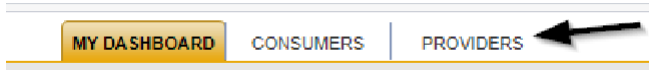
- 5. When finished, click **File > Save and Close Notes**



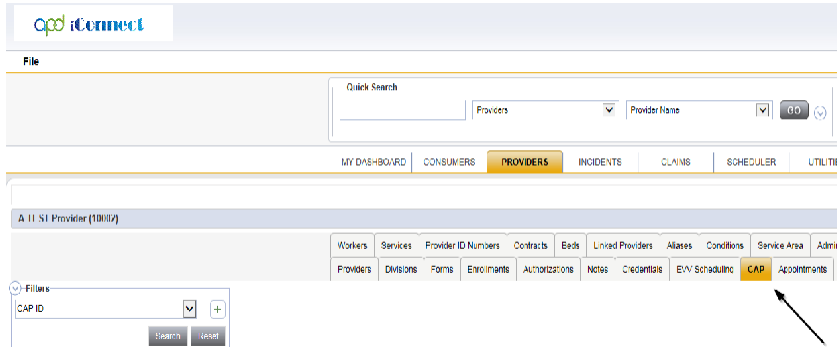
- 6. Click **File > Close Notes**



7. Navigate to the Provider's Chapter



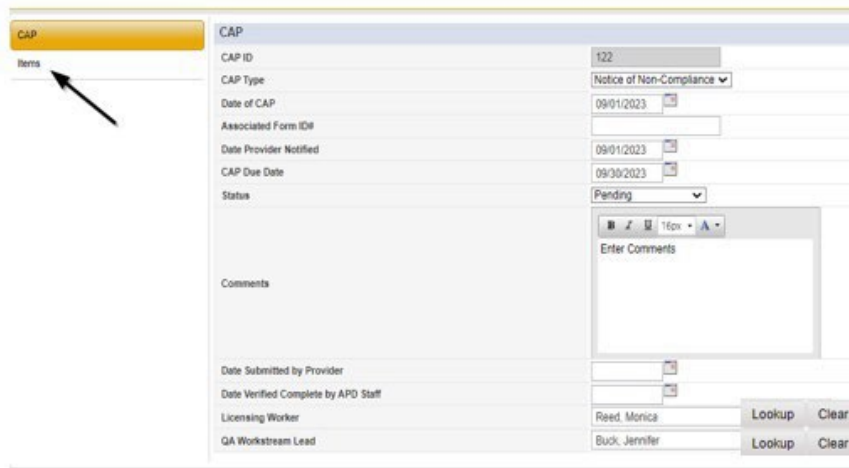
8. The Provider's record will display. Navigate to the **Providers > CAP** tab



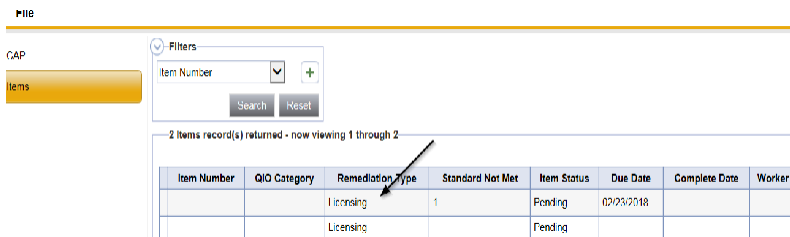
9. Select the appropriate CAP record via the hyperlink

| CAP ID | QIO Report Number | Date Provider Notified | Status  | Number of Alerts | Number of Items | Licensing Worker   |
|--------|-------------------|------------------------|---------|------------------|-----------------|--------------------|
| 71     |                   | 07/09/2018             | Pending |                  | 1               | Richardson, Regina |

10. Click the **Items** link on the left-hand navigation menu



11. Select an individual Item via the hyperlink in the list view grid that has not been completed



12. In the Item record, update the following fields:

- a. "Item Status" = CAP Rejected
- b. "Corrective Action Required" = Enter what was rejected and what needs to be done to resolve the deficiency

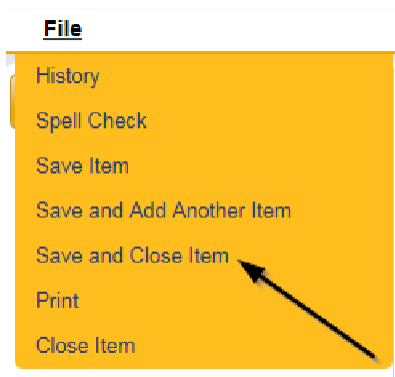
The screenshot shows a form with the following fields and values:

- Item ID: 141
- Item Number: [Empty]
- Action Type: Licensing
- Type of Site Visit: Qualified Organization
- Discovery Source: Licensing Visit
- Remediation Type: Licensing
- Employee Involved: Lisa Smith
- Standard Not Met Description: FINANCIAL STANDARDS. (a) Fiscal records pertaining to th... Clear  
Enter the full description of the violation (i.e. Resident J.A. did not receive Seroquel as prescribed on 9/1/2019)
- Comments: New Text  
Append Text to Note
- Item Status: CAP Rejected (indicated by an arrow)
- Due Date: 09/16/2023
- Provider Worker: Reed, Monica (with Lookup and Clear buttons)
- Corrective Action Required: Enter information regarding the violation that the provider must submit. The Provider will then append with the information.  
New Text: Enter notes regarding the reason for rejection and what needs to be completed to resolve the deficiency (indicated by an arrow)  
Append Text to Note
- Evidence of Completion: New Text  
Append Text to Note



Repeat steps 11 – 12 for each item that needs to be rejected in the CAP record.

13. When finished, click **File > Save and Close Item**



## As Needed: CAP Revised



The Service Provider will review the CAP Rejected Note and make the necessary revisions to the CAP item record(s). Once the CAP Items have been updated, they will update the existing note to advise the Licensing Specialist (Region QA Workstream Worker) that the revisions have been made.

1. Set "Role" = Service Provider then click **Go**

A screenshot of a web form. On the left, there is a dropdown menu labeled "Role" with "Service Provider" selected. To the right of the dropdown is a "GO" button. An arrow points from the text "Service Provider" to the dropdown menu.

2. Navigate to the **Providers > CAP** tab

A screenshot of the APD iConnect interface. The top navigation bar includes "MY DASHBOARD", "CONSUMERS", "MEMBERS", "INCIDENTS", "CLAIMS", "SCHEDULING", and "UTILITIES". Below this, there is a sub-navigation bar with "Providers", "Dulane", "Forms", "Credentials", "Notes", "Credentials", "CAP Scheduling", "CAP", and "Appointments". An arrow points to the "CAP" tab in this sub-navigation bar.

3. Select the appropriate CAP record via the hyperlink

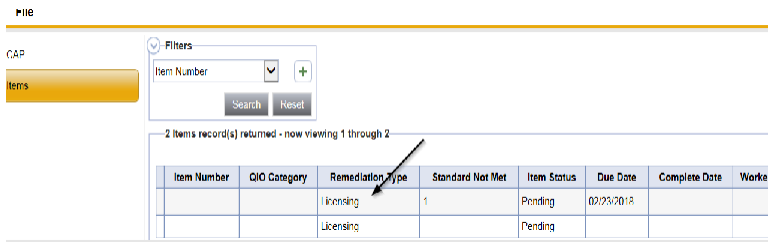
— 1 CAP record(s) returned - now viewing 1 through 1 —

| CAP ID | Q/O Report Number | Date Provider Notified | Status  | Number of Alerts | Number of Items | Licensing Worker  |
|--------|-------------------|------------------------|---------|------------------|-----------------|-------------------|
| 71     |                   | 07/05/2018             | Pending |                  | 1               | Richardson, Regna |

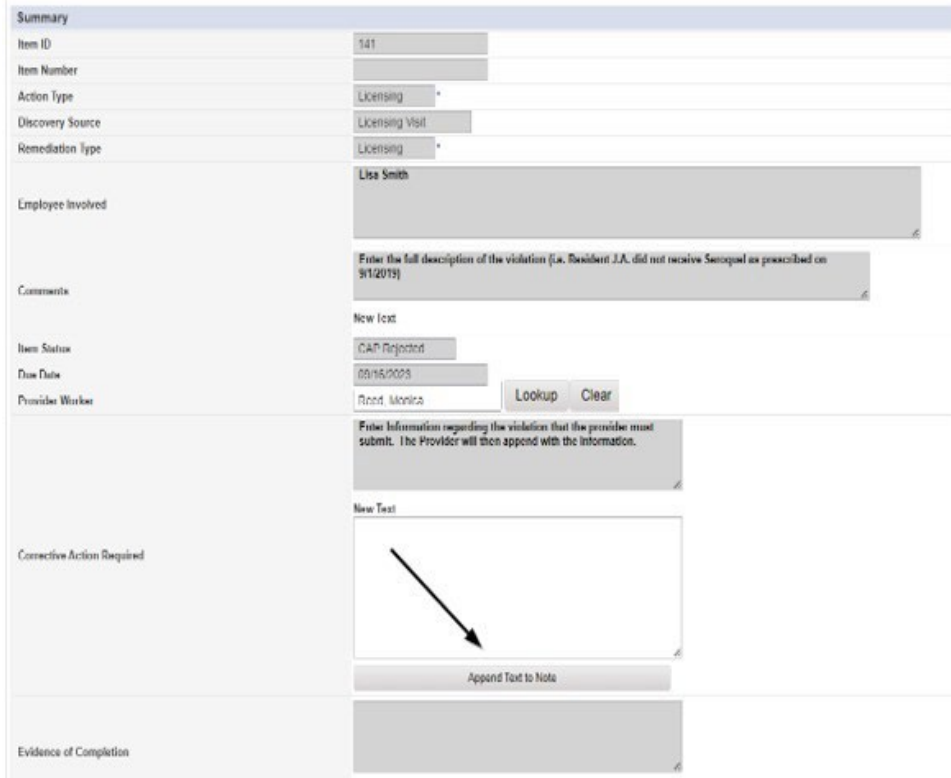
4. Click the **Items** link on the left-hand navigation menu

A screenshot of the CAP record details page. On the left-hand navigation menu, the "Items" link is highlighted with a yellow background and an arrow points to it. The main content area shows the CAP details for CAP ID 122, including CAP Type (Notice of Non-Compliance), Date of CAP (09/01/2023), Date Provider Notified (09/01/2023), CAP Due Date (09/30/2023), and Status (Pending). There is also a "Comments" section with a text area and a "Date Submitted by Provider" field.

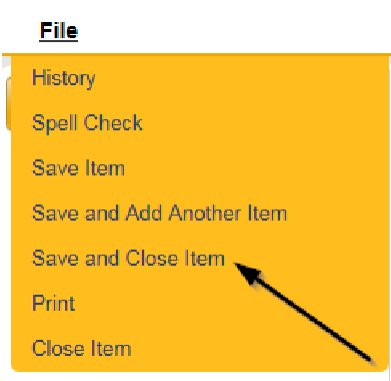
5. Select an item via the hyperlink in the list view grid



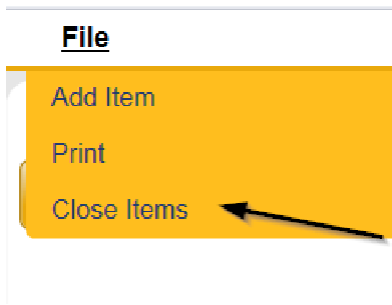
6. Enter the Corrective Action Required information and click **Append to Text to Note**



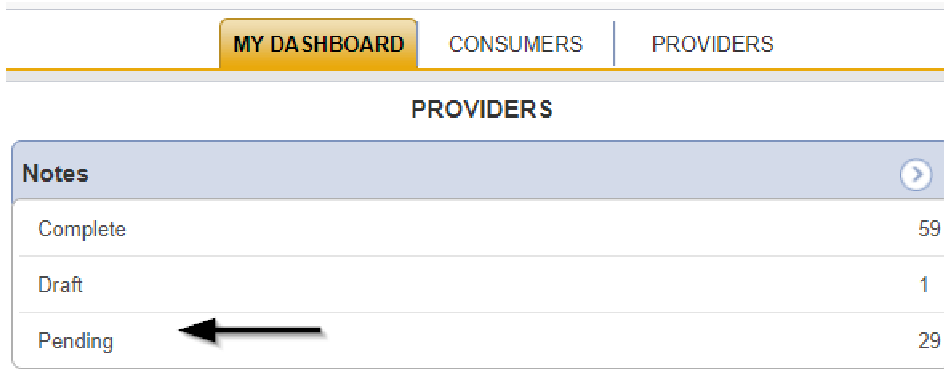
7. When finished, click **File > Save and Close Item**



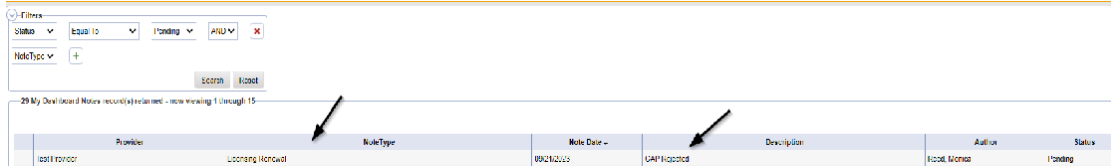
8. Click **File > Close Items**



9. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.



10. Select the **Note Type = Licensing Renewal** and **Note Subtype = CAP Rejected** and select the pending record via the hyperlink.



11. In the existing Note record, update the following fields:
- "Note Type" = Leave as Licensing Renewal
  - "Note Subtype" = Update to CAP Revised
  - "Description" = Update to CAP Revised CAP ID
  - "Note" = Enter Notes as to what corrections were made
  - "Status" = Update to Complete
  - Click **"Add Attachment"** and search for the copy of supporting documents on the user's device. Click **Upload**
  - Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Specialist \(Region QA Workstream Worker\)](#) as the Note Recipient
  - Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.



Proceed to [CAP Accepted](#)

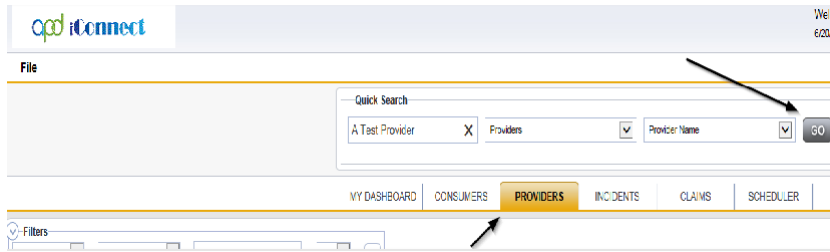
### As Needed: CAP Missed Due Dates



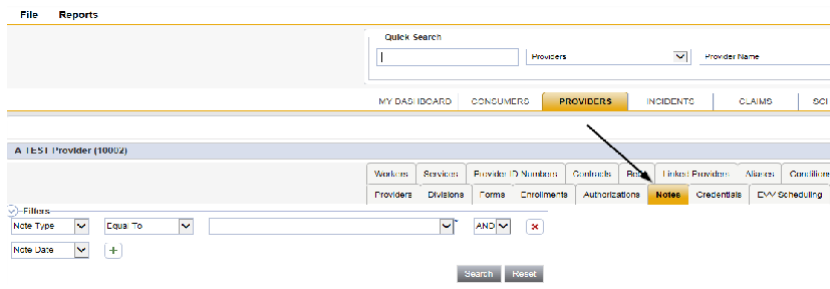
If after receiving the Reminder tickler that the CAP is due after 15 calendar days, the Licensing Specialist (Region QA Workstream Worker) identifies that the due dates have been missed, they will notify the Service Provider via a note. The Service Provider will then have an additional 10 days to resubmit an amended CAP.

1. Set "Role" = Region QA Workstream Worker, then click **Go**.

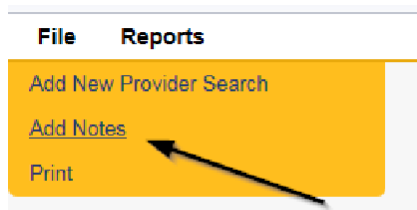
2. Navigate to the **Providers** chapter and enter the Provider's Licensed Facility home name in the Quick Search filter and click **Go**.



3. The Provider's record will display. Navigate to the **Providers > Notes** tab

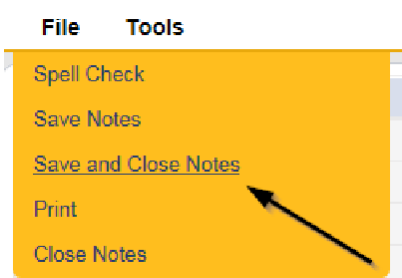


4. Click **File > Add Notes**

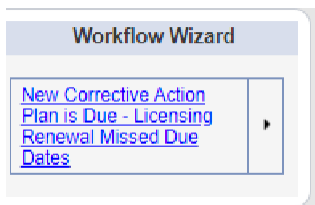


5. In the new Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID# if applicable
  - b. "Note Type" = Licensing Renewal
  - c. "Note Subtype" = CAP Missed Due Dates
  - d. "Description" = CAP Missed Due Dates CAP ID
  - e. "Note" = Enter Notes
  - f. "Status" = Complete
  - g. Click the **Lookup** button on the "Add Note Recipient" to add the **Service Provider** as the Note Recipient
  - h. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note.

6. When finished, click **File > Save and Close Notes**



7. Upon saving the note, a Workflow Wizard triggered the reminder tickler that is due in 11 calendar days. It will be retrieved by the Licensing Specialist on **My Dashboard > Providers > Ticklers**.



- Tickler - “New Corrective Action Plan is Due – Licensing Renewal Missed Due Dates.”
- Assigned to self, the Licensing Specialist who saved the Licensing Renewal > CAP Missed Due Dates note.

- Due on the **11th** calendar day from the “Licensing Renewal/Missed Due Dates” completed note



The Service Provider will need to proceed to [Update CAP items](#) and update the CAP record after reviewing the CAP Missed Due Dates note.

### As Needed: Licensing Supervisor Denial



If, during the review, the Licensing Supervisor decides to deny the licensing renewal, then proceed with adding a note back to the Licensing Specialist (Region QA Workstream Worker), instructing them to initiate the PAARF/Admin Complaint process. If the license is nearing expiration, the region will renew with one- month licenses while the Admin Complaint is in process.

1. Set “Role” = Region QA Workstream Worker/Lead, then click **Go**.

2. Navigate to the **My Dashboard > Providers > Notes > Pending** and click the hyperlink for the Pending notes.

3. Select the **Note Type = Licensing Renewal/Supervisor Review** and select the pending record via the hyperlink.

| Provider      | NoteType                            | Note Date  | Description                         | Author        | Status  |
|---------------|-------------------------------------|------------|-------------------------------------|---------------|---------|
| Test Provider | Licensing Renewal/Supervisor Review | 03/21/2021 | Licensing Renewal/Supervisor Review | Rachel Mencia | Pending |

4. In the pending Note record, update the following fields:
  - a. “Associated Form ID#” = Enter Form ID# if applicable
  - b. "Note Type" = Update to Licensing Renewal/Supervisor Denial
  - c. "Description" = CAP ID

- d. "Append Text to Note" = Enter notes
- e. "Status" = Complete
- f. Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Specialist \(Region QA Workstream Worker\)](#) as the Note Recipient
- g. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note
- h. Click the **Lookup** button on the "Add Note Recipient" to add an additional recipient – [ROM/Deputy ROM](#)
- i. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

**Notes Details**

Division \* APD

Note By \* Reed, Monica

Note Date \* 09/20/2023

Associated Form ID#

Note Type \* Licensing Renewal/Supervisor Denial

Note Sub-Type

Description CAP ID 122

Note

New Text

Enter notes as to why being denied

Append Text to Note

Status \* Complete

Date Completed 09/21/2023

**Attachments**

[Add Attachment](#)

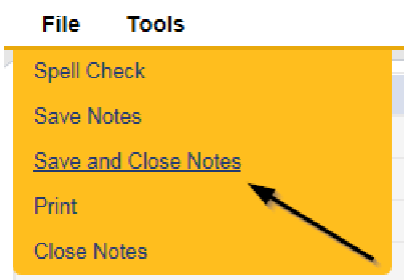
**Document** Description

There are no attachments to display

**Note Recipients**

Add Note Recipient: [input] Lookup Clear

5. When finished click **File > Save and Close Notes**



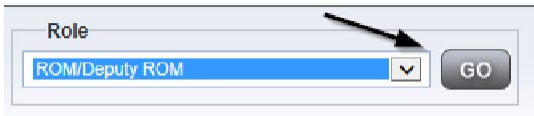
If current license is expiring soon, processed to [issue a one-month license](#). Then proceed to Chapter 13 to initiate the PAARF process.

### As Needed: ROM Denial

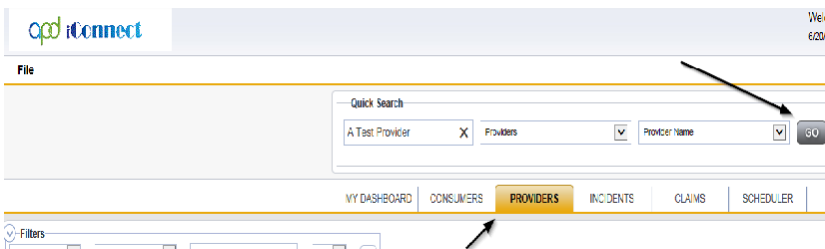


If during the review, the ROM decides to deny the licensing renewal, then proceed with adding a new note back to the Licensing Specialist (Region QA Workstream Worker) instructing them to update the license information and initiate the PAARF/Admin Complaint process. If the license is nearing expiration, the region would renew with a one-month license while the Admin Complaint is in process.

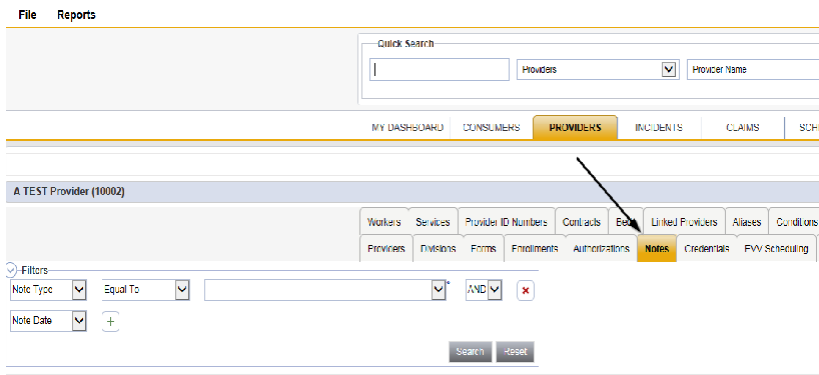
1. Set "Role" = ROM/Deputy ROM then click **Go**



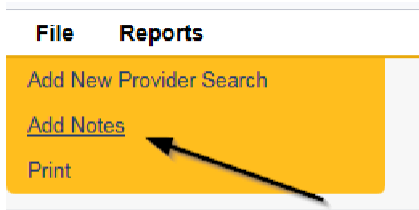
2. Navigate to the **Providers** chapter and enter the Provider's Licensed Facility home name in the Quick Search filter and click **Go**.



3. The Provider's record will display. Navigate to the **Providers > Notes** tab

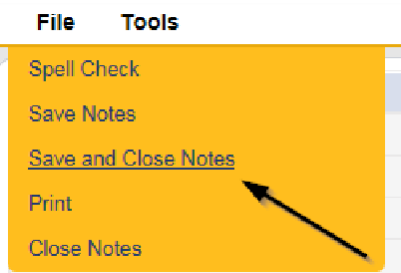


4. Click **File > Add Notes**



5. In the new Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID# if applicable
  - b. "Note Type" = Licensing Renewal/ROM Denial
  - c. "Description" = CAP ID
  - d. "Append Text to Note" = Enter notes
  - e. "Status" = Pending
  - f. Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Specialist \(Region QA Workstream Worker\)](#) as the Note Recipient
  - g. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note
  - h. Click the **Lookup** button on the "Add Note Recipient" to add an additional recipient – [Licensing Supervisor](#)
  - i. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

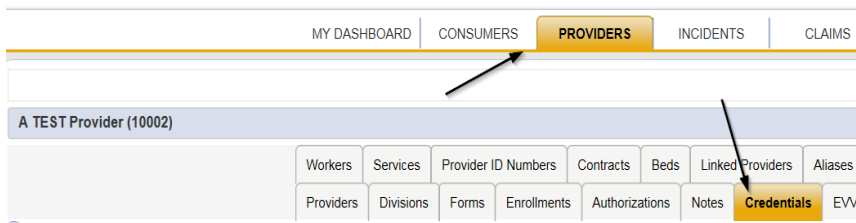
5. When finished, click **File > Save and Close Notes**



The Licensing Specialist will be notified of the ROM Denial via this note. The Licensing Specialist will update the license information to what it was before the renewal process began.

6. Set “Role” = Region QA Workstream Worker, then click **Go**.

7. After reviewing the note accessed from **My Dashboard > Providers > Notes > Complete** navigate to the **Providers > Credentials** tab



8. Select the license updated in the [Update License Information](#) section from the list.

9. Update the following fields:

- a. "Original Date of Issuance" = Do not change
- b. "Effective Date" = Enter the effective date that was on this record before the renewal process started.
- c. "Expiration Date" = Enter the effective date that was on this record before the renewal process started.
- d. "Comment" = Enter comments if applicable
- e. "Status" = Closed
- f. "Reason" = Enter the reason that was on this record before the renewal process started. Initial or Renewal.
- g. "QA Workstream Worker" = Do not change

| License Details                    |                               |
|------------------------------------|-------------------------------|
| Credential Type *                  | License                       |
| License Type *                     | Group Home                    |
| License Number *                   | 586974                        |
| Original Date of Issuance *        | 09/01/2021                    |
| Date of Renewal/Subsequent License |                               |
| Effective Date *                   | 09/01/2021                    |
| Expiration Date *                  | 09/30/2022                    |
| Less than One Year                 | <input type="checkbox"/>      |
| Comment                            | ROM Denied Renewal - 09/20/23 |
| Status                             | Closed                        |
| Reason                             | Initial                       |
| QA Workstream Worker               | Reed, Monica                  |

10. When finished, click **File > Save and Close License Details**



Proceed to [ROM Review](#) if the current license is expiring soon to issue a one-month license.

### As Needed: One Month License



The ROM/Designee will scan and save the signed one-month license to their device while the Admin Complaint is in process. They will then update the existing Licensing Renewal/ROM Denial note to advise the Licensing Specialist (Region QA Workstream Worker).

1. Set "Role" = ROM/Deputy ROM then click **Go**

A screenshot of a web form. At the top, the word "Role" is displayed. Below it is a dropdown menu with "ROM/Deputy ROM" selected. To the right of the dropdown is a grey button labeled "GO". An arrow points from the text above to the dropdown menu.

2. Navigate to the **Provider Record > Notes > Pending** and click the hyperlink for the Pending notes.

A screenshot of a web application interface. At the top, there are navigation tabs: "MY DASHBOARD", "CONSUMERS", "PROVIDERS", "INCIDENTS", "CLAIMS", and "SCHE". The "PROVIDERS" tab is active. Below the tabs, there is a section for "A TEST Provider (10002)". Underneath, there is a horizontal menu with various options: "Workers", "Services", "Provider ID Numbers", "Contracts", "Benefits", "Linked Providers", "Aliases", "Conditions", "Providers", "Divisions", "Forms", "Enrollments", "Authorizations", "Notes", "Credentials", and "EVV Scheduling". The "Notes" option is highlighted in yellow. Below this menu is a "Filters" section with dropdowns for "Note Type" and "Note Date", and buttons for "Search" and "Reset". An arrow points from the text above to the "Notes" tab.

3. Select the **Note Type = Licensing Renewal/ROM Denial** and select the pending record via the hyperlink.

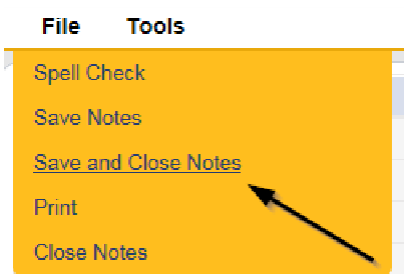
A screenshot of a table with the following columns: Provider, Note Type, Note Date, Description, Author, Status, and a checkbox. The first row contains: Test Provider, Licensing Renewal/Supervisor Review, 09/20/2023, Licensing Renewal/Supervisor Review, Reed, Monica, Pending, and an unchecked checkbox. An arrow points from the text above to the "Note Type" column header.

| Provider      | Note Type                           | Note Date  | Description                         | Author       | Status  |                          |
|---------------|-------------------------------------|------------|-------------------------------------|--------------|---------|--------------------------|
| Test Provider | Licensing Renewal/Supervisor Review | 09/20/2023 | Licensing Renewal/Supervisor Review | Reed, Monica | Pending | <input type="checkbox"/> |

4. In the pending Note record, update the following fields:
  - a. "Associated Form ID#" = Enter Form ID# if applicable
  - b. "Note Type" = Leave as Licensing Renewal/ROM Denial
  - c. "Description" = no changes needed
  - d. "Append Text to Note" = Enter notes
  - e. "Status" = Update to Complete
  - f. Click **"Add Attachment"** and search for the copy of the signed one-month License Certificate on the user's device. Click **Upload**
  - g. Click the **Lookup** button on the "Add Note Recipient" to add the [Licensing Specialist \(Region QA Workstream Worker\)](#) as the Note Recipient

- h. Enter last name and click **Search** in the pop-up browser window. Select the name of the worker to attach them to the note

5. When finished, click **File > Save and Close Notes**



Proceed to the [Signed License Certificate Note](#), and finally [Update License Information](#). The next step in the process is to proceed to Chapter 13 to complete the PAARF process.