

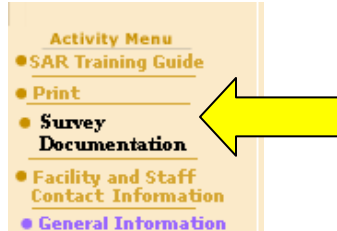
2012 SAR Documentation FAQ

1. What is 'SAR Documentation'?

SAR Documentation is a NEW process, starting in 2010 which enables cancer programs to upload documents required for survey documentation. The documentation can be accessed through the Survey Documentation link located on the SAR menu. Documents are saved according to the year selected and date entered.

2. Where is the link located?

The 'SAR Documentation' link is located on the SAR Menu, near the top, in black font.



3. How is the screen set up for uploading?

The SAR Documents screen is organized by standard. Within each standard listed, you can upload documents specific to this standard by selecting the year and/or date of the document before uploading. Please note: Documents are saved according to the year selected and date entered.

In addition to standards listed you will find an 'Other' section. This section allows you to upload an unlimited amount of other appropriate documents needed for survey. Within this section you have the option to categorize any document uploaded under a particular standard or you may choose to use the text box to describe the document.

It is important to note that if documents are uploaded in this section that you make note of it in the comments area to ensure that the surveyor and CoC staff are aware you have a document there to support that particular standard.

Once the survey has taken place and the Tracking Activity SAR becomes available, the documents that were previously uploaded on the Survey Document page during previous survey preparation will copy over to the new SAR. You will need to manually delete documents from older years that do not apply to the new survey.

4. When is the link accessible?

The SAR link has unlimited access during both survey and non-survey years

5. Are there any recommendations for uploading?

Before you upload documents, *make sure that the TITLES are unique and identify the information you are providing* (including dates as appropriate) and that there is at least one character difference between titles with similar names as the system will not accept titles with the same name.

Ex: If uploading cancer conference policy, the name could appear as:

Cancer Conference Policy & Procedure 2010.

If you are uploading minutes, the name could appear as:

10-21-09 Cancer Committee Minutes.

6. What types of documents can be uploaded?

Cancer programs can upload documents in the following format:

- PDF
- DOC or DOCX
- RTF
- XLS
- PPT
- ZIP
- TIF
- PUB
- GIF
- JPG (for scanned documents)

Each document should be less than 10 MB in size. If a document is larger than 10 MB, you will need to break it up into multiple documents with appropriate file names. We need to restrict the file size for safety, performance, and speed.

7. What happens if uploaded documents include patient identifying information?

In concordance with the HIPAA guidelines, the Commission on Cancer is unable to accept documentation that includes patient identifying information (protected health information [PHI]). Receipt of PHI violates the Business Associate Agreement between the American College of Surgeons and the CoC-accredited cancer program.

This applies to documentation submitted for **survey, appeals, and/or deficiency resolutions**. Documents that may include PHI, but are not limited to: accession lists, suspense reports, pathology reports, collected data for studies. Special care should be taken to ensure that all PHI is removed before documentation is uploaded to the SAR.

In compliance with the American College of Surgeons HIPAA Privacy and Security Policy, appropriate supervisory and managerial staff of the American College of Surgeons will be notified when documentation that includes PHI has been received. The American College of Surgeons Privacy Official will make a determination about a notification to the CoC-accredited cancer program and disposition of the documentation that includes PHI.

Programs will be required to remove or block the patient information and resubmit the documentation as soon as possible after receiving notification from the American College of Surgeons Privacy Official.

8. What documents are required for survey and electronic posting?

Refer to pages 8-9 in the *Cancer Program Standards 2009, Revised Edition*. All documents that were previously copied and mailed to the surveyor 2 weeks before survey are now required to be posted electronically. Documents need to be uploaded and available to surveyors 2 weeks before survey (14 calendar days).

Required pre-survey documents to be uploaded

- 2009, 2010, and 2011 cancer committee minutes
- copy of certificate of accreditation from accrediting body(ies) (Std 1.1)
- cancer committee bylaws section or policy and procedure (Std 2.1)
- cancer conference policy and procedure (Stds 2.6-8)
- cancer conference grids for each year from 2009-11(Std 2.9)
- QC Plan or policy (Std 2.10)
- outcomes analysis studies or annual reports from 2009-11 (Std 2.11)
- follow-up reports from day of survey (Stds 3.4 and 3.5)
- written process for monitoring staging, prognostic factors, and national treatment guidelines (Std 4.3)
- documentation of two educational activities for each year from 2009-11, this includes;
 - posting/announcement
 - agenda
 - objectives
 - attendance sheets
- two quality studies each year from 2009-11 (Std 8.1)
- accession lists from 2009 and 2011 (2nd, 3rd, and 4th quarters)
 - lists to include: (excluding patient identifying information)
 - accession number
 - site

- class of case (all analytic cases with resections)
 - procedure (narrative description)
- NEW programs will confirm year of review with Karen Stachon, Cancer Program Advisor, when released for initial survey
- final agenda

9. What about uploading separate attachments to the minutes?

*****It is strongly recommended that you only upload attachments to the minutes that are necessary to support CoC standards.*** All other meeting attachments can be made available during the survey.

It would be optimal if each set of minutes and appropriate attachments can be scanned into one PDF document for each meeting before they are uploaded. However, when attachments to the minutes are separate documents, upload them with the appropriate document name such as: 10-12-09 Brain Study Attachment.

10. When preparing for survey, when should all appropriate documents be uploaded?

All documents are to be uploaded to the SAR **no later than two weeks** before survey. Otherwise, documents can be uploaded anytime during the survey cycle. (14 calendar days before survey)

11. When will the surveyor have access to the SAR Documents?

Surveyors will have access to the Survey Documents **two weeks** before survey. The surveyor cannot edit your documents, but may print them for note taking purposes.

NOTE: Since the uploaded documents will be available through the SAR, the surveyor may ask to leave their printed copies of uploaded documents with the cancer program for appropriate disposal after the survey.

12. When will the CoC staff have access to the SAR Documents?

CoC staff has immediate and unlimited access to uploaded documents.

13. What if we have documents that are not in electronic format?

Documents should be scanned into an appropriate file format, then uploaded to the SAR. No paper documents will be accepted for survey, appeals, or deficiency resolution.

14. Do we save a document again (such as minutes) if a particular section shows compliance to a specific standard?

No, instead enter a note in the ‘comments’ section of the standard in the SAR stating which uploaded document shows compliance for each year (for minutes, please include the specific meeting dates).

15. Who do I contact if I have problems or questions with the SAR Document process?

Send your issues and questions to SAR@facs.org. Please make sure your name, e-mail address, phone number, facility name, FIN, and specific details regarding the issue or question are included in the e-mail. Also include the standard number. The SAR mail box is covered Monday through Friday during business hours.

If you have problems opening attachments or uploading attachments, there could be an issue with your security access to the Internet or a firewall. Please work with your IT department to resolve these issues.

16. How do I delete a document that I uploaded but now want to remove or replace?

Click on the ‘delete’ button, located to the far right of your uploaded document. You can then upload a replacement document, as necessary, following the uploading procedures.

17. Are the documents automatically saved to the SAR or is there a ‘save’ button that needs to be clicked?

The documents are automatically saved during the uploading process, once you click on the ‘submit’ button. (Scroll to the right to see this button)

18. When we receive the lists from the surveyor for abstract and pathology report review, do we upload those cases?

No. The case lists selected by the surveyor, before survey, are to be entered by the cancer program into the SAR in the appropriate tables for BOTH Standards 3.3 and 4.6.

19. Can Appeals and Deficiency Resolution documents be uploaded through CoC Datalinks too?

Yes, there are separate links for uploading and submitting both appeal and deficiency resolution documents. The links will automatically appear on the CoC Datalinks Activity Menu once you have received your Performance Report.

Appeals must be submitted within 30 days of receiving the Performance Report, after the 30 days the Appeals link will be automatically removed. The Deficiency Resolution link will remain available until the deficiency resolution ‘due date’

occurs. Once you click on either of these links, you will see the 'Documentation' screen where you will be able to upload your documents for submission.

****Please remember that a cover letter, with facility name and FIN, is required for both appeal and resolution submissions. Resolutions are **not** to be submitted until AFTER your appeal outcomes have been communicated back to your cancer program.**

Once you have uploaded the cover letter and all appropriate documents for submission, click on the 'Send to CoC' button located at the bottom of the screen. Once the CoC staff has reviewed the documentation, you will then receive an e-mail notification that your Performance Report has been updated and available for your review.

Example of SAR Document Screen:

The screenshot shows a web interface for submitting documents. At the top, there are several categories of documents: Cancer Committee Minutes, Cancer Committee Policy & Procedure, Annual Goals (Std 2.5), Cancer Conference Documents, Cancer Conference Grid, QC Plan, Outcomes Analysis Study, Annual Report, Follow-up Report, Staging Plan, Quality Studies, and Other. The 'Annual Goals (Std 2.5)' category is highlighted in blue. Below this, there is a message: 'No submissions documents found.' A yellow double-headed arrow points to the 'Annual Goals (Std 2.5)' category. A yellow arrow points down to the 'Submit Annual Goals Documents' button. A blue box with an arrow pointing to the 'Browse...' button contains the text: 'Place cursor here and click on 'Browse' to select the document from your files.' At the bottom, there is a link: 'Return to Activity Menu'.

Example of Appeal Document Screen:

To submit an APPEAL: Follow directions below, upload all appropriate documents (please highlight appropriate areas in minutes) for each standard, and click on 'SEND APPEAL TO CoC' button located at bottom of the screen. The submitted appeal documents are to support standards that were in compliance for all years of survey or time frame indicated in the Performance Report comments.

Please select appropriate year, then click on appropriate standard to open/close and attach documents. Attachments must be submitted in PDF, DOC, RFT, XLS, PPT, TIF,PUB and JPG formats only. NOTE: File name should clearly identify uploaded document.

The screenshot shows the 'Appeal Documents' section, which is highlighted in blue. A yellow arrow points up to this section. At the bottom, there are two links: 'Return to Activity Menu' and 'Return to Homepage'.

Example of Deficiency Resolution Document Screen:

To submit DEFICIENCY RESOLUTION: Follow directions below, upload all appropriate documents (highlight appropriate areas in minutes) and click on 'SEND RESOLUTION TO CoC' button located at bottom of the screen. The submitted resolution documents are to demonstrate the compliance of the deficient standards from survey year forward. (documents from survey years will NOT be accepted as resolution.) Resolutions for all deficiencies are to be submitted at the same time and by the due date listed at the top of page 7 of the Performance Report.

Please select appropriate year, then click on appropriate standard to open/close and attach documents. Uploaded documents must be submitted in PDF, DOC, RFT, XLS, PPT, TIF, PUB and JPG formats only. NOTE: File name should clearly identify uploaded document.

Deficiency Resolution Documents:

