

THE SURVEY PROCESS

P. DIANE CARTER RN LNCC

LICENSURE SURVEY

- WHO
- WHAT
- WHEN
- WHERE
- HOW

WHO

- Surveyors experienced in the survey process
- Certified as LTC surveyors
- Multiple program surveyors
- Ability to interpret regulations, think independently and reason
- Nurses, Social Worker, Dietitian (Life Safety Specialist)
- Supervisors, Regional Administrator, Support Staff (Director of Licensure, Director of HCF)

WHAT

- Initial:

- To confirm compliance with regulations for opening

- Annual:

- To reaffirm compliance with regulations

- Complaints:

- In response to & to investigate a complaint

- Renovations & Additions:

- To confirm compliance for something changed or new

WHEN

- Annually (9 – 15 months)
- Initials (At your request)
- Conversions (Really an Initial)
- Complaints (According to classification)
- Renovations & Additions (Coordinated with facility)
- Annuals and Complaints may be @ any hour

WHERE

- 1. Scheduled by Supervisor
- 2. File Review:
 - Last survey
 - Complaints investigated
 - Pending complaints
 - Facility changes

Where cont.

- 3. On Site
- Tour & Observations
- Interviews
- Resident record review
- Document review
- Exit Conference

Where cont.

- 4. Office
 - Write deficiencies & submit package
 - Supervisor review
 - Support Staff mail deficiencies
 - Facility submits PoC (accepted or rejected)
- 5. Follow Up (On site or desk review)

HOW



Survey is systematic but flexible

HOW cont.

● TOUR (all areas)

- resident rooms
- bathrooms
- Kitchen, dining & food storage
- common areas
- laundry
- secure unit
- medication storage
- trash storage
- chemical storage
- Entrance & Exit

● OBSERVE (all time)

- postings
- residents
- employees
- visitors
- meals being served
- medications being given
- Infection control issues
- pets, insects & vermin
- safety
- interactions

HOW cont.

● Interview (everyone)

- Residents
- Employees
- Visitors
- Complainants
- APS
- Police
- Family members
- Contracted workers
- HCF staff

● About (everything)

- General conversation
- Specific questions
- Clarification
- Insight
- Knowledge
- History

HOW: Document Review

● Policies & Plans (Especially new or problems)

- Responsibilities, Grievance and Complaints policy
- Performance Improvement Plan
- Smoking policy
- Charity care
- Pet Management Plan
- Residents Rights
- Advance Directive
- Evacuation, Fire & Disaster Plans
- Health Care Decision Making Policy
- Infectious & Hazardous Waste Policy

HOW: Document Review cont.

❖ Contracts & Agreements

- Licensed Nurse
- Dietitian or Food Management Company
- Admission Agreement including Transfer & Discharge
- Infectious Waste transport/disposal

❖ Communications & Reports

- Facility Changes (CHOW, Administrator, Added service)
- Inspection Report file
- Waivers

HOW: Document Review cont.

● Employee Files

- Age of direct care staff
- License or Certification (if applicable)
- Abuse Registry
- Communicable disease
- Influenza vaccine & education; IC & Hand Hygiene education

● Logs & Postings

- Resident Log
- Postings (Abuse, Charity, Insurance, HCF Complaint #, Smoking, License)

HOW: Document Review cont.

● Resident records

- Organized, Entries legible, dated & signed
- Personal record: SS #, veteran status, marital status, age, sex, health ins, photograph, contact person(s), physician, hospital, pharmacist, NH, emergency instructions, money & valuables entrusted, admit date, transfer date, discharge date, forwarding address, admission agreement, advance directive, Rights
- Medical record: Medical history, consultations, orders, care/services provided, medication administration & errors, special procedures, notes, vaccinations, assessment, plan of care

HOW: Document Review cont.

● **Secure Unit** (12 months of specific information)

- IDT evaluations (prior to admit & quarterly)
- Number of Deaths & Hospitalizations with DX
- Unusual Incidents & complications
- Daily staffing pattern
- Calendar of group activities & attendance (previous 3 months)
- List of decubitus and nosocomial infections
- Annual 100% unit staff inservicing: Alzheimer & related disorders causes, progression & management; Dealing with dysfunctional behavior & catastrophic reactions; safety risks; Assistance with ADL's; Communicating with families & others

Poc

● Plan of Correction Must Include:

- How the deficiency will be corrected
 - The date the deficiency will be corrected
 - Measures or Systemic changes to ensure practice does not recur
 - How corrective action will be monitored
-
- Respond on the right side of the deficiency form
 - Respond within 10 days
 - Sign & date the response
 - Must send the original

● FOLLOW DIRECTIONS IN THE LETTER

The Process

- Schedule & Plan the survey
- Conduct survey
- Document survey
- Mail survey
- Review & accept or reject the PoC
- Follow Up survey

QUESTIONS???

QUESTIONS?

questions?

QUESTIONS

????????????????

Questions?

questions?

QUESTIONS??

QUESTIONS

questions

QUESTIONS?

Questions?????