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# The LTC Survey Process Procedure Guide

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*and*

## Support Resources Manual

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# LTC Survey Process Procedure Guide & Support Resources Manual

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## Overview

This new survey process is an automated process and consists of **26-steps** organized into **seven (7) parts**. Basically, there are three (3) **main** components which includes *The Initial Pool Process*, the *Sample Selection*, and the *Investigation*.

The sample size is based on the facility census. The sample size is generally about 20% of the resident census. The new process has a cap of 35 residents for larger facilities.

One of the most critical components to the survey is the sample. For the new survey process, 70% of the residents will be MDS pre-selected. The team will select 30% of the residents onsite (e.g., vulnerable residents who are dependent on staff, new admissions within the last 30 days, complaints or facility reported incidents (FRIs) which would cover any alleged violation involving mistreatment, neglect, abuse, injuries of unknown origin, and misappropriation of property, and any resident who has a significant concern but does not fall into any of these sub-groups).

The first day of the survey is spent conducting observations, interviews, and a limited record review for the residents in the initial pool.

## Source Data

The primary resources used in the development of this manual have been extracted from the CMS website housing the survey process, critical element pathways, mandatory facility tasks, the State Operations Manual (SOM), and the Federal Register. Each section identifies the source data for the development of that particular section.

The new survey process is an evolving process and no doubt there will be changes and modifications to the system as it is implemented and analyzed over the next year. You are encouraged to check the CMS website often, or use our automated updating process, to ensure you are using the most current survey data.

## QAA/QAPI Committee

The QAA/QAPI committee should become very familiar with this new survey process and how it is conducted. Many of the survey tasks and documents could easily be incorporated into the facility's QAA/QAPI program for use in determining and maintaining compliance.

## Updating

This manual is updated as information is released from CMS via our *automated* updating process. (See paragraph entitled "*Flash Drive*" below.)

## Flash Drive

A *Flash Drive* containing all the components described below, as well as Appendix PP (tag numbers & interpretive guidelines), Chapters 1–10 of the State Operations Manual (SOM), the MDS 3.0 RAI Manual, S&C Letters, and other regulatory compliance guides that are used during the survey process is provided with this manual.

The *Flash Drive* contains an **automated** updating application that permits users to login to our secured cloud-based system and electronically update data files. Instructions for using the automated updating process are contained in the sealed package containing the flash drive.

## Purpose and Organization

The primary purpose for the development of this manual is to provide facilities with resources that can aid them in preparing for the new survey process. While all the data contained in this manual (with the exception of the training program) are housed on several CMS websites, this manual brings all those resources together into one component.

### *Tab 1: The LTC Survey Process Procedure Guide*

This section contains the survey process procedure guide CMS released in September 2017. A table of content has been added to aid in locating survey steps and processes.

### *Tab 2: Entrance Conference Resources*

This section contains the documents the survey team will request and review the first 24-hours in the facility.

### *Tab 3: Mandatory and Triggered Facility Tasks*

This section contains the nine (9) Mandatory Facility Tasks that will be conducted during the survey and the three (3) Facility Tasks that will be conducted if triggered during the survey process.

### *Tab 4: Critical Element (CE) Pathways*

This section contains the critical element pathways that surveyors will use when concerns are noted during the interview, observation, and/or record review process, as well as when prompted by a particular step in the survey process.

### *Tab 5: CMS Facility Assessment Tool*

This section contains the CMS Facility Assessment Tool released in August 2017. The survey team will request a copy of the assessment during the entrance conference. A table of content has been added to aid in locating required components of the facility assessment plan.

### *Tab 6: Immediate Jeopardy and Termination Guidelines*

This section contains *Appendix Q–Guidelines for Determining Immediate Jeopardy* and *§3010–Termination Procedures* surveyors are instructed to *follow* if during the interview, observation, or record review process a significant concern (IJ or Harm) is identified. If *IJ* or *Harm* is identified, the survey team is instructed to conduct an extended survey using the *Extended Survey Task Form (CMS-20091)*. A copy of that form is included in this section.

*Tab 7: Deficiency Citations and Regulatory Groupings*

This section contains the *Psychosocial Outcome Severity Guide* and the *Scope & Severity Grid* that surveyors are instructed to use when recording the final citation and severity decision. This section *also* contains the regulatory grouping of the new and previous survey tags.

*Tab 8: Resident Interview, Observation, & Limited Record Reviews*

This section contains the resident interview, observation, and limited record review forms that identify the care areas and probes surveyors will be using during the initial pool process.

*Tab 9: IDR and IIDR Process*

This section contains §7212 and §7213 of the SOM relative to the IDR and IIDR processes that permit facilities to challenge deficiency citations. IDR and IIDR preliminary worksheets are also included in this section.

*Tab 10: In-Service Training Program*

This section contains the *Instructor's Guide to the New LTC Survey Process In-Service Training Program*. The purpose of the training program is to provide facility staff with an overview of how surveyors will conduct the seven (7) part-26-step process. The PowerPoint slide presentation is located in Folder 12 of the Flash Drive that accompanies this manual. Participant handouts are located at the end of the instructor guide.

