

Components of a Standard Survey

A Standard survey consists of various components which the CMS surveyors investigate in an attempt to show the facility is either in compliance, or not in compliance for regulatory oversight. The components include:

Task One

Offsite Survey Preparation – The surveyors identify and pre-select concerns for Phase 1 of the survey, based on facility specific data. This data includes: quality measure/indicator report, resident level quality measures/indicator reports, special features of the facility, facility characteristics report, prior statements of deficiencies (2567), OSCAR Report 3, OSCAR Report 4, results of complaint surveys, ombudsman concerns, preadmission screening resident review reports (PASRR), event reports and other pertinent data on the facility. During task one the CMS surveyors identify concerns to be investigated and assign surveyors to specific tasks which will be carried out during the survey.

Task Two

Task two is completed onsite at the facility, and consists of the entrance conference, explanation of the survey process, and completion of the initial tour. Documents are provided to the facility, which will include the **LTC Entrance Checklist** and the components of the investigation process begin immediately upon the CMS surveyors entering the facility and will include observations, interviews and record reviews.

Task Three

The initial tour is designed to provide an initial review of the facility, the residents and the staff. The surveyors will obtain an initial evaluation of the environment of the facility, kitchen and confirm or validate the pre-selected concerns. During the initial tour any added concerns may be identified and brought to the survey team later for further investigation.

Task Four

Task four consists of the sample selection and during this time surveyors will use the case-mix stratified sample, along with other factors identified as concerns for the facility, to choose the residents who will be included on the Phase 1 sample listing. The Phase 1 sample also includes pre-selected residents from the off-site sample selection. The Phase 2 sample selection is completed onsite and surveyors will complete this part of the sample selection part of the way through the survey process. Phase 2 represents new concerns identified by the surveyors or further investigation into Phase 1 concerns. For each resident identified in Phase 1 or 2, which may include closed records, the surveyors will identify and complete either a comprehensive or focus review of the care and services provided to the resident.

Task Five

The fifth task is the information gathering process. During this time, CMS surveyors will investigate and gather the information necessary to make decisions concerning whether the facility has met the requirements reviewed during the survey. Task five includes: general observations, kitchen/food service, resident reviews, quality of life assessments, medication pass and pharmacy, quality assessment and assurance review and abuse prohibition. The appropriate use of the regulatory interpretations, definitions, probes and procedures provided in the regulatory guidance (State Operations Manual-Appendix PP) will guide the investigations to determine whether the facility met the requirements.

Task Six

During this task the surveyors will analyze the information for the deficiency determination and decide if an extended survey is necessary and if there is **substandard care**. Each surveyor reviews their data and the survey team collectively discusses and determines deficiencies to be cited. Upon the conclusion of Task 6 the exit conference will be held with facility personnel. The ombudsman and an officer of the organized resident group will be invited to attend the exit conference. Alternate residents may attend if they wish. The process for the exit conference will be discussed with the administrator of the facility prior to the conference occurring.