The New LTC Survey Process

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Revised Nursing Home Survey Process

- Status of revised process
- Background
- Current activities
- Next steps
Background

- State Executives Training Institute (SETI) 2015 & 2016
- S & C Letter 15-40-NH
- Collaborative approach
- Technical Expert Panel (TEP) 2015
Current Activities

• Notice of Proposed Rule Making July 2015
• Preparation for Final Rule
• New Survey Protocol/Testing
• Training Plan
New Survey Protocol

- Computer-based
- Two parts
  - Sample Selection
  - Investigation
New Survey Protocol

• Sample Size = Based on facility census
• Sample Split:
  - 70% offsite using MDS algorithm
  - 30% selected onsite
New Survey Protocol

MDS Algorithm Indicators (70% of the sample):

• MDS indicators covering high risk areas
• Some indicators are paired with certain conditions
• Sample based on prevalence rate

Facility Matrix Report

• Prevalence rate for each MDS indicator
New Survey Protocol

Remaining 30% of the sample:

- Selected onsite by surveyors
- High risk, vulnerable residents
- New admissions in last 30 days
- Active complaints
- Other residents with identified concerns
New Survey Protocol

Sample Selection Process:

- Day 1 = Interview and observe potential sample residents, review record/matrix, as needed
  - Cover QOL and QOC categories
  - Ask questions as you would like
  - Determine if concern warrants investigation
- Day 1/Day 2 = Finalize sample
New Survey Protocol

Investigative Process:

• Remainder of survey = investigating residents and tasks

Facility Tasks:

• Required/Concern specific tasks
• Resident Council Meeting
• New ABN Beneficiary Notice Survey Process
<table>
<thead>
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<th>Year</th>
<th>Month</th>
<th>sf1</th>
<th>sf2</th>
<th>sf3</th>
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<th>sf5</th>
<th>sf6</th>
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New Survey Process
## Implementation Timeline

<table>
<thead>
<tr>
<th>Estimated Implementation Date</th>
<th>Type of Change</th>
<th>Details of Change</th>
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<tbody>
<tr>
<td>Phase 1: November 2016</td>
<td>Estimated effective date of new Nursing Home Requirements for Participation</td>
<td>New Regulatory Language will be uploaded to ASPEN under current F Tags</td>
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<tr>
<td>Phase 2: November 2017</td>
<td>F Tag numbering Interpretive Guidance (IG) Implement new survey process</td>
<td>New F Tag numbers IG Changes Begin surveying with the new survey process</td>
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Implementation

• Communicating with AHFSA about needs and concerns

• Lessons learned from SAs and ROs
  o Lack of resources (budget, surveyors)
  o Technology / computer skills– variable learning curve
  o Group training preferred – promotes consistent messaging
  o Surveyor resources and handouts to use on survey

• Prefer IT onsite support

• Roll Out – Nationally
BLTCC & Training Implications

• Possible Suspension of Traditional and QIS BLTCC – Summer-Fall 2017

• Two additional classes have been added to FY17 schedule

• This will not affect the states ability to hire new surveyors – new surveyors can still go through state training and mentoring

• New BLTCC – January 2018

• A need for States to revise their own State Agency Training materials – material will be released after Final Rule
State Survey Agency Training

State Surveyors—their importance cannot be overstated
Various modes of training
Various levels of readiness
Engaging the surveyors early and often
State Preparation

- Spread the word about changes
- Know the implementation dates –
- Budget for increased training needs
- Review hardware requirements and options
- Review level of IT support for your state survey agency
- Assess surveyor computer skills – start generalized computer training now!
Various modes of communication
Overview of new process
Encouraging providers to be prepared for the survey process
Feedback
Next Steps

• Continue Testing
• Prepare for Training & Implementation
• Communication & Collaboration
New LTC Survey Process