

# Survey Preparedness

# Mock Survey Process

- ▶ Perform at least every quarter
- ▶ Performed by sister facility
- ▶ Performed by various managers in different departments
- ▶ Performed by manager of department
- ▶ Performed at one time as actual survey or one department at a time
- ▶ Unannounced or scheduled
- ▶ Use for QAPI program

# Mock Survey Elements

- ▶ Nursing: Medication and medical record compliance
- ▶ Infection control
- ▶ Environmental
- ▶ Life safety code
- ▶ Personnel
- ▶ Dietary
- ▶ Administration: incidents, postings, activities, policies

# Quarterly Schedule

- ▶ January, April, July, October
  - ▶ Incident, complaint, and infection trends
  - ▶ Chart audits
  - ▶ Personnel audits
- ▶ February, May, August, November
  - ▶ Infection control review
  - ▶ Environment and life safety code review
- ▶ March, June, September, December
  - ▶ Dietary review
  - ▶ Medication compliance review

# Medication Compliance

- ▶ Observe at least two medication passes
- ▶ Handwashing between residents
- ▶ Verification of medication: correct resident, dose, time
- ▶ Documentation of administration
- ▶ Narcotic documentation and count
- ▶ PRN documentation of effectiveness
- ▶ Blood pressure and other parameters measured, documented, and followed
- ▶ Eye drop administration: gloves, handwashing, time between drops
- ▶ Crushed medications have order for crushing
- ▶ Medication aide able to identify medication and reason for use when questioned

# Medication Compliance

- ▶ Audit medication cart and room for three to four residents
  - ▶ Verify orders, MAR, and medication are in agreement
  - ▶ Ensure there are no medications in cart or med room without orders
  - ▶ Ensure there are no orders without medication
  - ▶ Ensure orders match the medication record
- ▶ Verify Glucometer control log is kept up to date
- ▶ Review the pharmacy order and receipt log
- ▶ Review process for drug destruction and documentation
- ▶ Audit four to five narcotic medications to ensure count and documentation is correct

# Medication Compliance

- ▶ Ensure that topicals, eye drops, and external use drugs are kept separate from PO medications
- ▶ Verify that the medication refrigerator has a temperature log that is being kept
- ▶ Verify medication room, key, and cart security
- ▶ Ensure that poison control number is posted in the medication room and drug reference material is available in electronic or paper form
- ▶ Ensure that refrigerated narcotics are locked by two locks
- ▶ Verify that residents on coumadin and digoxin have lab testing completed
- ▶ Ensure that residents self administering drugs have a monthly assessment

# Medical Records

- ▶ Face sheet has the required elements
- ▶ Assessment and service plan completed within 14 days of admission, annually, and on a significant change in condition
- ▶ History and physical completed no more than 30 days prior or 14 days after admission
- ▶ Admission packet has the required documents and signatures obtained
- ▶ Allergies, evacuation, and code status noted on the medical record and easily available to staff
- ▶ Physician statement that appropriate for assisted living
- ▶ Physician orders for all medications
- ▶ TB testing on resident on admission
- ▶ Home health and hospice notes and care plan accessible in building
- ▶ Documentation forms used by the facility should be complete and not have blanks

# Life Safety Code

- ▶ Simulation of actual survey
- ▶ Pull fire alarm
  - ▶ Check for signal receipt at monitoring company
  - ▶ Check for release of doors with manual reset
  - ▶ Check for closure of smoke doors and dampers
- ▶ If have generator, transfer power
  - ▶ Check for it to go off in 11 seconds or less
  - ▶ Release of doors with manual reset
  - ▶ Ensure emergency lighting and plugs working
- ▶ Check battery operated emergency lights
- ▶ Ensure proper operation of exit signs

# Life Safety Code

- ▶ Review life safety book for completion of required drills and inspections
- ▶ Ensure no penetrations in smoke barrier walls following contractor work
- ▶ Ensure emergency/disaster plan up to date with phone numbers and emergency agreements
- ▶ Interview at least three staff members regarding what to do in case of fire and severe weather
- ▶ Review environment for proper storage requirements, cleanliness and good repair of paint, gutters, sidewalks, parking lots, signage, etc.
- ▶ Verify water temperatures between 100 and 120 degrees

# Life Safety Code Book Contents

- ▶ Fire Drills (1 per shift per quarter)
- ▶ Fire and Sprinkler Inspections (every six months)
- ▶ Range Hood Inspections (every six months)
- ▶ Fire Extinguisher Inspections (annually by outside, monthly inside)
- ▶ Fire Marshal Inspection ( annually)
- ▶ Smoke Sensitivity Inspections (every two years)
- ▶ Flame Spread Testing on Flooring, Window Coverings, and Textiles
- ▶ Emergency Lighting and/or Generator Checks (monthly)
- ▶ Water Temperature Checks (monthly)
- ▶ Gas Pressure Testing (when interruption or work on gas service)

# Infection Control

- ▶ Ensure there is an infection control and exposure plan policy
- ▶ Ensure there is a vaccine policy
- ▶ Review the procedure for isolation and universal precautions by questioning at least three staff members
- ▶ Review the supplies available for staff: gloves, soap, gel sanitizer
- ▶ Review the procedure followed for biohazard disposal
- ▶ Inspect rooms and residents for cleanliness
- ▶ Observe staff with linen and trash transport
- ▶ Observe staff providing care
- ▶ Review resident and staff TB testing compliance
- ▶ Review Hep B offer/declination within 10 days of employment
- ▶ Verify the infection control documentation and trending process

# Dietary

- ▶ Ensure staff wearing apron, hair nets
- ▶ Ensure staff keeping temperature logs of food prior to serving
- ▶ Observe staff serving food, handwashing, sanitizing surfaces
- ▶ Check diets and meal time compliance
- ▶ Verify the posted menu is followed
- ▶ Verify residents are provided adaptive equipment and assistance if needed
- ▶ Verify refrigerator and freezer temperature are recorded
- ▶ Ensure items out of original container are dated and labeled and kept only for three days

# Dietary

- ▶ Ensure nourishment refrigerators are in compliance with temperatures, food disposal, labeling, and sanitation
- ▶ Verify storage of items 6 inches from floor and 18 inches from ceiling
- ▶ Ensure damaged cans and chipped/cracked dishware are disposed of
- ▶ Review the current cleaning schedule to ensure compliance
- ▶ Verify that ppm chemical and/or temperatures of dish machine are measured three times a day at first dish run
- ▶ Verify that ppm of chemicals used for pot/pan sink and surface sanitation are recorded and measured for sanitizing requirements
- ▶ Ensure chemicals are stored separately from food and MSDS

# Environmental Services

- ▶ Verify up to date MSDS book
- ▶ Question staff members regarding how to locate MSDS information
- ▶ Ensure housekeeping closet, cart and chemicals are locked
- ▶ Ensure that all containers have proper labels
- ▶ Question staff regarding cleaning procedures to ensure meets infection control standards
- ▶ Inspect rooms: shower, refrigerator, sheets, etc.
- ▶ Inspect grounds: dumpster area, facility furniture and common areas, smoking areas
- ▶ Observe staff handling laundry for handwashing between soiled and clean
- ▶ Verify dryer lint cleaned every shift

# Personnel

- ▶ Review new hire packet
- ▶ Review 10% or five employee files for compliance
- ▶ Verify background checks completed: Criminal history and EMR on hire and annually
- ▶ Verify TB within 14 days, Hep B with 10 days, SB9, and compliance with vaccine policy completed
- ▶ Verify staffing levels are posted in the facility
- ▶ Verify required labor law postings are present

# Personnel

- ▶ Verify required training completed and content:
  - ▶ Manager: 24 hour initial, 12 hour annual, 6 hour for memory care
  - ▶ Care staff: 4 hour for AL and 8 hour for MC initial with 16 hour OTJ and inservice training of 6 hours for AL and 12 hours for MC annually
  - ▶ Activity staff: 17 or more residents part time required with proper training and 6 hours CEU annually
  - ▶ Food service: Safe Serve training
  - ▶ Van driver: Van Safety training
  - ▶ RN delegation training: medication administration and other delegated services

# Administrative and Other Items

- ▶ Required postings are present and up to date
- ▶ Admission packet has all the required items
- ▶ Advertising has facility ID listed
- ▶ Policies have cover sheet and are approved annually
- ▶ Manager and alternate manager designated
- ▶ Staffing posted
- ▶ Activity Calendar complete for the month and if Alzheimer's Certified has the required elements
- ▶ Menu posted for the week