

Task 2: Onsite Preparatory Activities and Entrance Conference

Immediately Upon Entrance to the Facility

1. The team coordinator must do the following (listed in order of priority):
 - a. Request that the person in charge be notified of the team's entrance.
 - b. Introduce the survey team.
 - c. Request an alphabetical resident census with room numbers/units. Request that the facility note residents on the census who are not in the facility, such as, in the hospital, home visit, etc.
 - d. Provide the facility the New Admission Information form. The facility should record on this form all residents who were admitted within the 30 days prior to the date listed on the report and who still reside in the facility. Review the instructions on top of the form. Emphasize that the date of birth must be provided.
 - e. Request a workspace for use by the survey team and briefly explain that electrical connections are required due to use of computers and printers.
 - f. Provide signs announcing the survey. Ask the facility to post the signs in areas easily observable to residents and visitors, announcing that a survey is being performed and that surveyors are available to privately meet with residents or their families/legal representatives.
 - g. Request a copy of the facility's floor plan.
 - h. Request a copy of the staffing schedules for licensed and registered nursing staff for the survey time period.
 - i. Provide a copy of the Facility Entrance Conference Worksheet.
2. The surveyor assigned to complete the Stage I Sample should do the following:
 - a. Set up the primary laptop.
 - b. Begin the sampling task as soon as the alphabetical resident census is provided (follow the Primary Laptop responsibilities as listed on the QIS Checklist).

Entrance Conference

1. After the administrator or designee has provided the resident census and the New Admission Information form, or has arranged for these items to be provided to the team, the team coordinator will meet with the administrator or designee to briefly review the QIS process and answer any questions.
 - a. Inform the administrator of the following:
 - 1) Privately conducted interviews will take place with family members and individual residents unless the interviewees request the presence of a facility staff member.
 - 2) The survey team will be communicating with facility staff throughout the survey and will ask for facility assistance when needed. Advise the administrator or designee that he/she will have the opportunity to provide the team any information that would clarify an issue brought to his/her attention, but there will be no daily conference.

- 3) The survey team will be conducting a complaint investigation, if applicable, during the survey.
- b. Additionally:
 - 1) Provide the facility a copy of the OSCAR 3.
 - 2) Provide the Medicare/Medicaid Application (671) and Resident Census and Conditions (672).
 - 3) Request the facility provide information identifying an emergency water source.
 - 4) Determine whether full-time DON coverage is provided (verbal confirmation is acceptable).
 - 5) Provide the CMS Quality Indicator Survey Demonstration Project brochure.
2. Ask the administrator to provide the following information within one hour of the conclusion of the entrance conference:
 - a. A list of key personnel and their locations.
 - b. The name of the resident council president or an officer/active council member, if there is a resident council or equivalent group.
 - c. A schedule of meal times and the location of all resident dining room(s).
 - d. A schedule of Medication Administration pass times.
 - e. All Admission Sample closed records. Make arrangements for overnight safe storage of the records.
3. Ask the administrator to provide the following information within four hours of the conclusion of the entrance conference:
 - a. A list of residents who receive ventilator, dialysis (whether in or out of the facility), or certified Medicare hospice services and or end of life services (provide the facility the Ventilator, Dialysis, Certified-Medicare Hospice, and/or End of Life Services worksheet on the last page of the Entrance Conference Facility Worksheet).
 - b. If there are residents receiving dialysis within the facility, alert the State Survey Agency's (SA) ESRD survey team that home dialysis is being provided within this LTC facility, informing them of identified home dialysis concerns. The facility should provide the following:
 - 1) Access to the written contract, agreement, arrangement, policies/procedures, and/or plan of care, specifying how care is coordinated.
 - 2) List of Residents' names, room numbers, and name of the End-stage Renal Disease (ESRD) assigned caregiver/technician, (and identify whether this caregiver is provided by the ESRD facility, the Durable Medical Equipment (DME) supplier, or the LTC facility);
 - 3) Days and times each resident will receive his/her dialysis treatment.
 - c. The Influenza/Pneumococcal Vaccination – Policy & Procedures.

- d. A list of rooms that are less than required square footage and/or rooms that have more than four residents (requires a variance). Ask the administrator whether there are rooms below grade, that have no window to the outside, or that have no access to an exit corridor.
 - e. Quality Assurance and Assessment (QAA) committee information (contact person name, member names, and meeting frequency).
 - f. Location of Pre-admission Screening and Resident Review (PASRR) information. Some states may have formal mechanisms to share with the survey agency the results of PASARR screens for residents with mental illness or mental retardation. If this information is available, evaluate whether there are any potential concerns and note names of residents for possible inclusion in the sample.
 - g. A description of any experimental research occurring in the facility.
 - h. Name of contact person for Complaint/Abuse/Grievance.
4. Ask the administrator to provide the following information within 24 hours of the conclusion of the entrance conference:
- a. If the facility is Medicare or Medicare/Medicaid certified, a list of Medicare residents who requested demand billing since the preceding survey (9-15 months) with identification of the residents' payment source(s).
 - b. A list of the five most recent denial notices with the payment source, sent to the residents by the facility.
 - c. Medicare/Medicaid Application (671) and Resident Census and Conditions (672).

Concurrent Activities

During the entrance conference and while waiting to receive the requested information, the following onsite activities should be initiated:

1. Complete the Initial Tour.
2. Begin the process of finalizing the Stage I Sample.
3. Begin the Kitchen/Food Service Observation.
4. Attempt to meet with the resident council president/representative to announce the survey, and set up a time to interview him/her. Ask permission to review the resident council minutes for the past three months. In the rare case of a facility having more than one resident council group, a representative from each group should be interviewed.
5. Begin the Dining Observation, if able to observe a full meal from start to finish.