



State Survey Agency Implementation of the Quality Indicator Survey (QIS)



**New York State Department of Health
Centers for Medicare & Medicaid Services
Nursing Home Quality, LLC**

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Agenda



1. Welcome and Introductions –Katherine Lochary, CMS
2. Background and Development of the Quality Indicator Survey (QIS) – Thomas Kress, CMS
3. National QIS Training Process – Katherine Lochary, CMS
4. Description and Timing of State QIS Implementation – Al LoBalbo, New York State Department of Health, Division of Residential Services, QIS State Lead
5. Comparison of the QIS and Traditional Survey Process – Robin Harper, Director of Training, Master QIS Trainer, Nursing Home Quality, LLC
6. QIS Overview– Robin Harper
7. Questions and Answers

2



What is the QIS?

- Approved Federal nursing home survey process designed and developed to promote consistency, reliability and accuracy
- Uses customized software on tablet PCs to guide surveyors through a two-staged systematic review of regulatory requirements using observation, interview, and record review



QIS Development

- Produced prototype (1998-2005)
- Demonstration and Evaluation (2005-2007)
 - Two teams each in KS, OH, CA, CT, LA
- Develop and refine national training model (2006-2007)
 - Three States: FL, CT, KS
- National implementation State-by-State to replace Traditional survey (2007-present)

What Does the QIS Provide?

- Structured approach to promote more accurate and consistent results
- Larger and more diverse randomly selected samples to obtain a more accurate picture of the residents
- Automation to systematically review regulatory areas, synthesize surveyor findings, enhance investigative protocols, and organize surveyor documentation

Training Requirements for CMS-Certified QIS Trainer



- Be Registered QIS Surveyor
- Successfully complete additional requirements
 - Complete at least six QIS surveys of record
 - Attend Train the Trainer workshop
 - Provide the QIS classroom training
 - Monitor surveyor-students in mock survey
 - Conduct compliance assessment for surveyor-students during a survey of record
 - Remain actively involved in QIS training/surveys
- Documentation in CMS Learning Management System (LMS)




What QIS Is Not

QIS Does Not Represent:



- Change in the Social Security Act
- Change in the Regulations
- Change in Interpretive Guidance
- Change in enforcement process

7

CMS Issued Guidance



- State Operations Manual, Appendix P
- Quality Indicator Survey Training Process
 - State Operations Manual, Chapter 4
- QIS Brochure (S&C 08-21)
- National Implementation Priority Order (S&C 09-50)
- Admin Info: 10-21-NH/QIS

8

Training Requirements for Registered QIS Surveyor



- Prerequisites
 - Proficiency with tablet PC functions and computer skills
 - Completion of certain Web based lessons
- Completion of classroom training
- Participation in mock training survey
- Participation in surveys of record with successful compliance assessment
- Documentation in CMS Learning Management System (LMS)

9

QIS Implementation

- Seventeen currently participating QIS States
 - CT, FL, KS, MN, NM, LA, OH, NC, WV, WA, MD, DE, ME, VT, GA, AZ, CO
 - Surveys of record to date: 4,160



10

Description of State-specific Implementation Plan and Timing

Al LoBalbo - New York State Department of Health,
Division of Residential Services, QIS State Lead
Email: aal02@health.state.ny.us

**please refer to NY State specific powerpoint slides*



11



Quality Indicator Survey: Comparison with Traditional Survey and Overview

Robin Harper
Director of Training
Master QIS Trainer
Nursing Home Quality, LLC



12



Comparison of QIS and Traditional Survey Process

13

Automation



| <u>Traditional</u> | <u>QIS</u> |
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| <p>Information recorded on paper throughout process; computers are used for Statement of Deficiencies (CMS-2567)</p> | <p>Each team member uses a tablet PC to document findings throughout the process; findings are synthesized, organized and loaded to the CMS-2567 by the software</p> |

14

Off-Site Preparation



| <u>Traditional</u> | <u>QIS</u> |
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| <ul style="list-style-type: none"> ➤ Review: <ul style="list-style-type: none"> ➤ OSCAR 3 and 4 Reports ➤ QM/QI Reports ➤ Results of complaint investigations ➤ Pre-select a sample based on above | <ul style="list-style-type: none"> ➤ Review <ul style="list-style-type: none"> ➤ OSCAR 3 Report ➤ Uninvestigated complaints ➤ Random selection of Stage 1 samples from MDS data loaded onto tablet PCs |

15



Onsite Preparation

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| <p><u>Traditional</u></p> <ul style="list-style-type: none"> ➤ Roster/Sample Matrix Form CMS 802 | <p><u>QIS</u></p> <ul style="list-style-type: none"> ➤ Alphabetical resident census with room numbers/units ➤ List of new admissions over the last 30 days |
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16




Initial Tour

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| <p><u>Traditional</u></p> <ul style="list-style-type: none"> ➤ Gather information about pre-selected residents and identify new concerns ➤ Determine whether pre-selected residents are still appropriate | <p><u>QIS</u></p> <ul style="list-style-type: none"> ➤ Brief overall impression of the facility, the residents and the staff ➤ Not intended for sample selection or supplementation |
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17




Sample Selection

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| <p><u>Traditional</u></p> <ul style="list-style-type: none"> ➤ Sample size determined by facility census ➤ Residents selected based on QM/QI percentiles and issues identified offsite and on the initial tour | <p><u>QIS</u></p> <ul style="list-style-type: none"> ➤ Stage 1 sample size: <ul style="list-style-type: none"> ➤ Admission (30) ➤ Census (40) ➤ Stage 2 sample size based on number of triggered care areas ➤ Residents selected by software ➤ Surveyor-initiated sample |
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18




Survey Structure

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| <p><u>Traditional</u></p> <ul style="list-style-type: none"> ➤ Phase I: focused & comprehensive reviews ➤ Phase II: focused reviews | <p><u>QIS</u></p> <ul style="list-style-type: none"> ➤ Stage 1: preliminary investigation ➤ Stage 2: in-depth investigation of triggered concerns from Stage 1 |
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19

QIS Process Made Easy Two Stages: Three Steps






20

Two Stages of QIS

Stage I: Preliminary investigation of regulatory areas to determine resident care areas to determine resident care areas and facility practices for Stage 2 investigation



Stage II: In-depth investigation to determine whether deficient practice exists, document deficiencies, and determine severity and scope

21

Three Steps in Each Stage



1. Sampling (computer-generated)
2. Investigation
3. Synthesis

22

QIS Stage 1



- Sampling - Random census (40) and admission (30) samples
- Investigation - Structured resident, family, and staff interviews; resident observations; chart reviews
- Synthesis - 128 resident-centered and 34 facility-level Quality of Care and Quality of Life Indicators (QCLIs) to identify care areas that exceed national thresholds

23

Stage 1 Triggers for Stage 2 Investigations



| Trigger | Percentage |
|----------------------|------------|
| Resident Observation | 16% |
| Resident Interview | 21% |
| Family Interviews | 8% |
| Staff Interviews | 11% |
| Admission Chart | 13% |
| Census Chart | 8% |
| MDS QIs | 11% |
| New MDS Indicators | 12% |

24

Surveyor-Initiated Sample

Surveyors can initiate an investigation of care issues for any resident or of facility tasks. Because of the large QIS samples, surveyor-initiated investigations are a small part of the process.

25

QIS Facility Tasks



- Completed on every survey:
 - Liability Notices & Beneficiary Appeal Rights Review
 - Dining Observation
 - Infection Control and Immunization
 - Kitchen/Food Services
 - Medication Administration and Drug Storage
 - QAA
 - Resident Council President Interview
- Completed if triggered:
 - Abuse Prohibition Review
 - Admission, Transfer, and Discharge Review
 - Environmental Observations
 - Personal Funds Review
 - Sufficient Nursing Staff Review




26

QIS Stage 2

- Sampling – Three residents per triggered Care Area plus surveyor-initiated residents (e.g., complaints)
- Investigation – Specific or general Critical Element pathway or facility task pathway and interpretive guidelines
- Synthesis – Determine compliance with each Critical Element, document noncompliance at the applicable F tags, determine severity and scope

27

Additional Information

QIS Satellite Broadcast:

<http://surveyortraining.cms.hhs.gov/pubs/VideolInformation.aspx?cid=1082>

QIS Resource Manual:

http://www.uchsc.edu/hcpr/qis_manual.php

QIS Electronic Forms and Worksheets:

http://www.uchsc.edu/hcpr/qis_forms.php

QIS Brochure:

<http://www.cms.gov/SurveyCertificationGenInfo/downloads/SCLetter08-21.pdf>



28