Agenda

1. Welcome and Introductions – Thomas Kress, CMS
2. Background and Development of the Quality Indicator Survey (QIS) – Thomas Kress, CMS
4. Description and Timing of State QIS Implementation – Sharon Lewis, Program Manager, and Sharon Mills, Supervisory Nurse Consultant Long Term Care Team, Health Care Facilities Division
5. Comparison of the QIS and Traditional Survey Process – Tracy Cooley, Master QIS Trainer, Nursing Home Quality, LLC
6. QIS Overview – Tracy Cooley, Master QIS Trainer, NHQ
7. Questions and Answers

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

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
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

Training Requirements for Registered QIS Surveyor

- Prerequisites
  - Proficiency with tablet PC functions and computer skills
- Completion of classroom training
- Participation in mock training survey
- Participation in 2 surveys of record with successful compliance assessment
- Documentation in CMS Learning Management System (LMS)

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)
QIS National Implementation*

Twenty-one currently participating QIS States

CT, FL, KS, MN, NM, LA, OH, NC, WV, WA, MD,
DE, ME, VT, GA, AZ, CO, NY, NE, IN, UT

*as of presentation date

Description of State-specific Implementation Plan and Timing

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Quality Indicator Survey: Comparison with Traditional Survey and Overview

Tracy Cooley
Master QIS Trainer
Nursing Home Quality, LLC

Comparison of QIS and Traditional Survey Process

<table>
<thead>
<tr>
<th>Automation</th>
<th>QIS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Traditional</td>
<td>QIS</td>
</tr>
<tr>
<td>Information recorded on paper throughout process; computers are used for Statement of Deficiencies (CMS-2567)</td>
<td>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</td>
</tr>
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Off-Site Preparation

<table>
<thead>
<tr>
<th>Traditional</th>
<th>QIS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review:</td>
<td>Review:</td>
</tr>
<tr>
<td>• OSCAR 3 and 4 Reports</td>
<td>• OSCAR 3 Report</td>
</tr>
<tr>
<td>• QM/QI Reports</td>
<td>• Uninvestigated complaints</td>
</tr>
<tr>
<td>• Results of complaint investigations</td>
<td>• Random selection of Stage 1 samples from MDS data loaded onto tablet PCs</td>
</tr>
<tr>
<td>Pre-select a sample based on above</td>
<td></td>
</tr>
</tbody>
</table>

Onsite Preparation

<table>
<thead>
<tr>
<th>Traditional</th>
<th>QIS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Roster/Sample Matrix Form CMS 802</td>
<td>Alphabetical resident census with room numbers/units</td>
</tr>
<tr>
<td></td>
<td>List of new admissions over the last 30 days</td>
</tr>
</tbody>
</table>

Initial Tour

<table>
<thead>
<tr>
<th>Traditional</th>
<th>QIS</th>
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</thead>
<tbody>
<tr>
<td>Gather information about pre-selected residents and identify new concerns</td>
<td>Brief overall impression of the facility, the residents and the staff</td>
</tr>
<tr>
<td>Determine whether pre-selected residents are still appropriate</td>
<td>Not intended for sample selection or supplementation</td>
</tr>
</tbody>
</table>
Sample Selection

**Traditional**
- Sample size determined by facility census
- Residents selected based on QM/QI percentiles and issues identified offsite and on the initial tour

**QIS**
- Stage 1 sample size:
  - Admission (30)
  - Census (40)
- Stage 2 sample size based on number of triggered care areas
- Residents selected by software
- Surveyor-initiated sample

Survey Structure

**Traditional**
- Phase I: focused & comprehensive reviews
- Phase II: focused reviews

**QIS**
- Stage 1: preliminary investigation
- Stage 2: in-depth investigation of triggered concerns from Stage 1

QIS Process Made Easy

Two Stages: Three Steps
Two Stages of QIS

Stage 1: Preliminary investigation of regulatory areas to determine resident care areas and facility practices for Stage 2 investigation.

Stage 2: In-depth investigation to determine whether deficient practice exists, document deficiencies, and determine severity and scope.

Three Steps in Each Stage

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

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.
Surveyor-Initiated Sample

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

QIS Facility Tasks

- **Completed on every survey:**
  - Dining Observation
  - Infection Control & Immunizations
  - Kitchen/Food Service Observation
  - Liability Notices & Beneficiary Appeal Rights Review
  - Medication Administration Observation
  - Medication Storage
  - Quality Assessment and Assurance Review
  - Resident Council President/Representative Interview
- **Completed if triggered:**
  - Abuse Prohibition Review
  - Admission, Transfer, and Discharge Review
  - Environmental Observations
  - Personal Funds
  - Sufficient Nursing Staff Review
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

Additional QIS Resources

**CMS QIS Satellite Broadcast**

**QIS Electronic Forms and Worksheets**
https://www.qiso.com.html