

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

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

December 13, 2010




Agenda

1. Welcome and Introductions – Susan Joslin, CMS
2. Background and Development of the Quality Indicator Survey (QIS) – Susan Joslin, CMS
3. National QIS Training Process – Susan Joslin, CMS
4. Description and Timing of State QIS Implementation – Nancy Adams, Indiana State Department of Health, 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




3

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

➤ Nineteen currently participating QIS States

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



10

Description of State-specific Implementation Plan and Timing

Nancy Adams – Indiana State Department of Health, QIS State Lead
Email: nadams@isdh.in.gov



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>
<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>
<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

<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
--	---


16


Initial Tour

<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
--	--


17


Sample Selection

<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
---	--


18


Survey Structure

<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
--	---




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/Videoinformation.aspx?cid=1082>

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

Indiana State Department of Health QIS webpage:
<http://www.in.gov/isdh/25023.htm>



28
