# Patient/Client Record Review

˝ Formulate detailed notes

˝ Will request copies of certain documents

˝ May choose other patient/client records to review based on what found so far in record review

# Clinical Record Review

˝ Preparing for Survey:

. When choosing records for agency chart audits, select records based on the case mix selected by Inspectors.

˝ Who are your high risk/problem prone patient/clients?

. Select a time frame of review and read every note, focusing on content, not just presence of forms. Ask yourself if staff assessed, coordinated and documented appropriately.

# Home Visits

˝ The number of home visits completed varies based on type of survey, size of agency, and the number and nature of issues found

˝ Focus is on infection control, compliance with plan of care/service plan, follow through on issues and coordination of care

# Home Visits

˝ Will compare medications in the home with plan of care and interim orders (Medical)

˝ Will review admission folder

˝ Often used as an opportunity to interview patient/clients and staff

# Home Visit Tips

˝ The inspector might request the visit documentation

˝ Representative from agency administration can accompany inspector on visit

˝ Staff can verbalize if they did something incorrectly or forgot a step

# Personnel File Review

˝ Sample selection:

- . All staff that were accompanied on home visits
- . A sample of staff from patient/client chart reviews
- . Staff named in complaint allegations
- . Staff involved in delegation cases
- . Recently hired CNAs/PCWs
- . Administrative staff

# Personnel File Review

Focus is on rules/regulations pertaining to personnel requirements:

- DOH
- References
- DORA check
- Criminal Background check
- Initial orientation
- Competency evaluation

# Personnel File Review

Focus is on rules/regulations pertaining to personnel requirements:

- Job description
- Ongoing education
- Performance reviews
- Disciplinary action
- Date of separation

# Personnel File Review

˝ Preparing for survey:

- Regularly audit charts, particularly staff on delegation cases/expanded scope, staff with disciplinary action/named in complaints or incidents, and newly hired CNAs/PCWs.

- Be aware of the staff that will likely have their files reviewed during the survey. Ensure all documents are filed in the record if not already done.

# Policy Review

˝ Implementation of necessary policies

˝ Comparison of agency practice with written policies

˝ If you don't have a policy for a certain subject, they will interview you and your staff about the agency's expectations

# Policy Review

˝ Policies that are specifically required:

- Reconciliation of background checks
- Complaint processing
- Employee health
- Missed visits  - planning for coverage of staff
- Obtaining orders when attending care provider doesn't respond timely
- PAC – criteria for calling additional meetings
- Nurse delegation
- Monitoring and administering controlled substances

# Quality Management

˝ The relicensure survey will focus on the agency's quality management program including:

- An evaluation of the quality management plan

- Implementation of the plan

- Effectiveness of the plan and the program

# Staff Interviews

˝ Conducted to find out more about systems: verbal orders, electronic records, wound care documentation, falls, CNA/PCW competencies, etc.

˝ Also conducted to get more information about findings from chart review, complaint/incident review and home visits.

# Staff Interviews

˝ Preparing for Survey:

- . Interview your staff after conducting chart audits or home visits. Ask them to answer any questions you might have. Ask them to explain agency processes.

- . Ensure you and your staff are familiar with agency policies

# Decision Making

˝ Will deficiencies be cited?

˝ CMS survey: standard vs. condition level deficiencies. Sanctions?

˝ Licensure survey: standard vs. substantially out of compliance. Actions against license?