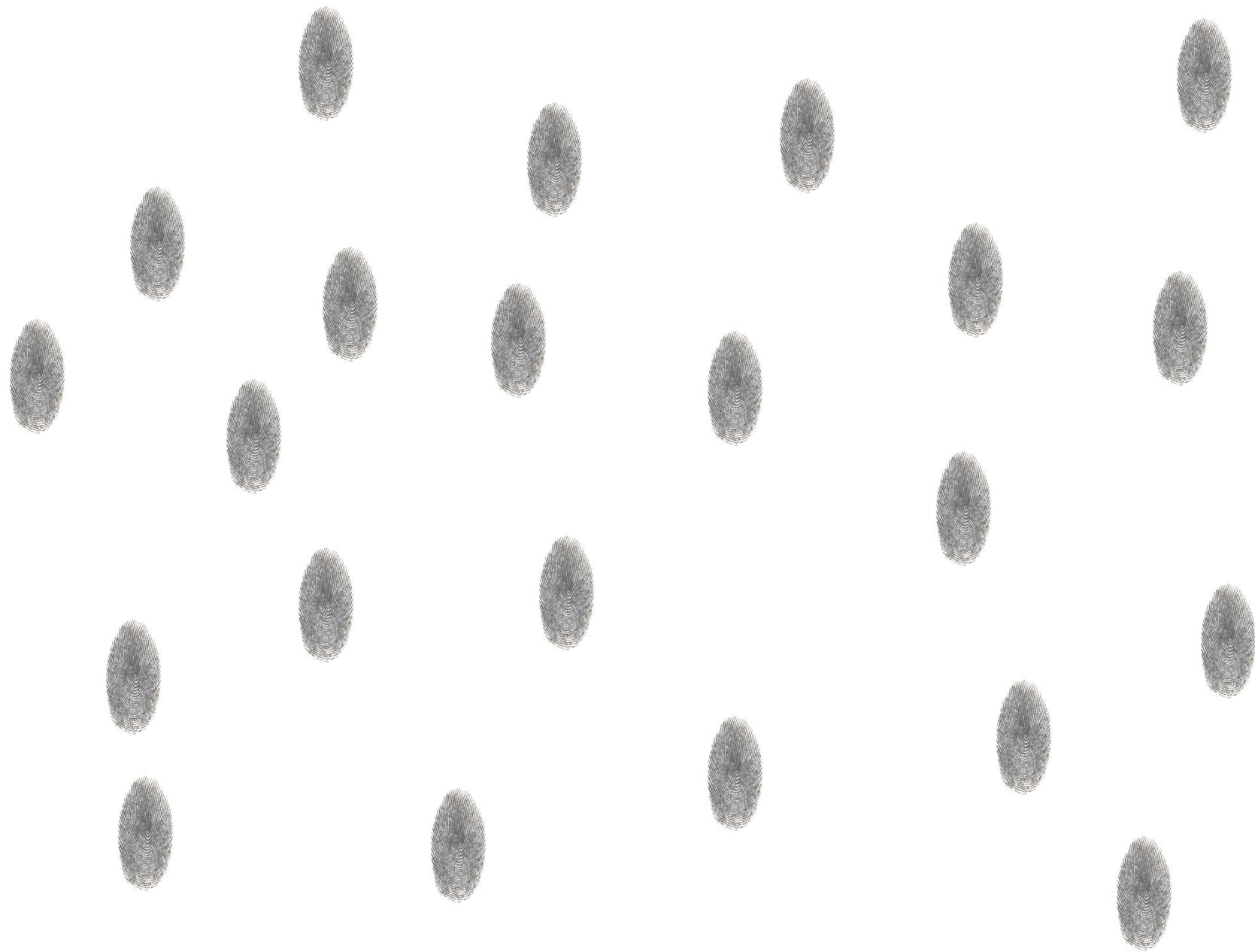


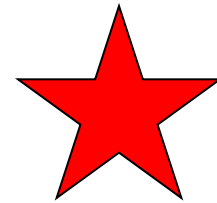
# The Assisted Living NEW

## Survey Process!!





When you see this



It means a very new  
concept!

# Why change the survey process?



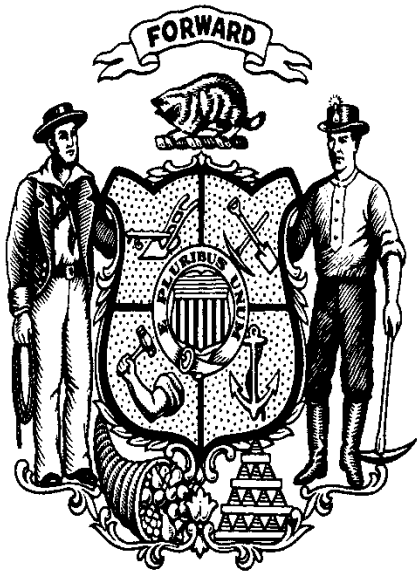
- Effective use of resources
- Regulatory flexibility
- Treat facilities with good compliance history differently
- Incorporate national trends, technical assistance, standards of practice
- Incorporates collaboration among various agencies
- Consistent process for all 4 provider groups

# How did we get here?

- Primary goal of the assisted living section
- Listened to the provider community, the advocates, field staff, sister bureaus, counties and our Department and Division leadership
- Researched what other states were doing
- Had a number of meetings over 6 month period



# Assisted Living Survey Process Overview



- Reasonable and consistent
- Encourages compliance
- Maintains accountability
- Promotes public health and safety
- Fosters quality of life
- Promotes provider responsibility
- Promotes regulatory agency responsibility
- Fosters collaboration among the various agencies
- Supports consumer awareness, responsibility and satisfaction
- Promotes consumer independence and choice
- Protects vulnerable adults

# The Survey Process:

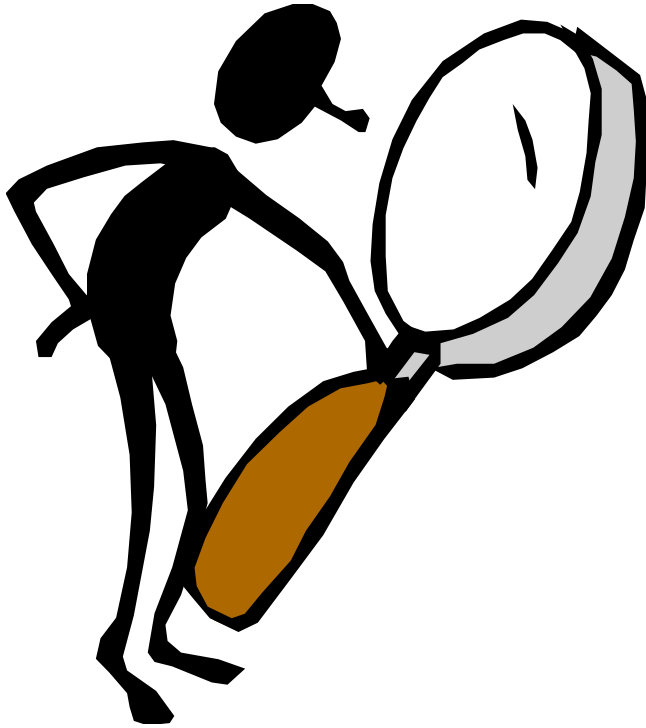
- Determines compliance with Wisconsin Administrative code for CBRFs, AFHs and RCACs and the Certification Standards for ADCs
- Outcome based
- Identifies core areas based on the potential to affect consumer outcome
- Efficiently identifies deficient practices using limited resources of the department.
- Allows flexibility

# Regulatory Categories

- Structure Requirement - refers to what the facility must have in place to function.
- Process Requirement - refers to activities with which the facility must comply to participate in the licensed/certified program.
- Outcome Requirement - reflects the processes that are experienced by the consumer that affect their quality of life and care.



# A Closer Look ...



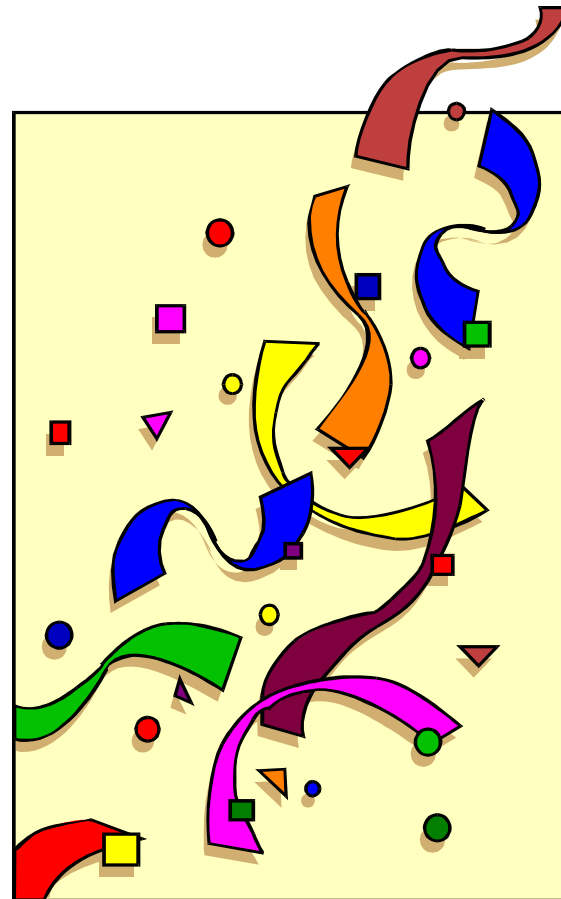
- Outcome Based
- Core Areas
- Survey Types
- Survey Tasks

# Outcome Based ...

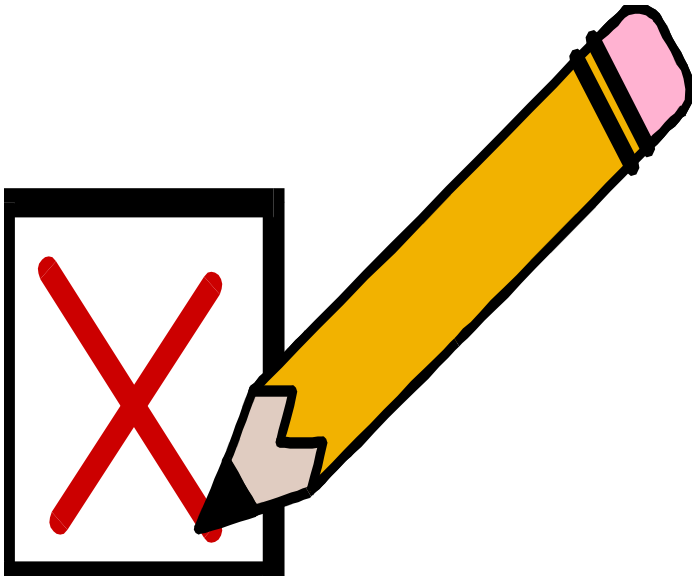
- Can be positive or negative
- Focuses on quality of life and quality of care
- Promotes consumer, staff and family member participation
- Promotes consumer choice
- Reflects services experienced by the consumer

# Desirable Outcomes

- safety
- individualization
- dignity
- health
- inclusion
- relationships
- social connections
- community integration
- personal growth
- self-determination
- consumer satisfaction



# Core Areas



- Rights
- Services
- Nutrition and Food Service
- Physical Environment and Safety
- Staff Training
- Medication

Key codes are identified within the core areas



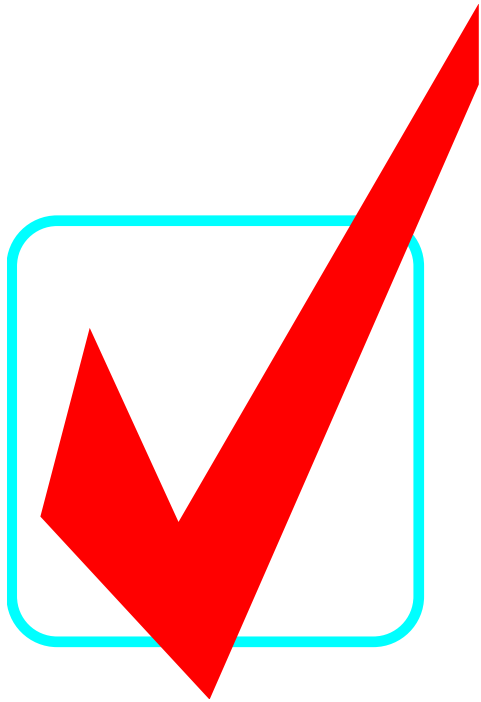
# Key Codes

- Highest potential to affect outcome related to quality of life and quality of care
- If a concern with a key code is identified the core area may be expanded
- Key codes are identified within each of the four provider groups

# Principle Focus of the Survey

- **Interview, Interview, Interview**
- **Observe, Observe, Observe**
- Record review to confirm or resolve compliance issues

# Survey Types



- Initial
- Standard
- Abbreviated
- Complaint
- Verification
- Monitoring
- Self Report



# Initial Survey Process



- Used for the issuance of a new license or certification
- Emphasis on structural requirements
- Determine compliance with identified process requirements
- Strong emphasis on the provision of technical assistance





# Standard Survey Process

- Used for facilities that do not meet the criteria for an abbreviated or initial survey.
- Observation and interview techniques are primary means of data gathering.
- Record review is completed to determine compliance with identified process requirements and to further investigate concerns identified by observation and interview.

# Standard Survey Process Tasks

1. Off-site review
2. Introductory meeting with staff in charge
3. Tour
4. Sample selection
5. Observations
6. Interviews
7. Record review
8. Safety code review
9. Technical Assistance and recognition of Standards of Practice
10. Exit conference

# INTRODUCTORY MEETING WITH STAFF IN CHARGE-task 2



Purpose:

- make introduction
- explain the survey process
- request needed materials using the Entrance Checklist ★
- provide the Survey Guide ★
- provide the Post Survey Questionnaire ★

# OBSERVATIONS-task 5



- This task builds on general observations made during the tour.
- It focuses observations on the sampled consumer.
- Make observations during meal times, activities of daily living and programming.
- Observe medication system. ★
- Observe kitchen.
- Observe for homelike environment and safety concerns.

# INTERVIEWS-task 6

## Consumer, Family Member and Staff

### **Purpose**

- To learn about satisfaction and how service quality and delivery is perceived.
- To clarify information gathered during observations.



# TECHNICAL ASSISTANCE AND STANDARDS OF PRACTICE-task 9

This task is intended to improve quality of life and care by adding value to the regulatory process.

# Technical Assistance

- interpretation of requirements;
- guidance related to consumer quality of life and care;
- review of provider systems, processes and policies within the context of regulatory requirements;
- provision of information regarding non core code issues;
- provision of information regarding new or innovative programs adding quality of life and care;
- provision of information related to available resources

# STANDARDS OF PRACTICE

## **Standards of Practice:**

- apply to all provider types,
- are authoritative statements or guidelines,
- are nationally recognized,
- serve as a standard of measure or value

## **Standards of Practice may be promoted by:**

- providing resource materials,
- acknowledging the positive impact of standards of practice on quality of life and care
- recognizing the successful use of standards of practice.



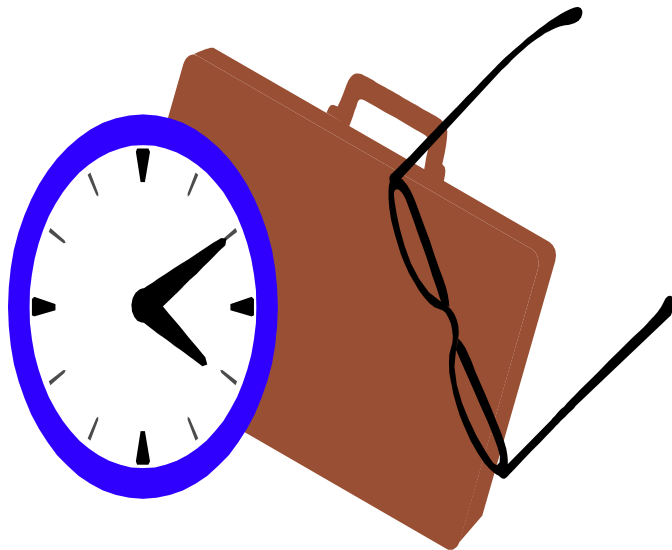
# EXIT CONFERENCE-task 10



Objective:

- This is a meeting to explain preliminary findings and areas of concern.

# Abbreviated Survey



- Recognize facilities with good compliance history
- Use all senses - if it feels good, looks good, smells good, sounds good... move on!

# ABBREVIATED SURVEY PROCESS CRITERIA

- No enforcement within the last 3 years,
- No substantiated complaints w/ a statement of deficiency within the last 3 years,
- Facility has been licensed for at least 3 years

# ABBREVIATED SURVEY PROCESS TASKS

1. Offsite Review - Same as standard
2. Introductory Meeting with staff in charge - Same as standard
3. Tour  
....No sample selection
4. Observations
5. Interviews
6. Record Review
7. Safety Code Review - Same as standard
8. Technical Assistance and recognition of Standards of Practice - Same as standard
9. Exit Conference - Same as standard

# DECISION MAKING

- The surveyor will review survey findings in each of the core areas focusing on key codes to identify the deficient practice(s)
- Non key codes may be cited in certain situations in consultation with the RFOS
- Surveyor prepares documents
- Supervisor reviews documents
- Enforcement action reviewed by enforcement specialists
- OLC consultation if needed
- Documents mailed within 30 days
- Courtesy copies of SOD, enforcement send to ombudsman, county, family care, OSF & program Bureaus



# Possible Results of Survey

- **No deficiencies**
- **Notice** - Used for isolated incidents of non-compliance that:
  - result in no more than minimal harm, or
  - have potential for no more than minimal harm, or
  - do not indicate a breakdown in facility systems.

\* A notice can be issued in combination with any survey results
- **Statement of deficiency** - Used to identify incidents of non-compliance that:
  - result in more than minimal, but not serious harm, or
  - have potential for more than minimal harm, but not serious harm, or
  - indicate a breakdown in facility systems.
- **Statement of deficiency with enforcement** - Used to identify incidents of non-compliance that:
  - result in serious harm, or
  - have potential for serious harm, or
  - indicate a breakdown in facility systems that could lead to serious harm, or
  - meet the criteria identified in the Assisted Living Enforcement Procedures and Guidelines.



# Assisted Living Web pages

<http://www.dhs.wisconsin.gov/bqaconsumer/AssistedLiving/AsLivindex.htm>

