

NURS LTCE 1-750

Federal Survey Procedures for Long-Term Care Facilities

Nursing Continuing Education

This continuing nursing education activity was approved by the North Carolina Nurses Association, an accredited approver by the American Nurses Credentialing Center's Commission on Accreditation.

2.75 CREDIT HOURS

Click on any topic below

[*Which nurses should take this course?*](#)

[*Why knowing these procedures is key for nurses in geriatrics*](#)

[*What you will learn*](#)

[*Disclosure statement*](#)

[*Qualified planner and faculty*](#)

Which nurses should take this course?

The target audience for this course is registered nurses who work in or have special interest in the field of long term care.

Why knowing these procedures is key for nurses in geriatrics

Nurses in the long term care setting need to understand the survey procedures and requirements for the facilities in which they work. Knowledge of what the federal surveyors will be looking for when they annually survey the facility will enable the nurse to participate in the survey process in a way that enhances the quality of care given in the facility.

What you will learn

Each learner will name the differences among the two types of standard surveys, the Extended Survey, an abbreviated Standard Survey and a Partial Extended Survey.

Each student will identify the nine tasks of the Quality Indicators Survey (QIS) standard survey.

Each learner will identify the analysis of scope and severity used by surveyors in making final judgments about the facility's survey.

What you will learn

The differences among

- the two types of standard surveys,
- the Extended Survey
- An abbreviated Standard Survey
- A Partial Extended Survey

You will learn the following nine tasks surveyors in your facility will use during each year's required survey.

*The **Quality Indicators Survey (QIS)** standard survey consists of the following **Nine Tasks***

Task 1: Offsite Survey Preparation:

- *Offsite Survey Preparation and Initial Sampling*

Task 2: Onsite Preparatory Activities and Entrance Conference

- *Prior to the Entrance Conference*
- *Entrance Conference*
- *Possible Off Hours Activities*

Task 3: Initial Tour

- *Tour*

Task 4: Stage I Survey Tasks

- *Finalize Sample Selection*
 - *Stage I Sample Selection Procedures*
- *Stage I Team Meetings (first meeting)*
- *Stage I Information Gathering*
- *Stage I Admission Sample Review*
 - *Medical Record Review*
- *Stage I Census Sample Review*
 - *Resident Interviews*
 - *Resident Unavailable for Interviews*
 - *Resident Observations*
 - *Staff Interviews*
 - *Medical Record Review*
 - *Family Interviews*

Task 5: Non-Staged Survey Tasks

- *Resident Council President/Representative Interview*
- *Dining Observation*
- *Kitchen/Food Service Observation*
- *Infection Control Policies and Practices*
- *Demand Billing Review*
- *Abuse Prohibition Review*
- *Quality Assessment and Assurance (QA&A Review)*

Task 6: Transition From Stage I to Stage II

- *Update the Resident Pool*
- *Review Completion of Stage I*
- *Review Surveyor-Initiated Residents and/or Care Areas*
- *Import All Data into the Primary Laptop*
- *Review the Relevant Findings Report*
- *Review the QCI Results Report*
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Task 7: Stage II Survey Tasks

- *Introduction*
- *Team Meetings*
- *Stage II Sample Selection*
 - *Substituting Residents*
 - *Supplementing the Sample*
- *Staff Assignments*
- *Stage II Information Gathering*

- *Stage II Critical Element Pathways*
- *Medication Administration Observation and Unnecessary Drug Review*
- *Facility-Level Investigations*
 - *Environmental Observation*
 - *Resident Funds*
 - *Admission, Transfer, and Discharge Review*
 - *Sufficient Staff*
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Task 8: Analysis and Decision-Making: Integration of Information

- *Integration of Facility-Level Information*
- *Integration of Critical Element Pathways*
- *Analysis of Information Gained*
- *Analysis of Scope and Severity and Team Decision-Making*

Task 9: Exit Conference

When you finish this course you will understand the survey procedures that will be used in the facility you administer during each annual survey.

To think about as you read

In what ways can the facility staff prepare in advance for this survey process?

Disclosure Statement

Successful completion of this online course requires learning the reading materials, passing the multiple choice examination with 70% or more correct answers, and completion of the course evaluation form. Upon completing the above the student will be able to print out the course certificate.

We believe no conflict of interest exists for this course. A conflict of interest exists when an individual has the ability to control or influence the content of an educational activity and has a financial relationship with a commercial interest, the products or services of which are pertinent to the content of the educational activity. Commercial interest is defined by ANCC as any entity producing, marketing, reselling, or distributing healthcare goods or services consumed by or used on patients, or an entity that is owned or controlled by an entity that produces, markets, resells, or

distributed healthcare goods or services consumed by or used on patients. Long Term Care Education exists solely to provide educational courses and has no commercial ties of any kind to any commercial interest. Mr. John Gotelli, the lead nurse planner for Long Term Care Education, is an employee of University of North Carolina Hospitals, Medicine/Geriatric Services where he serves as a Geriatric Nurse Practitioner (2006 to present). He has no financial interest of any type with the university hospital system other than as a salaried employee. No financial or personal relationship exists that would present a conflict of interest in the content of this educational activity.

No sponsorship or commercial support or relationships exist for this course. Participation in this course does not imply endorsement by the provider or NCNA of any commercial products. No activity relates to any produce use for a purpose other than that for which it was approved by the Food and Drug Administration.

The expiration date for awarding contact hours is September, 2015.

Title of Activity: _ NURS LTCE 1-750

Federal Survey Procedures for Long-Term Care Facilities

Identified Gap(s): _Nurses in long term care do not fully understand what Survey teams do.

Description of current state: _Most nurses in long term care have never studied the Federal Survey manual.

Description of desired/achievable state: Nurses who take this course will know what to expect when the federal survey team arrives to inspect a long term care facility

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| <p>Purpose: (write as an outcome statement, e.g. "The purpose of this activity is to enable the learner to.....")</p> <p>The purpose of this activity is to enable learner to know exactly what steps the federal surveyors will take while inspecting their Facility.</p> | | |
| OBJECTIVES | CONTENT (Topics) | AUTHOR |
| List learner's objectives in behavioral terms | Provide an outline of the content for each objective. It must be more than a restatement of the objective. | List the author for each for each objective. |
| 1. Learner will be able to identify the nine surveyor tasks | Learner will identify the nine survey tasks: Offsite Preparation Onsite entrance Initial tour Stage 1 survey tasks Non-staged survey tasks Stage two transition Stage two survey tasks Analysis and decision Exit conference | See below |
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| | | |
| <p>List the evidence-based references used for developing this educational activity:</p> <p>Allen, James E. 2011. Nursing Home Federal Requirements 7th ed Springer Publishing, New York.</p> | | |

Gap to be addressed by this activity:

Knowledge Skills Practice Other:

Describe: The learner will know the steps required by Medicare for each survey visit.

Method of calculating contact hours:

Pilot Study Historical Data Complexity of Content
 Other: Describe 12,000 wds per credit

Estimated Number of Contact Hours to be awarded: 2.5

Completed By: Name and Credentials James E. Allen, Ph.D., MSPH, NHA
Date 9-09-2013

Qualified planner and faculty

QUALIFIED PLANNER AND FACULTY

The qualified planner for this course is

John M. Gotelli, MSN, NP
University of North Carolina Hospitals, Medicine/Geriatric Service
Geriatric Practitioner
Nurse Practitioner licensed in the State of North Carolina
Geriatric Nurse Practitioner, ANCC Certified

Mr. Gotelli is enjoying a successful career in nursing and nursing education.

John M. Gotelli, MSN, NP
 1100 Joseph Johnston Ct
 Hillsborough, NC 27278
 jgotelli@unch.unc.edu

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| Education | Vanderbilt University School of Nursing, Nashville, TN Master of Science in Nursing (August 2000) Gerontology Nurse Practitioner Specialty |
| | Vanderbilt University School of Nursing, Nashville, TN Basic professional nursing component of the MSN program (August 1999) |
| | University of California, Davis, CA Bachelor of Arts, Psychology (June 1992) |
| Licensure and February 20013 Certification | Nurse Practitioner, licensed in the state of North Carolina through Geriatric Nurse Practitioner, ANCC Certification through September 2015 |
| Work Experience | University of North Carolina Hospitals, Medicine/Geriatric Service <u>Geriatric Nurse Practitioner</u> (July 2006 to present) Clinical responsibilities: <ul style="list-style-type: none"> • Round daily with the medical team • Perform comprehensive geriatric evaluations on acutely ill hospitalized patients admitted to the geriatric service • Ensure problems such as poly-pharmacy, delirium, pressure sores, psychosocial issues, immobility and incontinence are addressed • Facilitate interdisciplinary rounds (social work, nutrition, case management and Recreation therapy) |

Leadership and Administrative responsibilities:

- Serve as consultant to staff nurses hospital wide for geriatric clinical issues
- Organize and implement curriculum for Geriatric Resource Nurse Program (also open to Nursing Assistants). A two day program which introduces staff to essential bedside geriatric care.
- Implement Continuous Quality Improvement (CQI) Projects related to geriatric clinical issues.
- Serve on various hospital committees: restraint reduction committee; nursing research council
- Improve continuity of care for seniors living in community retirement homes/health centers through collaborative initiatives between health systems
- Serve as Adjunct Faculty for University of North Carolina, Chapel Hill School of Nursing to foster relationship between UNC hospital and the nursing school
- Clinical tutor for 2nd year medical students Introduction to Clinical Medicine Course, UNC School of Medicine – 2007 and 2008
- Implemented Nursing Rounds, a collaboration between UNC School of Nursing and 8 bed tower to enhance nursing sensitive patient outcomes

Veterans Administration, Charlotte Community Outpatient Clinic
Nurse Practitioner, Primary Care Service Line (2000 – 2006)

- Provided primary care services to a veteran population with the collaboration of three physicians
- Managed a patient panel size of approximately 850
- Performed comprehensive history and physical examinations; ordered and interpreted laboratory and imaging diagnostic studies; maintained preventive health activities; coordinated a plan of care for episodic and chronic health conditions; communicated plan of care to patient and family members; ordered appropriate therapies including medications
- Coordinated care with other healthcare systems to ensure appropriate follow up and avoid duplication of services

Center for Social Services, San Diego, CA
Benefits Specialist/Case Manager (1997-1998)

- Provided public and private benefits counseling to San Diego residents and their families infected with and affected by HIV/AIDS
- Assisted in primary screening to access Social Security, SSI, Medi-Cal, Medicare, as well as Ryan White funded HIV clinics
- Participated in a comprehensive county wide Needs Assessment Survey
- Enrolled eligible participants and managed daily operations of the AIDS Drug Assistance Program

AIDS Foundation San Diego, San Diego, CA

Benefits Specialist (1996-1997)

- Duties were same as above

Case Manager (Temporary position from February – August 1996)

- Developed long-term case management treatment plans with clients and their families affected by HIV/AIDS
- Collaborated with medical providers in managing client illness as it related to social well-being
- Facilitated referrals to clinics, private medical practices, clinical drug trials, and community organizations

Honors and Affiliations

- Nursing Recognition Award presented by UNC Department of Medicine -2012
- North Carolina “Top 100” Nurses Award - 2009
- Adjunct Faculty, University of North Carolina Chapel Hill School of Nursing
- Member of the Gerontological Society of America
- Outstanding Geriatric Nurse Practitioner Student for the year 2000 class
- 1999 Luther Christman Award: Presented to the first year student with the most outstanding clinical skills

Publications and Presentations

Gotelli, J., Neelon, V., Carlson, J. (2010) Delirium and Functional Decline by Discharge in Acutely Ill Hospitalized Elders. Abstract presentation at 2010 Gerontological Society of America Annual Conference.

Gotelli, J., Merryman, P., Carr, C., McElveen, I., Epperson, C., & Bynum, D. (2008)

A Quality Improvement Project to Reduce Complications Associated with Indwelling

Urinary Catheters. *Urologic Nursing*, 28 (6), 465-467, 473.

Center for Life Long Learning, UNC School of Nursing. *Geriatric Pharmacology* (2012)

Chapel Hill, NC

North Carolina Statewide Program for Infection Control and Epidemiology (SPICE)

Urinary Tract Infections in the Elderly. (2012) Chapel Hill, NC

North Carolina Association of Recreational Therapists 2007 Annual Meeting. *Delirium*

and Dementia. (2007) Greenville, NC

Pain Specifics. *Pain in the Elderly*, UNC Hospitals Nursing Practice and Education Seminar. (2006) Chapel Hill, NC

Presented findings from the Summary of the Seventh American College of Chest Physicians Conference On Antithrombotic and Thrombolytic Therapy, CHEST 2004; 126 : 1635-6965, Charlotte VA Community Based Outpatient Clinic, September 2005

Research Interests Geriatric Syndromes – delirium, cognitive and functional decline, falls.

Mr. Gotelli has had a wide variety of nursing responsibilities in several health care setting over the past fifteen years including lecturing in the North Carolina Statewide Program for Infection Control.

Mr. Gotelli and Dr. Allen work together to identify continuing education course topics which are relevant to the needs of nurses currently practicing in a variety of nursing setting.

Dr. Allen has attended the North Carolina Statewide Program for Infection Control and Epidemiology over the past decade and is an Infection Control Practitioner in the State of North Carolina.

Dr. Allen has over three decades of teaching health care administration at the UNC-CH School of Public Health. Over the years his courses have been attended by UNC-CH School of Nursing students and students from the UNC-CH School of Medicine.

Dr. Allen's text is a core medical title in the nursing field

Text selected as 2011 (and again May, 2013) Doody's Core Medical Title

Nursing Home Administration, the text on which the courses on this website are based has been chosen as one of only five 2011 **core medical titles** in *the nursing field* being recommended by the library association for Health Sciences Libraries to add to their collection.

A "Core Medical Title" is defined as "...a book or software title that represents essential knowledge needed by professionals or students in each [healthcare] discipline and is highly recommended for the collection of a library that serves health sciences specialists."
(The other titles are: *Compact Clinical Guide to Chronic Pain; Dictionary of Nursing Theory and Research; Family Practice Guidelines; Nursing Interventions Through Time*).

Biographical sketch: James E. Allen

Education:

B.A., University of Arizona
S.T.M., Boston University
Ph.D., Boston University Graduate School
M.S.P.H. University of North Carolina at Chapel Hill

Professional Certifications License:

NHA -- licensed nursing home administrator,
State of North Carolina, License 812.
Certified Long Term Care Infection Control Practitioner, UNC-CH.
Consultant to law firms in North Carolina, South Carolina, Florida, Texas, Kansas,
Connecticut, South Dakota and West Virginia.

Current Position:

President: Long Term Care Education.com (an education website)
longtermcareeducation.com
jamesallen@unc.edu; jeallen@mindspring.com

(Professor of Health Policy and Management, Emeritus
Department of Health Policy and Management,
School of Public Health, University of North Carolina at Chapel Hill
706 Greenwood Road, Chapel Hill, NC 27514-5923 email: jamesallen@unc.edu
Ph. Long Term Care Education: 919-815-0387 Fax 919-933- 6825)

Publications:

Thirty journal articles, over 100 published book reviews, five books. Most recent books:

NURSING HOME ADMINISTRATION, 6th Ed, New York: Springer Publishing Company, (www.springerpub.com) 2011, 700+ pp. (The standard text in the field for over 30 years, recently named as the leading text for nursing home administrators).

THE LICENSING EXAM REVIEW GUIDE IN NURSING HOME ADMINISTRATION, New York: Springer Publishing Company, (www.springerpub.com) 2011.

NURSING HOME FEDERAL REQUIREMENTS AND GUIDELINES TO SURVEYORS, 7th edition, New York: Springer Publishing Company, (www.springerpub.com) 2011.

ASSISTED LIVING ADMINISTRATION: THE KNOWLEDGE BASE, New York: Springer Publishing Company, 2004, 697 pages.. (www.springerpub.com).

The NAB Five-Step Administrator-in-Training Internship Manual for Nursing Home Administrators. The National Domains of Practice based administrator-in-training program authorized for use by colleges and state boards by The National Association of Boards of Examiners for Long Term Care Administrators. Washington: (www.nabweb.org) 2012 edition.

The National Exam and Self-Study Guide for Assisted Living Administration: The Knowledge Base. Based on the NAB Domains of Practice. Chapel Hill: (www.longtermcareeducation.com) 2010.

18 Manuals for Department Heads based on the current Federal Requirements and Guidelines to Surveyors. Chapel Hill: (www.longtermcareeducation.com) 2010.

Teaching

Dr. Allen has thirty-two years of experience teaching health management at the undergraduate and graduate levels in the Department of Health Policy and Management, School of Public Health, University of North Carolina at Chapel Hill.

Training Nursing Home and Assisted Living Administrators

Dr. Allen developed and taught the Administrator-in-Training (AIT) course for the North Carolina State Board of Examiners for Nursing Home Administrators (required of all AIT's in North Carolina 1985-2003). Developed and taught Long Term Care Administration courses at University of North Carolina at Chapel Hill. He teaches NHA licensure course for 3+ states. Provider of assisted living certification in NC and Texas. Provider of CEU education for 48 states.

Nurses from the University of North Carolina School of Nursing have taken Dr. Allen's courses over the years.