Mastering the Facility Assessment: Ensuring Quality & Compliance

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Objectives

- Understand the purpose and significance of facility assessments.
- Learn about the enhanced regulatory requirements for facility assessments.
- Identify the key components and focus areas of a comprehensive assessment.
- Gain practical tips and best practices for conducting effective facility assessments.



Understanding the Facility Assessment

- Process used to thoroughly assess the needs of facility resident population and required resources to provide care and needed services using evidence-based, data-driven methods.
- Serves as record of reasoning for decisions made regarding staffing and other resource allocations.
- The intent of the facility assessment is for the facility to evaluate its resident population and identify the resources needed to provide the necessary care and services the residents require during both day-to-day operations (including nights and weekends) and emergencies.



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F838 Facility Assessment Requirement

- §483.71 Facility assessment.
- The facility must conduct and document a facility-wide assessment to determine what resources are necessary to care for its residents competently during both day-to-day operations (including nights and weekends) and emergencies. The facility must review and update that assessment, as necessary, and at least annually. The facility must also review and update this assessment whenever there is, or the facility plans for, any change that would require a substantial modification to any part of this assessment.



F838 Facility Assessment Requirement

- §483.71(a) The facility assessment must address or include the following:
- §483.71(a)(1) The facility's resident population, including, but not limited to:
 - (i) Both the number of residents and the facility's resident capacity;
 - (ii) The care required by the resident population, using evidence-based, data-driven methods that considering the types of diseases, conditions, physical and behavioral health needs, cognitive disabilities, overall acuity, and other pertinent facts that are present within that population, consistent with and informed by individual resident assessments as required under § 483.20;
 - (iii) The staff competencies and skill sets that are necessary to provide the level and types of care needed for the resident population;
 - (iv)The physical environment, equipment, services, and other physical plant considerations that are necessary to care for this population; and
 - (v) Any ethnic, cultural, or religious factors that may potentially affect the care provided by the facility, including, but not limited to, activities and food and nutrition services.



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F838 Facility Assessment Requirement

- §483.71(a)(2) The facility's resources, including but not limited to the following:
 - (i) All buildings and/or other physical structures and vehicles;
 - (ii) Equipment (medical and non- medical);
 - (iii) Services provided, such as physical therapy, pharmacy, behavioral health, and specific rehabilitation therapies;
 - (iv) All personnel, including managers, nursing and other direct care staff (both employees and those who provide services under contract), and volunteers, as well as their education and/or training and any competencies related to resident care;
 - (v) Contracts, memorandums of understanding, or other agreements with third parties to provide services or equipment to the facility during both normal operations and emergencies; and
 - (vi) Health information technology resources, such as systems for electronically managing patient records and electronically sharing information with other organizations.
- §483.71(a)(3) A facility-based and community-based risk assessment, utilizing an all-hazards approach as required in §483.73(a)(1).



F838 Facility Assessment Requirement

- § 483.71(b) In conducting the facility assessment, the facility must ensure:
- § 483.71(b)(1) Active involvement of the following participants in the process:
 - (i) Nursing home leadership and management, including but not limited to, a member of the governing body, the medical director, an administrator, and the director of nursing; and
 - (ii) Direct care staff, including but not limited to, RNs, LPNs/LVNs, NAs, and representatives of the direct care staff, if applicable.
 - (iii) The facility must also solicit and consider input received from residents, resident representatives, and family members.



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F838 Facility Assessment Requirement

- §483.71(c) The facility must use this facility assessment to:
- §483.71(c)(1) Inform staffing decisions to ensure that there are a sufficient number of staff with the appropriate competencies and skill sets necessary to care for its residents' needs as identified through resident assessments and plans of care as required in § 483.35(a)(3).
- §483.71(c)(2) Consider specific staffing needs for each resident unit in the facility and adjust as necessary based on changes to its resident population.
- §483.71(c)(3) Consider specific staffing needs for each shift, such as day, evening, night, and adjust as necessary based on any changes to its resident population.
- §483.71(c)(4) Develop and maintain a plan to maximize recruitment and retention of direct care staff.
- §483.71(c)(5) Inform contingency planning for events that do not require activation of the facility's emergency plan, but do have the potential to affect resident care, such as, but not limited to, the availability of direct care nurse staffing or other resources needed for resident care.



Key Components of a Comprehensive Facility Assessment

- Resident Population
- Physical Environment
- Staffing & Personnel
- Policies & Procedures
- Emergency Preparedness





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Preparation & Planning for the Facility Assessment

Previous Facility
Assessment

Data on Resident
Population

Staffing Information

Policy & Procedures

Assemble Team &
Assign Roles &
Responsibilities

Representatives from key
departments

Required Members

Resident/Family

Timeline for assessment process

Deadlines for each step

PROACTIVE LTC CONSULTING

Conducting the Facility Assessment

- 1. Data Collection
 - Delegate responsibility & deadlines for collecting data
 - Regular progress update meetings during data collection process
 - Team members enter data they collected into the Facility Assessment tool
 - At end of data collection period, meet and identify any missing or incomplete data.
- 2. Conduct Data Analysis
 - Perform a SWOT analysis (Strengths, Weaknesses, Opportunities, Threats)
 - · Identify patterns, trends, and gaps
- 3. Determine Resource Allocation Needs
 - · Based on analysis, determine staffing and resource needs
 - · Prioritize areas for resource allocation
- 4. Develop an Action Plan
 - Review staffing, recruitment & retention, and contingency plans and make necessary updates based on analysis.
 - Review analysis and opportunities identified in QAPI meeting and develop performance improvement plans for priority areas identified.





Overview of Facility Assessment Services

Tier 1: Data Collection Assistance

- Initial Consultation
- Data Collection Guidance
- Tool Utilization
- Handoff

Tier 2: Comprehensive FA Completion

- All Tier 1 Service
- Weekly Virtual Meetings
- Task Delegation & Management
- Ongoing Support
- Finalization Meetings
- Compliance Assurance



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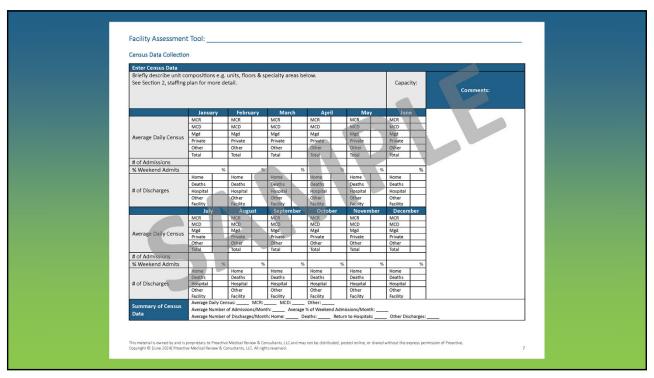
Proactive Facility Assessment Tools

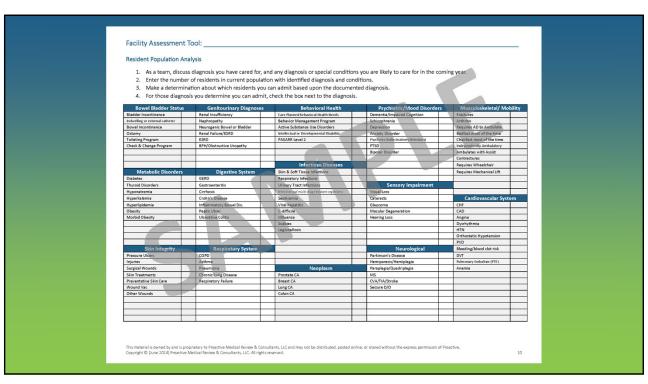
- Comprehensive Facility Assessment Data Collection Template
- Facility Assessment Annual Review Checklist
- Sample Facility Assessment Policy & Procedure
- Sample Contingency Plan
- Sample Recruitment & Retention Plan
- Sample Acuity Based Staffing Analysis based on PDPM Case Mix Group Assignment
- Sample Procedure for Using PDPM Case-Mix Nursing Minutes for Staffing
- Sample Guide to the Facility Assessment Process and Providing Feedback
- Sample letter to staff and resident/families on Facility Assessment and Annual Review Process



Facility Assessment Tool:	Facility Assessment Tool:
Table of Contents	Contracts, Memorandums of Understanding, Agreements
Section 1: Resident Profile	6 Health Information Technology Resources
Census Data Collection	7 Addendums
ADL Assistance	8 A – Facility Organizational Chart
Nursing Needs	8 B – Payroll Based Journal Report
Ethnic, Cultural, Religious Factors	9 C – Personnel Listing
Resident Population Analysis	. 10 D – Staff Certification Requirements
Services Provided	. 13 E – Additional Training / Competency Information
Section 2: Staffing Analysis.	. 14 F – Education Schedule / Summary
Total Beds By Type	. 14 G – Infection Control Risk Assessment
Number Of Staff By Classification	. 15 H – Inventory Listing
Hours Per Shift & Day	. 16 I – All Hazards Risk Assessment / Emergency Preparedness Plan
Shift Start & End Times - Nurses.	. 16 J – HIPAA Security Compliance Information
Shift Start & End Times – Nursing Assistants	. 17 K – Authorization for Disclosure Policy & Procedure
Attendance Analysis	. 17
PPD Analysis	. 18
Staffing Analysis	. 19
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Date(s) of Assessment or Update: Date(s) Assessment reviewed with QAPI Committee: In conducting the facility assessment, the facility must ensure: 1. Active involvement of the following participants in the process: 1. Nursing home leadership and management, including but not limited to, a member of the governing body, the medical director, an administrator, and the director of rursing; and ii. Direct care staff, including but not limited to, RNs, LPNs/LVNs, NAs, and representatives of the direct care staff, if applicable. The facility must also solicit and consider input received from residents, resident representatives, and family members. Name Title Name Title	Purpose of Assessment:	□ Annual Assessment
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Name/Title of persons involved in completion:		
	Name/Title of persons involved in completion:	
When not otherwise indicated, the data and information summarized in the attached report is based on the 12 months ending with	Disclaimer: This form is provided as a template to assist v	with completion of the facility assessment; however accurate data collection, analysis and rep iments of Participation is the sole responsibility of the provider.









Indiana CMP Grant Funded Project Application Announcement

Empowering Excellence: Nurturing Nurse Leaders in LTC

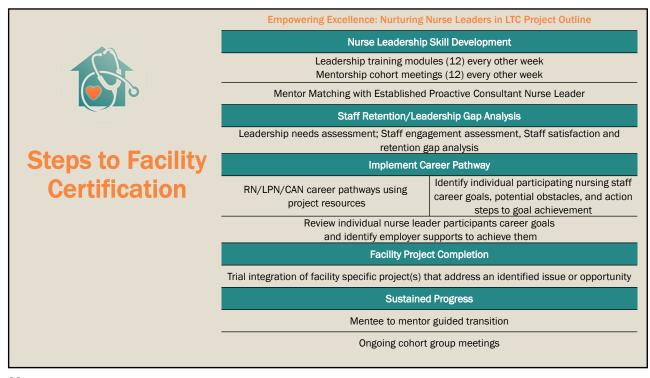
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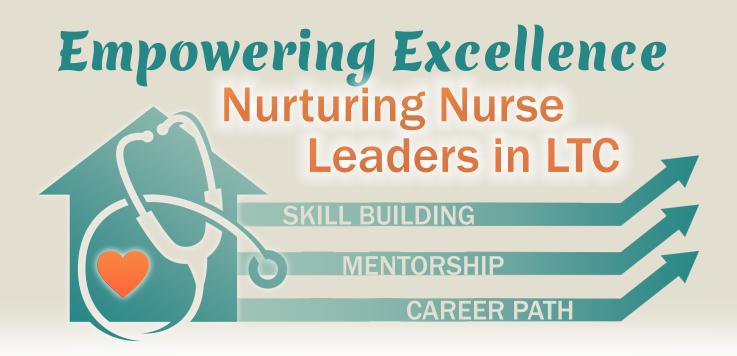
Practical Solutions

to Address the Shortage of Nurse Leaders and Facilitate Long Term Staff Retention

- Nurse Leadership Skills Development through weekly education, mentorship, and cohort groups.
- Facility Career Pathway Implementation with structure and motivation tracks for RN, LPN and CNA nurse leader advancement
- Facility Specific Gap Assessment and Improvement Targets including facility
 analysis to identify and address opportunities for improvement in staff leadership
 development, staff engagement, and other areas contributing to staff
 satisfaction and long-term retention.







Don't Miss Out on Indiana CMP Grant Funded Nurse Leadership Development Resources

This grant project aims to develop and nurture nurse leaders within long-term care (LTC) facilities through enhancement of facility-wide systems for nurse leadership skill development, career advancement pathways and nursing staff retention. The project's objective is to improve quality of care and staff engagement through a LTC nurse leadership development program that fosters a culture of continuous improvement and provides facility program certification for successful project completion. By participating, facilities will empower nursing staff through structured career growth and leadership engagement opportunities, promoting better resident outcomes, increased staff satisfaction, and a more resilient healthcare environment for LTC residents. Training, resources, and support are provided at no charge to participating facilities. The project is pending approval by the Indiana Department of Health.

Practical Solutions to Address the Shortage of Nurse Leaders, Lack of Leadership Development Programs, and Retention Issues

- **Nurse Leadership Skills Development** through weekly nurse leader engagement opportunities which include education, mentorship, and cohort groups.
- Facility Career Pathway Implementation to provide structure and motivation for the advancement of RN, LPN and CNA nurse leaders.
- **Facility Specific Project Completion** that includes components of assessing facility opportunities for improvement and developing a project that fills identified gap in staff leadership development, staff engagement, or other area that contributes to staff satisfaction and long-term retention.

Participation Requirements

- Facilities must commit to participating in the project for its entire duration and allocate time for participating
 nursing staff to attend every other week training modules and cohort meetings in the opposite week (1.25 hours
 per week commitment).
- The project can be completed in as little as 6 months, but participants may opt to complete the project over up to 24 months.
- Facilities must register by submitting the Expression of Interest Form by 8/15/24 in order to participate in the project if and when funding is approved.

Learn more and register your facility to participate (pending grant funding approval) at

proactiveltcexperts.com/empoweringexcellence

PROACTIVE LTC CONSULTING

Empowering Excellence: Nurturing Nurse Leaders in LTC Project Outline

Facility Certification Requirements

Nurse Leadership Skill Development

Leadership training modules (12) every other week Mentorship cohort meetings (12) every other week

Mentor Matching with Established Proactive Consultant Nurse Leader

Staff Retention/Leadership Gap Analysis

Leadership needs assessment; Staff engagement assessment, Staff satisfaction and retention gap analysis

Implement Career Pathway

RN/LPN/CAN career pathways using project resources

Identify individual participant career goals, potential obstacles, and action steps to goal achievement

Review individual nurse leader participants career goals and identify employer supports to achieve them

Facility Project Completion

Trial integration of facility specific project(s) that address an identified issue or opportunity

Sustained Progress

Mentee to mentor guided transition

Ongoing cohort group meetings

Learn more and register your facility to participate (pending grant funding approval) at proactiveIteexperts.com/empoweringexcellence

