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.

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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.

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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).

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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.

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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

Information Gathering	Assemble Team & Assign Roles & Responsibilities	Scheduling
Previous Facility Assessment	Representatives from key departments	Timeline for assessment process
Data on Resident Population	Required Members	Deadlines for each step
Staffing Information	Resident/Family	
Policy & Procedures		

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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.

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Resources & Support

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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

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Slide 15

Facility Assessment Tool: _____

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Facility Assessment Tool: _____

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Slide 16

Facility Assessment Tool: _____

Purpose of Assessment:	☐ Annual Assessment ☐ Significant Organizational Change
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:
      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.

	Name	Title
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 with completion of the facility assessment; however accurate data collection, analysis and reporting of complete information to meet all elements of the Requirements of Participation is the sole responsibility of the provider.

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Facility Assessment Tool: _____

Census Data Collection

Enter Census Data

Briefly describe unit compositions e.g. units, floors & specialty areas below.
See Section 2, staffing plan for more detail.

Capacity:

Comments:

	January	February	March	April	May	June
Average Daily Census	MCR	MCR	MCR	MCR	MCR	MCR
	MCD	MCD	MCD	MCD	MCD	MCD
	Mgd	Mgd	Mgd	Mgd	Mgd	Mgd
	Private	Private	Private	Private	Private	Private
	Other	Other	Other	Other	Other	Other
	Total	Total	Total	Total	Total	Total
# of Admissions						
% Weekend Admits	%	%	%	%	%	%
# of Discharges	Home	Home	Home	Home	Home	Home
	Deaths	Deaths	Deaths	Deaths	Deaths	Deaths
	Hospital	Hospital	Hospital	Hospital	Hospital	Hospital
	Other Facility	Other Facility	Other Facility	Other Facility	Other Facility	Other Facility

	July	August	September	October	November	December
Average Daily Census	MCR	MCR	MCR	MCR	MCR	MCR
	MCD	MCD	MCD	MCD	MCD	MCD
	Mgd	Mgd	Mgd	Mgd	Mgd	Mgd
	Private	Private	Private	Private	Private	Private
	Other	Other	Other	Other	Other	Other
	Total	Total	Total	Total	Total	Total
# of Admissions						
% Weekend Admits	%	%	%	%	%	%
# of Discharges	Home	Home	Home	Home	Home	Home
	Deaths	Deaths	Deaths	Deaths	Deaths	Deaths
	Hospital	Hospital	Hospital	Hospital	Hospital	Hospital
	Other Facility	Other Facility	Other Facility	Other Facility	Other Facility	Other Facility

Summary of Census Data

Average Daily Census: _____ MCR: _____ MCD: _____ Other: _____
Average Number of Admissions/Month: _____ Average % of Weekend Admissions/Month: _____
Average Number of Discharges/Month: Home: _____ Deaths: _____ Return to Hospitals: _____ Other Discharges: _____

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Facility Assessment Tool: _____

Resident Population Analysis

1. As a team, discuss diagnosis you have cared for, and any diagnosis or special conditions you are likely to care for in the coming year.
2. Enter the number of residents in current population with identified diagnosis and conditions.
3. Make a determination about which residents you can admit based upon the documented diagnosis.
4. For those diagnosis you determine you can admit, check the box next to the diagnosis.

Bowel Bladder Status		Genitourinary Diagnoses		Behavioral Health		Psychiatric/Mood Disorders		Musculoskeletal/ Mobility	
Bladder Incontinence		Renal Insufficiency		Care Planned Behavioral Health Needs		Dementia/Impaired Cognition		Fractures	
Indwelling or external catheter		Nephropathy		Behavior Management Program		Schizophrenia		Arthritis	
Bowel Incontinence		Neurogenic Bowel or Bladder		Active Substance Use Disorders		Depression		Requires AD to Ambulate	
Ostomy		Renal Failure/ESRD		Intellectual or Developmental Disability		Anxiety Disorder		Bedfast most of the time	
Toileting Program		ESRD		PASARR Level 2		Psychosis (hallucinations/delusions)		Chairfast most of the time	
Check & Change Program		BPH/Obstructive Uropathy				PTSD		Independently Ambulatory	
						Bipolar Disorder		Ambulates with Assist	
								Contractures	
								Requires Wheelchair	
Metabolic Disorders		Digestive System		Skin & Soft Tissue Infections				Requires Mechanical Lift	
Diabetes		GERD		Respiratory Infections					
Thyroid Disorders		Gastroenteritis		Urinary Tract Infections		Sensory Impairment			
Hyponatremia		Cirrhosis		Infections w/ multi-drug resistant organisms		Visual Loss			
Hyperkalemia		Crohn's Disease		Septicemia		Cataracts		Cardiovascular System	
Hyperlipidemia		Inflammatory Bowel Dis.		Viral hepatitis		Glaucoma		CHF	
Obesity		Peptic Ulcer		C-difficile		Macular Degeneration		CAD	
Morbid Obesity		Ulcerative Colitis		Influenza		Hearing Loss		Angina	
				Scabies				Dysrhythmia	
				Legionellosis				HTN	
								Orthostatic Hypotension	
								PVD	
Skin Integrity		Respiratory System				Neurological		Bleeding/blood clot risk	
Pressure Ulcers		COPD				Parkinson's Disease		DVT	
Injuries		Asthma				Hemiparesis/Hemiplegia		Pulmonary Embolism (PTE)	
Surgical Wounds		Pneumonia		Neoplasm		Paraplegia/Quadriplegia		Anemia	
Skin Treatments		Chronic Lung Disease		Prostate CA		MS			
Preventative Skin Care		Respiratory Failure		Breast CA		CVA/TIA/Stroke			
Wound Vac				Lung CA		Seizure D/O			
Other Wounds				Colon CA					

Infectious Diseases

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Slide 19:

Facility Assessment Tool: _____

Describe how you use the facility assessment to consider specific staffing needs for each shift, and adjust as necessary based on changes to resident population.

[text box]

Describe your plan to maximize recruitment and retention of direct care staff.

[text box]

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Slide 20:

Facility Assessment Tool: _____

Table 3.1: Necessary Staff Competencies and Skills Based On Resident Population

1. List training/competency topics you identified link to characteristics of your population under Training Topic.
2. Place a checkmark in the column to indicate the disciplines required to participate in the training.
3. Place a checkmark to indicate frequency training required.
4. Place a checkmark in the appropriate column to indicate the appropriate competency approach for the topic.
5. Use this table to inform facility education planning for the next year.

Training / Assessment			Competency Approach					Competency							
Orientation	Annually	Other	Lecture	Return Demo	Pre / Post Test	Facility Review for Competency Gaps	Other	Training Topic	Licensed Nurses	Nursing Assistant	Dietary	Env. Services	Admin.	Therapy	Other:
								Resident Rights							
								Abuse, Neglect, Exploitation & Reporting							
								Resident Rights							
								Skin and Wound Care							
								Medication Management							
								Medication Administration							

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*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.

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Steps to Facility Certification

Empowering Excellence: Nurturing Nurse Leaders in LTC Project Outline

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 participating nursing staff 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	

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Take Action!
Indiana Nursing Facilities should register to participate by August 15th

Empowering Excellence:
Nurturing Nurse Leaders in LTC

SKILL BUILDING
MENTORSHIP
CAREER PATH

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

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Empowering Excellence
Nurturing Nurse Leaders in LTC

SKILL BUILDING

MENTORSHIP

CAREER PATH

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

Expressions of interest must be received by 8/15/24.

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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

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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

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