State Survey Agency
Implementation of the Quality Indicator Survey (QIS)

Indiana State Department of Health
Centers for Medicare & Medicaid Services
Nursing Home Quality, LLC

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Agenda

1. Welcome and Introductions – Susan Joslin, CMS
2. Background and Development of the Quality Indicator Survey (QIS) – Susan Joslin, CMS
4. Description and Timing of State QIS Implementation – Nancy Adams, Indiana State Department of Health, QIS State Lead
5. Comparison of the QIS and Traditional Survey Process – Robin Harper, Director of Training, Master QIS Trainer, Nursing Home Quality, LLC
6. QIS Overview – Robin Harper
7. Questions and Answers

What is the QIS?

- Approved Federal nursing home survey process designed and developed to promote consistency, reliability and accuracy
- Uses customized software on tablet PCs to guide surveyors through a two-staged systematic review of regulatory requirements using observation, interview, and record review
**QIS Development**

- Produced prototype (1998-2005)
- Demonstration and Evaluation (2005-2007)
- Two teams each in KS, OH, CA, CT, LA
- Develop and refine national training model (2006-2007)
  - Three States: FL, CT, KS
- National implementation State-by-State to replace Traditional survey (2007-present)

**What Does the QIS Provide?**

- Structured approach to promote more accurate and consistent results
- Larger and more diverse randomly selected samples to obtain a more accurate picture of the residents
- Automation to systematically review regulatory areas, synthesize surveyor findings, enhance investigative protocols, and organize surveyor documentation

**Training Requirements for CMS-Certified QIS Trainer**

- Be Registered QIS Surveyor
- Successfully complete additional requirements
  - Complete at least six QIS surveys of record
  - Attend Train the Trainer workshop
  - Provide the QIS classroom training
  - Monitor surveyor-students in mock survey
  - Conduct compliance assessment for surveyor-students during a survey of record
  - Remain actively involved in QIS training/surveys
- Documentation in CMS Learning Management System (LMS)
What QIS Is Not

QIS Does Not Represent:
- Change in the Social Security Act
- Change in the Regulations
- Change in Interpretive Guidance
- Change in enforcement process

CMS Issued Guidance

- State Operations Manual, Appendix P
- Quality Indicator Survey Training Process
  - State Operations Manual, Chapter 4
- QIS Brochure (S&C 08-21)
- National Implementation Priority Order (S&C 09-50)
- Admin Info: 10-21-NH/QIS

Training Requirements for Registered QIS Surveyor

- Prerequisites
  - Proficiency with tablet PC functions and computer skills
  - Completion of certain Web based lessons
- Completion of classroom training
- Participation in mock training survey
- Participation in surveys of record with successful compliance assessment
- Documentation in CMS Learning Management System (LMS)
QIS Implementation

- Nineteen currently participating QIS States
  - CT, FL, KS, MN, NM, LA, OH, NC, WV, WA, MD, DE, ME, VT, GA, AZ, CO, NY, NE

Description of State-specific Implementation Plan and Timing

Nancy Adams – Indiana State Department of Health, QIS State Lead
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Quality Indicator Survey: Comparison with Traditional Survey and Overview

Robin Harper
Director of Training
Master QIS Trainer
Nursing Home Quality, LLC
Comparison of QIS and Traditional Survey Process

Automation

Traditional
- Information recorded on paper throughout process; computers are used for Statement of Deficiencies (CMS-2567)

QIS
- Each team member uses a tablet PC to document findings throughout the process; findings are synthesized, organized and loaded to the CMS-2567 by the software

Off-Site Preparation

Traditional
- Review:
  - OSCAR 3 and 4 Reports
  - QM/QI Reports
  - Results of complaint investigations
  - Pre-select a sample based on above

QIS
- Review
  - OSCAR 3 Report
  - Uninvestigated complaints
  - Random selection of Stage 1 samples from MDS data loaded onto tablet PCs
Onsite Preparation

**Traditional**
- Roster/Sample Matrix Form CMS 802

**QIS**
- Alphabetical resident census with room numbers/units
- List of new admissions over the last 30 days

Initial Tour

**Traditional**
- Gather information about pre-selected residents and identify new concerns
- Determine whether pre-selected residents are still appropriate

**QIS**
- Brief overall impression of the facility, the residents and the staff
- Not intended for sample selection or supplementation

Sample Selection

**Traditional**
- Sample size determined by facility census
- Residents selected based on QM/QI percentiles and issues identified offsite and on the initial tour

**QIS**
- Stage 1 sample size:
  - Admission (30)
  - Census (40)
- Stage 2 sample size based on number of triggered care areas
- Residents selected by software
- Surveyor-initiated sample
Survey Structure

**Traditional**
- Phase I: focused & comprehensive reviews
- Phase II: focused reviews

**QIS**
- Stage 1: preliminary investigation
- Stage 2: in-depth investigation of triggered concerns from Stage 1

QIS Process Made Easy
Two Stages: Three Steps

**Two Stages of QIS**

**Stage I:** Preliminary investigation of regulatory areas to determine resident care areas and facility practices for Stage 2 investigation

**Stage II:** In-depth investigation to determine whether deficient practice exists, document deficiencies, and determine severity and scope
Three Steps in Each Stage

1. Sampling (computer-generated)
2. Investigation
3. Synthesis

QIS Stage 1

- Sampling - Random census (40) and admission (30) samples
- Investigation - Structured resident, family, and staff interviews; resident observations; chart reviews
- Synthesis - 128 resident-centered and 34 facility-level Quality of Care and Quality of Life Indicators (QCLIs) to identify care areas that exceed national thresholds

Stage 1 Triggers for Stage 2 Investigations

- Resident Observation
- Resident Interview
- Family Interviews
- Staff Interviews
- Admission Chart
- Census Chart
- MDS QIs
- New MDS Indicators
Surveyor-Initiated Sample

Surveyors can initiate an investigation of care issues for any resident or of facility tasks. Because of the large QIS samples, surveyor-initiated investigations are a small part of the process.

QIS Facility Tasks

- Completed on every survey:
  - Liability Notices & Beneficiary Appeal Rights Review
  - Dining Observation
  - Infection Control and Immunization
  - Kitchen/Food Services
  - Medication Administration and Drug Storage
  - QAA
  - Resident Council President Interview
- Completed if triggered:
  - Abuse Prohibition Review
  - Admission, Transfer, and Discharge Review
  - Environmental Observations
  - Personal Funds Review
  - Sufficient Nursing Staff Review

QIS Stage 2

- Sampling – Three residents per triggered Care Area plus surveyor-initiated residents (e.g., complaints)
- Investigation – Specific or general Critical Element pathway or facility task pathway and interpretive guidelines
- Synthesis – Determine compliance with each Critical Element, document noncompliance at the applicable F tags, determine severity and scope
Additional Information

QIS Satellite Broadcast:

QIS Brochure:

Indiana State Department of Health QIS webpage:
http://www.in.gov/isdh/25023.htm