

*Licensure Only*

## COMPARISON OF CURRENT AND PROPOSED SURVEY PROCESSES

CURRENT PROCESS	PROPOSED PROCESS
<p>Pre-survey:</p> <p>From the date of the most recent survey, the agency's compliance and complaint history and Occurrences reports are reviewed.</p>	<p>Pre-survey:</p> <p>Same</p>
<p>Staff Interviews:</p> <p>Initial interviews are conducted with administrative staff about the agency's processes including staffing, scheduling and consumer record processing.</p> <p>Additional interviews with multiple staff (administrative and direct care) are conducted throughout the survey based on potential compliance concerns.</p>	<p>Staff Interviews:</p> <p>Initial interviews are conducted with administrative staff specifically in regard to the agency's Quality Management Plan.</p> <p>Additional interviews with multiple staff (administrative and direct care) are conducted based on potential concerns with the components of the agency's Quality Management Plan.</p>
<p>Consumer Home Visits:</p> <p>The number of visits is based on size of agency and may increase based on identified concerns.</p> <p>Average 3 to 5 (3%)</p>	<p>Consumer Home Visits:</p> <p>A minimum of 3, with potential increase based on identified concerns.</p>
<p>Survey Consumer Record Review:</p> <p>A sample of consumers are selected for record review. The number of records reviewed is dependent on the size of the agency and identified concerns.</p> <p>The quality of care, internal/external coordination, adherence to the plan of care, supervision and the accuracy and completeness of the consumer record is evaluated.</p> <p>Evidence to show the required Consumer Written Rights form and Disclosure Notice form is also evaluated.</p> <p>Average 10 (10%)</p>	<p>Survey Consumer Record Review:</p> <p>Not conducted unless found necessary for broader review of the components of the agency's Quality Management Plan.</p> <p>Evidence to show the required Consumer Written Rights form and Disclosure Notice form is evaluated.</p>

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<p>Personnel Record Review:</p> <p>Administrative, supervisory, and a sample representative of the services provided by the agency is selected for review. The sample may be expanded based on concerns identified during a home visit and/or as part of the consumer record review.</p> <p>The personnel records are evaluated for completeness, inclusive of orientation, training, competency, job description, counseling and performance evaluations, credentials, DORA and background checks.</p> <p>Average 10 - 15</p>	<p>Personnel Record Review:</p> <p>Same</p>
<p>Administrative Record Review:</p> <p>Complaint and Incident log, agency policies and procedures, content of staff training and orientation are reviewed.</p> <p>This review is expanded to include a review of the agency's processes and requirements pertaining to Governing Body, Professional Advisory Group and agency Administrator/Manager, based on concerns pertaining to the agency's systems and processes.</p>	<p>Administrative Record Review:</p> <p>Policies and procedures pertaining to issuance of the Written Consumer Rights and Disclosure Notices, background check reconciliation and the Quality Management Plan.</p> <p>Additional policies and procedures may be reviewed based on concerns with the agency's Quality Management Plan and related processes.</p>
<p>Survey Exit and Deficiency List:</p> <p>A summary of findings are presented to the agency at the conclusion of the survey verbally. A formal report (deficiency list) is then prepared and issued to the agency electronically at a later date.</p>	<p>Survey Exit and Deficiency List:</p> <p>A summary of findings are presented to the agency at the conclusion of the survey verbally. A summary report (deficiency list) is prepared and issued to the agency at the time of exit.</p> <p>A brief formal report will be maintained by the State agency in its database but will not be sent to the agency.</p>

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<p>Plan of Correction and Revisit:</p> <p>The agency is required to submit an acceptable electronic Plan of Correction.</p> <p>A revisit is conducted to determine the agency's implementation of the Plan of Correction and to evaluate the agency's compliance with program rules.</p> <p>The revisit may be conducted via desk audit or another on-site visit, depending on the original deficiency list concerns.</p>	<p>Plan of Correction and Revisit: No plan of correction required</p> <p>The agency is required to make corrections and be in compliance with the cited deficiencies within 30 days.</p> <p>The revisit may be conducted 30 days after the end of the survey. The revisit may be conducted via desk audit or another on-site visit, depending on the original deficiency list concerns.</p>
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