

Case Five
Intermediate Care Facility/Individuals with Intellectual Disabilities Learning Activity

Item	Description
Objective:	Given a scenario, the surveyor will identify areas of concern, potential citations, and related regulatory requirements.
Prior to Class:	Print copies of the scenarios. Have the ICF/IID regulations available. Have flip charts and markers available.
Total Time for Activity:	60 minutes (The time given is approximate.)
Set-Up:	Set class up for small groups if appropriate.*

Step:	Preceptor Instructions:	Activity Time:
1.	Divide the class into small groups. Provide each group a set of scenarios.*	5 min.
2.	Each group should select someone to take notes on the flip charts and be prepared to report to class. Groups must answer the questions provided for each of their scenarios.	5 min.
3.	Give the teams time to read and discuss the scenario.	20 min.
4.	As the groups are completing this task, walk around the room and listen to the conversations. Provide direction where appropriate. Warn the class when the time available is down to the last five minutes.	
5.	Debrief each scenario by discussing key points contained in the Preceptor Answer Sheet.	25 min.

*For individual assignment, provide the worksheet and support where appropriate during the completion of the activity. Once completed, review answers against the answer sheet, and discuss the key points together from the scenario.

Surveyor:

Date:

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Directions: Read the scenario and, working as a team (if able), document your answers on the flip chart provided.

Fire Drill Scenario

The records of CMS ICF D C contain evacuation drills for Building Nine of the facility. The facility's shifts run as follows: first shift: 7:00 AM–3:00 PM; second shift: 3:00 PM–11 PM; and third shift: 11 PM–7 AM.

Evacuation drills from January 2011–September 2011 documented the facility conducted a drill on the following:

- 1/26/11 at 5:30 PM
- 2/27/11 at 1:00 AM
- 4/27/11 at 4:27 PM
- 5/20/11 at 12:55 AM
- 7/27/11 at 4:27 PM
- 8/30/11 at 3:15 AM
- 9/30/11 at 1:00 PM (staff only)

The records of CMS ICF D C contain evacuation drills for Building Six of the facility.

Evacuation drills from April 2011–June 2011 documented the facility conducted a drill on the following:

- 4/28/11 at 1:45 AM
- 5/31/11 at 10:00 AM (staff only)
- 6/30/11 at 4:12 PM

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Drill Schedule and Log

Directions: Use this worksheet to plan and document drills.

Fire Drills: One per month, each month

Building: 6

Scheduled Drill Date	Date Drill Conducted	Weather Conditions	Number of Occupants	Evacuation Time	Comments/ Notes
1/26/11 5:30 PM					
2/27/11 1:00 AM					
3/22/11 9:15 AM					
4/28/11 1:45 AM	4/28/11 1:45 AM	Cool, overcast	10	15 min.	Occupancy: Full
5/31/11 10:00 AM	5/31/11 10:00 AM (staff only)	Warm, clear	8	10 min.	Two residents on a group trip
6/30/11 4:12 PM	6/30/11 4:12 PM	Hot, clear	10	12 min.	Occupancy: Full
7/27/11 4:00 AM					
8/20/11 6:15 PM					
9/30/11 7:45 AM					
10/18/11 2:15 PM					
11/20/11 5:00 AM					
12/19/11 8:30 PM					

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Severe Weather Safe Area: Twice each year, including one in August

Scheduled Drill Date	Date Drill Conducted	Number of Occupants	Evacuation Time	Comments/Notes
Random: 1/15/11 2:00 PM	1/15/11 2:00 PM	10	15 min.	Occupancy: Full
8/1/11				

Other Drills or Practice: Such as Lockdown, Shelter in Place, Intruder, Bomb Threat, etc.

Date Scheduled	Date Conducted	Event Scheduled	Comments/Notes

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Drill Schedule and Log

Directions: Use this worksheet to plan and document drills.

Fire Drills: One per month, each month

Building: 9

Scheduled Drill Date	Date Drill Conducted	Weather Conditions	Number of Occupants	Evacuation Time	Comments/ Notes
1/26/11 5:30 PM	1/26/11 5:30 PM	Cold, clear	10	20 min.	Occupancy: Full
2/27/11 1:00 AM	2/27/11 1:00 AM	Cold, crisp night	8	20 min.	Two empty beds
3/22/11 8:00 AM					
4/27/11 4:27 PM	4/27/11 4:27 PM	Cool, overcast	9	15 min.	One resident in hospital
5/20/11 12:55 AM	5/20/11 12:55 AM	Cool, clear night	10	20 min.	Occupancy: Full
6/22/11 2:15 PM					
7/27/11 4:27 PM	7/27/11 4:27 PM	Hot, clear	7	15 min.	Three residents out with family
8/30/11 3:00 AM	8/30/11 3:15 AM	Warm, clear night	8	12 min.	One empty bed, one resident out with family
9/30/11 1:00 PM	9/30/11 1:00 PM (staff only)	Heavy Rain	10	20 min.	Occupancy: Full
10/18/11 2:30 AM					
11/20/11 11:00 AM					
12/19/11 5:45 PM					

Severe Weather Safe Area: Twice each year, including one in August

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Scheduled Drill Date	Date Drill Conducted	Number of Occupants	Evacuation Time	Comments/Notes
Random:				Policy initiated in August
8/14/11 4:25 PM	8/14/11 4:25 PM	10	15 min.	Occupancy: Full

Other Drills or Practice: Such as Lockdown, Shelter in Place, Intruder, Bomb Threat, etc.

Scheduled Drill Date	Date Drill Conducted	Event Scheduled	Comments/Notes

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Survey Team Questions:

1. What are the potential issues?
2. What are your potential tags?
3. Do you need further: observations, interviews, and/or documentation? If so, when, where what, and/or with whom?

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Directions: Read the interview below, and working as a team (if able), document your answers to the Survey Team Questions on the flip chart provided.

Interview

The Quality Services Liaison, Safety, and Security Officer stated that on 11/16/11 at 2:05 PM the facility did not complete an evacuation drill with client participation for the first shift of the first three quarters for the calendar year 2011 for Building Nine as of November 15, 2011. The Quality Services Liaison and Safety and Security Officer also stated that no evacuation drill involving clients living in Building Six had been completed for the second quarter of calendar year 2011 for the first shift in Building Six.

Survey Team Questions:

1. Based on the information gathered, is the facility practice deficient? If so, what tags are deficient?
2. Do you have enough evidence to support a deficiency?
3. Does the manner and degree of the evidence rise to the level of deficiency?

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Preceptor Answer Sheet

- What are the potential issues?
There appear to be missing fire drills and some drills the facility are run with staff only.

- What are your potential deficient tags?
W440, W444, W446, W447, W448, W449

- Do you need further:
 - Observations? Not necessary.
 - Where? *N/A*
 - What? *N/A*
 - Documentation? Yes.
 - What? Any fire drills not yet filed, looking for Building Nine: 1st quarter AM, 2nd quarter AM Also, any policies surrounding fire drills—why is the facility conducting the drills without residents?
 - Interviews?
 - Who? Person in charge (e.g., home manager, administrator, etc.) of ensuring the facility runs fire drills as directed, and they are documented, and filed. Ask if the facility conducted a drill for Building Nine, 1st quarter AM or 2nd quarter AM The answer determines where deficient practice occurred (W440—drills did not happen altogether; W447—drills occurred but a report was not created and filed). Ask why the facility is running drills without residents. Did CMS ICF D C identify this as an issue? Was it against company policy? If so, was it investigated (W448) with appropriate corrective action (W449)? If staff only was not a policy issue, how can the facility evaluate drills for effectiveness when run with staff only (W444)? Do any of the residents have physical disabilities? If so, when evacuating staff only, how can the facility make special provisions for residents with physical disabilities (W446)?

- Based on the information gathered, is the facility practice deficient? Yes.
 - If so, what tags? It depends. Conduct interviews to determine deficient practice. The missing fire drills could be W440, W447, or both. The issue of staff only evacuations could be W448 with a possibility of also W449, W444, or W446.

- Do you have enough evidence to support a deficiency? Again, it depends on the results of the interview.

- Does the manner and degree of the evidence rise to the level of deficiency? It depends on the results of the interview.