

## TASK 2 - REVIEW OF FACILITY'S SYSTEM TO PREVENT ABUSE, NEGLECT AND MISTREATMENT

### SUGGESTED CMS SURVEYOR CHECKLIST

<b>ENTRANCE CONFERENCE</b>	
	Request incident/accident reports and logs going back three (3) to six (6) months for all shifts.
	Request policies and procedures that prohibit abuse, neglect and mistreatment as well as those that delineate the facility's system for preventing and detecting abuse, neglect, and mistreatment.
	Request policies and procedures on injuries of unknown source.
	Request any analysis or synthesis of the incidents/accidents, allegations, investigations, etc. (W127, W149)
<b>ENTRANCE CONFERENCE (ADMINISTRATOR INTERVIEW)</b>	
	How is staff screened for employment? (W152)
	What is required to be reported/to whom and within what timeframe? (W153)
	How are allegations/incidents investigated and what are the reporting timeframes? (W153, W154, W156)
	How is corrective action determined? (W157)
	How is staff trained regarding abuse, neglect and mistreatment? (W189)
<b>REVIEW INCIDENTS/ACCIDENTS</b>	
	Review allegations of abuse, neglect and mistreatment and injuries of unknown source.
	Note repetitive names of offender and victim, staff involved, location of incidents, same types of injuries, etc. Verify facility took appropriate action.
	Did significant incidents get reported to families? (W148)
	Do they meet required timeframes for reporting and investigating? (W153, W156) Were they implemented? (W127, W149, W152 - W157)
	Did facility conduct a thorough investigation? (W154) <ul style="list-style-type: none"> <li>• Collection of all types of information</li> <li>• Interview relevant client(s), staff, and any outside sources</li> <li>• Review of all information</li> <li>• Resolution of any discrepancies in information</li> <li>• Summary of findings</li> <li>• Recommendations for corrective/preventive action</li> <li>• Incorporate into facility's tracking and trending system</li> </ul>
	What safeguards were in place during the investigation? (W155)
	Was the corrective action taken appropriate and likely to prevent reoccurrence? (W157)
	Review Policies and Procedures
	Are definitions consistent with CMS definitions?
	Was staff trained and knowledgeable of the facility policies on abuse, neglect, and mistreatment? (W189)

## TASK 2 - REVIEW OF FACILITY'S SYSTEM TO PREVENT ABUSE, NEGLECT AND MISTREATMENT

(Side 2)

### *SUGGESTED CMS SURVEYOR CHECKLIST*

<b>7 KEY COMPONENTS – TAG REFERENCE</b>	
Abuse, neglect, and mistreatment are prevented and detected.	W127, W149, W150, W154
The facility adequately screens both future employees and clients.	W152
The facility actively identifies and corrects risks for possible occurrences of abuse, neglect and mistreatment.	W153, W157
There is ongoing comprehensive training for all staff, clients, family members, and volunteers.	W189
Protections are in place to assure that people are safe and free from harm. What has the facility done to ensure that the individuals served do not continue at risk?	W155
All incidents/accidents are reported and thoroughly investigated. How long did it take the facility to report the results of the investigation to the administrator and other officials, as appropriate? [Note: Some States require that allegations of abuse must be reported to the police or other entity. CMS cannot regulate the activities of the police. However, if the police take longer than five working days for their investigation, the facility is still required to complete an internal investigation report of findings within the five day timeframe.]	W153, W154, W156
The facility responds by appropriately correcting identified problems. There is evidence that some action has taken place to prevent further abuse or neglect. What is that action? How long did it take for the facility to react? Did their action resolve the issue at least on a temporary basis? On a permanent basis? Is the corrective action taken by the facility reasonably likely to assure that the abuse, neglect, mistreatment or injury will not occur again? After investigations have been completed, how many alleged violations culminated in W157.	W157

*\*Throughout the survey, share results of observation, interviews, record reviews, and Task 2 to determine areas of concern or need for further follow up\**