

Facility Name/CCN:

Survey Date:

Preceptor Name:

Surveyor Name:

New Surveyor Observational Survey Guidelines  
Long-Term Care

Directions: This document is intended to be used as a list of reminders for a preceptor when preparing a new surveyor for a survey, while on a survey, or serving as a preceptor. Place a check mark in the column as each item is discussed or completed. Items pertaining specifically to either the Traditional survey or the Quality Indicator Survey (QIS) are identified as such.

Item	<input checked="" type="checkbox"/>
Be prepared	
• Familiarize self with roles of team members and team coordinator	
• Demonstrate knowledge of applicable survey tasks (Traditional or QIS)	
• Demonstrate knowledge of the scope and severity grid	
• Demonstrate knowledge of guidance for determining scope and severity	
• Demonstrate familiarity with the principles of documentation	
• Review information as required in off-site survey preparation	
○ Traditional survey:	
▪ Facility Characteristics Report (Exhibit 268)	
▪ Facility Quality Measure(QM) (Exhibit 269)	
▪ Resident Level Quality Measure (Exhibit 270)	
▪ Prior Statements of Deficiencies and Statements of Isolated Deficiencies Which Cause No Actual Harm	
▪ Results of Complaint Investigations	
▪ CASPER report	
▪ Information about Waivers or Variances	
▪ Information from the State Ombudsman Office	
▪ Preadmission Screening and Resident Review Reports (PASRR)	
▪ Other Pertinent Information	
○ QIS survey:	
▪ Offsite Preparation Worksheet (Form CMS-20044)	
▪ Verify laptop function	
▪ Download applicable QIS survey forms if applicable	
▪ Review <a href="#">QIS Resources and Guides</a>	

Item	<input checked="" type="checkbox"/>
Bring to the facility	
• Official identification (name tag or badge)	
• Business card if possible for facility staff and/or residents	

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• State Operations Manual Appendices P, PP, and Q:	
○ Survey process (Traditional or QIS)	
○ Interpretive guidance	
○ Investigative protocols	
○ Guidance for determining scope and severity	
○ Appendix Q—Determining Immediate Jeopardy	
○ Other references as needed	
• Facility and resident-specific information:	
○ Information obtained during Off-site Survey Preparation	
○ Pre-selected resident sample	
○ QMs and CASPER reports, etc.	
○ CMS Scope & Severity Grid	
• Traditional survey:	
○ Roster/Sample Matrix (Form CMS-802 or Surveyor Notes Worksheet (Form CMS-807)	
○ General Observations of the Facility Worksheet (Form CMS-803) or Surveyor Notes Worksheets (Form CMS-807)	
○ Kitchen/Food Service Observation worksheet (Form CMS-804)	
• QIS survey:	
○ Entrance conference worksheet (team copy) (Form CMS-20046)	
○ All applicable QIS survey forms (electronic)	
○ Computer and flash drive	
○ Other electronic equipment as needed (wall charger(s), extension cord, portable scanner, printer, etc.)	

Item	<input checked="" type="checkbox"/>
During the survey	
• The new surveyor will not have an assignment, but will observe as much of the survey process as possible including the facility tour, sample selection, information gathering, determination of compliance, the exit conference, and documentation of survey findings.	
<i>The new surveyor may not get to see everything on their first observational survey.</i>	
The new surveyor, using the guidance of their preceptor and following the checklist, is able to perform the following tasks identified for either the Traditional Survey or QIS.	

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• Traditional survey:	
○ Task 1—Off-site Survey Preparation <ul style="list-style-type: none"><li>▪ Pre-selection of resident sample</li></ul>	
○ Task 2—Entrance Conference/On-site Preparatory Activities	
○ Task 3—Initial Tour	
○ Task 4—Sample Selection	
▪ Phase 1 (Sample Matrix worksheet)	
▪ Phase 2 (Sample Matrix worksheet)	
▪ Special Factors to Consider in Sample Selection	
▪ Other Phase 2 Tasks	
▪ Substituting Residents	
▪ Supplementary Sample	
○ Task 5—Information Gathering	
▪ 5A: General Observations of the Facility	
▪ 5B: Kitchen/Food Service Observations	
▪ 5C: Resident Review	
▪ 5D: Quality of Life Assessment	
▪ 5E: Medication Pass and Pharmacy Services	
▪ 5F: Quality Assessment and Assurance Review	
▪ 5G: Abuse Prohibition Review	
○ Task 6—Determination of Compliance	
○ Task 7—Exit Conference	
• QIS survey:	
○ The new surveyor should observe the following tasks identified in the <a href="#">QIS checklist</a> and be able to: <ul style="list-style-type: none"><li>▪ Import the facility shell into the ASPEN Survey Explorer-Q (ASE-Q)</li><li>▪ Import the applicable QIS materials needed to follow along with their mentor as the mentor completes their Stage I and Stage II assignments.</li></ul>	
○ Task 1—Offsite Survey Preparation and Initial Sampling	
○ Task 2—On-site Preparation and Entrance Conference	
○ Task 3—Initial Tour	
○ Task 4—Stage 1 Survey Tasks	
▪ Finalize Sample Selection	
• Stage I Sample Selection Procedures	
▪ Stage I Team Meetings (first meeting)	

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▪ Stage I Information Gathering	
▪ Stage I Admission Sample Review <ul style="list-style-type: none"><li>• Medical Record Review</li></ul>	
▪ Stage I Census Sample Review	
▪ Resident Interview <ul style="list-style-type: none"><li>• Resident Observations</li><li>• Family Interviews</li><li>• Staff Interview</li><li>• Medical Record Review</li><li>• Daily Team Meetings</li></ul>	
○ Task 5—Non-Staged Survey Tasks	
▪ Resident Council President/Representative Interview	
▪ Dining Observations	
▪ Kitchen/Food Service Observation	
▪ Infection Control Policies and Practices	
▪ Demand Billing	
▪ Abuse Prohibition Review	
▪ Quality Assessment and Assurance (QA&A Review)	
○ Task 6—Transition from Stage I to Stage II	
▪ Update Resident Pool	
▪ Review completion of Stage I	
▪ Review Surveyor-Initiated Residents and/or Care Areas	
▪ Import All Data into Primary Laptop (Data collected by the surveyor in training will not be loaded into the primary laptop.)	
▪ Review the Relevant Findings Report	
▪ Review the Quality of Care and Quality of Life Indicator (QCLI) Results Report	
○ Task 7—Stage II Survey Tasks	
▪ Team Meetings	
▪ Stage II Sample Selection <ul style="list-style-type: none"><li>○ Substituting Residents</li><li>○ Supplementing the Sample</li></ul>	
▪ Staff Assignments	
▪ Stage II Information Gathering <ul style="list-style-type: none"><li>○ Stage II Critical Element (CE) Pathways</li></ul>	

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○ Medication Administration Observation and Unnecessary Drug Review	
▪ Facility-Level investigations ○ Environmental Observations ○ Resident Funds ○ Admission, Transfer, and Discharge Review ○ Sufficient Staff	
○ Task 8—Analysis and Decision Making: Integration of Information	
▪ Integration of Facility-Level Information	
▪ Integration of Critical Element Pathways	
▪ Analysis of Information Gained	
▪ Analysis of Scope and Severity and Team Decision-Making	
○ Task 9—Exit Conference	
▪ The new surveyor should have a debrief with the preceptor after the survey to address any questions or concerns the new surveyor may have.	