

Stage 1 Resident Interview Questions from ASE-Q	Additional CMS Central Office Guidance for Surveyors
<p>Ask screening questions similar to the following:</p> <ol style="list-style-type: none"> <li>1. Are you from around here, the area, etc.?</li> <li>2. Tell me a little about yourself.</li> <li>3. How long have you been here?</li> <li>4. What is the food like here?</li> </ol> <p><b>Proceed with the interview questions below if you are comfortable that the resident is interviewable.</b></p>	<p><i>There is no need to ask these particular questions as written. These are suggested screening questions to:</i></p> <ul style="list-style-type: none"> <li>• <i>Determine the resident’s cognitive ability to participate in the interview process, and</i></li> <li>• <i>Initiate conversation and begin to build rapport with the resident.</i></li> </ul>
<p><b>A. Cognitive Status</b></p> <p><b>1) Is the resident able to be interviewed?</b></p> <p><input type="checkbox"/> Not Interviewable</p> <p><input type="checkbox"/> Interviewable</p> <p><input type="checkbox"/> Resident refused interview</p> <p><input type="checkbox"/> Resident is unavailable for an interview</p> <p><b>If the resident is interviewable, proceed to the Resident Interview section on the following page. If the resident is not interviewable, refuses, or is unavailable (after repeated attempts to interview) proceed to the Resident Observation section on the following page (the resident is excluded from the resident interview).</b></p>	<p><i>If the resident refuses to participate in the interview do not attempt to interview a second time. Surveyors should be cognizant of the fact that they are visitors in the resident’s home.</i></p> <p><i>When first meeting the resident, if the surveyor is able to interview the resident at that time, he or she should proceed. If the resident is not available, the surveyor should ask the resident when a good time to conduct the interview would be. If the resident is otherwise occupied or has other obligations, a specific future appointment with the resident should be made if possible [keeping in mind the date/time that the Team Coordinator (TC) has scheduled for transition into Stage 2].</i></p>

B. Choices	
<p style="text-align: right;"><b>QP234</b></p> <p><b>1) Do you choose when to get up in the morning?</b> If No: What time do you get up? What time would you like to get up in the morning?</p> <p><input type="checkbox"/> No  <input type="checkbox"/> Yes  <input type="checkbox"/> N/A, the resident is independent with ADLs</p> <p><b>2) Do you choose when to go to bed at night?</b> If No: What time do you go to bed? What time would you like to go to bed?</p> <p><input type="checkbox"/> No  <input type="checkbox"/> Yes  <input type="checkbox"/> N/A, the resident is independent with ADLs</p> <p><b>3) Do you choose how many times a week you take a bath or shower?</b> If No: How many times a week do you get a bath or shower? How many times a week would you like to bathe?</p> <p><input type="checkbox"/> No  <input type="checkbox"/> Yes  <input type="checkbox"/> N/A, the resident is independent with ADLs</p> <p><b>4) Do you choose whether you take a shower, tub, or bed bath?</b> If No: what type of bathing are you receiving? What would you like to receive?</p> <p><input type="checkbox"/> No  <input type="checkbox"/> Yes  <input type="checkbox"/> N/A, the resident is independent with ADLs</p> <p><b>5) Can you have visitors anytime during the day or night?</b> If No: what are the visiting restrictions?</p> <p><input type="checkbox"/> No  <input type="checkbox"/> Yes</p>	<p><i>The second part of each of the questions in Section B: Choices is intended to probe for additional information when a resident responds negatively to the initial portion of the question. The surveyor may find there are additional probing questions that need to be asked to obtain appropriate information to start an investigation in Stage 2, should one be required</i></p>

<p><b>C. Dignity</b></p> <p><b>1) Do staff treat you with respect and dignity?</b> If No, tell me some examples about when staff did not treat you with respect and dignity. The focus of this question is how well staff interacts with the resident.</p> <p><input type="checkbox"/> No  <input type="checkbox"/> Yes</p>	<p style="text-align: right;">QP212</p> <p><i>The second part of the question in Section C: Dignity is to probe for additional information if a resident responds negatively. The surveyor may find there are additional probing questions that are needed to obtain adequate information to start an investigation in Stage 2, should one be required.</i></p>
<p><b>D. Activities</b></p> <p><b>1) Do you participate in the activity programs here?</b> If No, ask why he/she doesn't participate.</p> <p><input type="checkbox"/> No  <input type="checkbox"/> Yes  <input type="checkbox"/> N/A, Does not wish to participate (<b>Skip to 4</b>)</p> <p><b>2) Do the activities meet your interests?</b></p> <p><input type="checkbox"/> No  <input type="checkbox"/> Yes</p> <p><b>3) Are the activities provided as often as you would like, including on weekends and evenings?</b></p> <p><input type="checkbox"/> No  <input type="checkbox"/> Yes</p> <p><b>4) Does staff provide items so you can do activities on your own, like books or cards?</b></p> <p><input type="checkbox"/> No  <input type="checkbox"/> Yes  <input type="checkbox"/> N/A, family provides</p>	<p style="text-align: right;">QP208</p> <p><i>If the resident responds "No" to the first question in Section D: Activities, the surveyor then asks why the resident doesn't participate. The intent of asking this is to determine if the resident does not wish to participate (in which case "N/A" is marked and the surveyor skips to question 4) or if the resident doesn't participate for another reason (in which case the surveyor proceeds through the remaining questions). Examples of other reasons that a resident doesn't participate include (but are not limited to) the activities not meeting the resident's interest, programming is offered at days or times that don't meet the resident's needs or preferences, or staff does not provide assistance to attend activities.</i></p> <p><i>Examples of resident who may respond "No" which would result in the surveyor marking "N/A" include a short-stay resident who has no interest in the activities or a LTC resident who also doesn't have any interest in the activities. If the resident does not wish to participate in the activities program, the surveyor does NOT ask questions 2 and 3.</i></p> <p><i>Remember, when the surveyor receives a negative response the surveyor should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor should obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>

E. Building and Environment	
<p><b>1) Is the building clean? QP201</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><b>2) Do you have any problems with the temperature, lighting, noise or anything else in the building that affects your comfort? (Mark all that apply)</b></p> <p><input type="checkbox"/> Temperature QP272</p> <p><input type="checkbox"/> Lighting QP273</p> <p><input type="checkbox"/> Noise QP274</p> <p><input type="checkbox"/> Other identified issues QP275*</p> <p><input type="checkbox"/> None of the above</p>	<p><i>The intent of question 2 is to determine if the resident has any concerns regarding their living environment. The surveyor should probe and document the resident’s specific concerns in Relevant Findings.</i></p> <p><i>*An example of “other identified issues” would be if the resident stated during the interview they could not get to the bathroom due to the roommate’s cluttered side of the room.</i></p>
F. Participation in Care Plan	
<p><b>1) Do staff include you in decisions about your medicine, therapy, or other QP210 treatments?</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p>	<p><i>The surveyor should provide guidance for the resident, as needed, in order to confirm that the resident is afforded the opportunity to choose between alternative treatments both initially and with changes to the plan of care. This includes being invited to participate in care planning meetings and in discussions about treatment options outside of care planning meetings. Examples of treatment options include:</i></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> <i>Medicine: Medication changes or nonpharmacological alternatives to medications (e.g., hot pack, ice pack, massage);</i></li> <li><input type="checkbox"/> <i>Therapy: Therapy approaches or device options;</i></li> <li><input type="checkbox"/> <i>Other Treatments: Various fall interventions (e.g., low bed, wheelchair evaluation vs. restraint use).</i></li> </ul> <p><i>If a resident raises an issue that is related to choices (e.g., lack of input on therapy schedule), discuss with the team and consider initiating Choice.</i></p> <p><i>If a resident responds that his/her care decisions are up to the physician or other staff, the surveyor should follow up to ask whether the resident has any concerns about his/her care that are not being addressed. If the resident indicates there are no concerns, then the question should be answered “Yes”.</i></p>

G. Abuse	
<p style="text-align: right;">OP253</p> <p><b>1) Has staff, a resident or anyone else here abused you - this includes verbal, physical or sexual abuse?</b>  <input type="checkbox"/> No (skip to 3)  <input type="checkbox"/> Yes                      If “Yes”, ask who the abuser was, what happened, when it occurred, where it happened and how often.</p> <p><b>2) Did you tell staff?</b>  <input type="checkbox"/> No  <input type="checkbox"/> Yes                      If “Yes”, ask who the resident told. If “No”, report immediately to the administrator. If you have concerns with how the facility handles the investigation after you report it, consider initiating abuse.</p> <p><b>3) Have you seen any resident here being abused?</b>  <input type="checkbox"/> No (skip to H)  <input type="checkbox"/> Yes                      If “Yes”, ask who the abuser was, what happened, when it occurred, where it happened, and how often.</p> <p><b>4) Did you tell staff?</b>  <input type="checkbox"/> No  <input type="checkbox"/> Yes                      If “Yes”, ask who the resident told. If “No”, report immediately to the administrator if you have concerns with how the facility handles the investigation after you report it, consider initiating abuse.</p>	<p><i>Abuse will not trigger for an in-depth investigation if the resident has not reported the incident to staff. It is your responsibility to report the allegation to staff. After reporting the allegation, if you have concerns with how the facility handles the investigation (e.g., the alleged perpetrator is still working with the resident), consider initiating abuse.</i></p> <p><i>Remember, when the surveyor receives a negative response he or she should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor will want to obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>

H. Interaction with Others	
<p><b>1) Have there been any concerns or problems with a roommate or any other resident?</b> <b>QP16</b></p> <p><input type="checkbox"/> No (skip to I)</p> <p><input type="checkbox"/> Yes</p> <p><b>2) Has the staff addressed the concern(s) to your satisfaction?</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p>	<p><i>Be conscientious when asking this question if the resident's roommate is in the room.</i></p> <p><i>Remember, when the surveyor receives a negative response he or she should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor will want to obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>
I. Personal Property	
<p><b>1) Were you encouraged by staff to bring in any personal items?</b> If No, Do you wish to have items brought in? <b>QP194</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> N/A, the resident is a short-stay resident</p> <p><b>2) Have you had any missing personal items?</b> If Yes, what is still missing and how long has it been missing?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><b>3) Did you tell staff about the missing item(s)?</b> If Yes, Who did you tell about the missing item?</p> <p><input type="checkbox"/> No (skip to J)</p> <p><input type="checkbox"/> Yes</p> <p><b>4) Has staff told you they are looking for your missing item(s)?</b> If No, do you know who or which department is supposed to be looking for your missing item?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p>	<p><i>The intent of question 1 is to determine if the facility allows the resident to bring in personal items. In the event that the resident says "No" yet the surveyor observes personal items in the resident's room, the surveyor should probe to ensure the resident understands the intent of the question. Suggested probes includes:</i></p> <ul style="list-style-type: none"> <li><i>• I see you have some personal things here in your room, were there other things that you wanted to bring in that the facility staff discouraged you from bringing in?</i></li> <li><i>• It looks like there are personal items in your room yet you said that you weren't encouraged to bring in personal items, what I am trying to determine is if you are allowed to bring in the personal items that you wish to have here in the facility. Are you allowed to bring in the things that you wish to have here?</i></li> </ul> <p><i>Remember, when the surveyor receives a negative response he or she should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor will want to obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>

<b>J. Pain</b>	
<b>QP255</b>	
<p><b>1) Do you have any discomfort now or have you been having discomfort such as pain, heaviness, burning, or hurting with no relief?</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p>	<p><i>The intent of this question is to determine if the resident has pain for which the facility has not attempted to relieve with interventions including medication or non-pharmacological measures. The key words are “with no relief”.</i></p> <p><i>As always, it is appropriate to break up questions into segments if the resident is better able to understand the question.</i></p>
<b>K. ADL Assistance/Urinary Incontinence</b>	
<p><b>Do you get the help you need getting dressed, toileting, and cleaning your teeth? (Mark all concerns that apply)</b></p> <p><input type="checkbox"/> Dressing QP281</p> <p><input type="checkbox"/> Toileting QP299</p> <p><input type="checkbox"/> Oral Care QP281</p> <p><input type="checkbox"/> None of the above (No concerns or doesn't need help)</p>	<p><i>The intent of this question is to identify any concerns with the resident receiving assistance from staff in the area of ADLs. Toileting includes using the bathroom, bedside commode, bedpan, urinal, and being on a check and change program.</i></p>
<b>L. Hydration</b>	
<b>QP258</b>	
<p><b>1) Do you receive the fluids you want between meals?</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> N/A, does not take fluids orally</p>	<p><i>The intent of this question is not only to determine if the resident receives fresh water. The surveyor should also determine if the resident receives the fluids they want between meals which may include water, coffee, juice, soda, etc.</i></p>
<b>M. Sufficient Staff</b>	
<b>QP232</b>	
<p><b>1) Do you feel there is enough staff available to make sure you get the care and assistance you need without having to wait a long time?</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p>	<p><i>If the resident has a negative response to this question, surveyors should probe for as many specific concerns as possible to aid in the Stage 2 investigations should they be required. Consider asking questions such as:</i></p> <ul style="list-style-type: none"> <li><i>• When was the last time you had to wait for assistance?</i></li> <li><i>• Does this routinely happen at a specific time of the day?</i></li> </ul>

N. Dental	QP284
<p><b>1) Do you have any problems with your teeth, gums, or dentures?</b></p> <p><input type="checkbox"/> No (skip to O)</p> <p><input type="checkbox"/> Yes</p> <p><b>2) Are staff taking care of these problems to your satisfaction?</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> N/A, staff unaware and/or resident or family taking care of problem</p>	<p><i>The intent of this question is to identify concerns with the resident's dental/oral health. If the resident's response to question #1 is "yes" the surveyor should probe further by asking if the resident has eating or chewing problems. The surveyor will also identify any concerns regarding the staff's response to the resident's dental concern.</i></p> <p><i>If the resident indicates staff are taking care of the dental problems, you will not make dental observations.</i></p>
O. Privacy	QP204
<p><b>1) Does staff provide you privacy when they work with you, changing your clothes, providing treatment?</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p>2) Do you have privacy when on the telephone?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> N/A, do not use telephone</p> <p>3) If you would have a visitor, do you have a private place to meet?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p>	<p><i>Remember, when the surveyor receives a negative response he or she should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor will want to obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>



P. Exercise of Rights	
<p style="text-align: right;"><b>OP250</b></p> <p><b>1) Have you been moved to a different room or had a roommate change in the last nine months?</b></p> <p><input type="checkbox"/> No (skip to Q)</p> <p><input type="checkbox"/> Yes</p> <p><b>2) Were you given notice before a room change or a change in roommate?</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p>	<p><i>Remember, when the surveyor receives a negative response he or she should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor will want to obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>
Q. Personal Funds	
<p style="text-align: right;"><b>QP199</b></p> <p><b>1) Do you have a personal funds account with the facility?</b></p> <p><input type="checkbox"/> No (Interview is complete)</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Do Not Know (Interview is complete)</p> <p><b>2) Does the facility let you know how much money you have in your account?</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Do Not Know</p> <p><b>3) Can you get your money when you need it, including on weekends?</b></p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> Do Not Know</p>	<p><i>The surveyor may need to ask probing questions to help determine if the resident understands the difference between a commercial bank account and the facility's resident funds account.</i></p> <p><i>Remember, when the surveyor receives a negative response he or she should probe for additional information that will be helpful if a Stage 2 investigation is needed. The surveyor will want to obtain enough pertinent information to begin an investigation in Stage 2, should one be required.</i></p>