	Performance Indicators				
	# 1	# 2	# 3	# 4	Comments
Surveyor Name					
A					
B					
C					
D					
State Agency					
Date					
Performance Threshold:	100%				
Performance Results:					
Corrective Action Plan Required? Yes NO					
Performance Result =	# of cells marked yes "divided by" the total # of cells with yes or no responses. Do not include				
NA in the counts. The responses could be marked "yes", "no", or NA. NA is appropriate when a new hire is so recent					
that #3 or #4 don't apply.					

												Performance Indicators					
																	Comments
SA Training System	Yes																
	No*																
											Optional						
Surveyor Name			1a	1b	1c	1d	1e	2a	2b	2c	3	4	5				
A																	
B																	
C																	
D																	
ETC.																	
Non-Surveyor Name													6a	6b			
A																	
B																	
C																	
ETC.																	
State Agency																	
Date																	
Performance Threshold:	90%																
Performance Results:																	
Corrective Action Plan Required? Yes NO																	
* = If PI # 1 is No, Corrective Action Plan required.																	
Performance Result =	# of cells marked yes "divided by" the # of possible cells. Do not include NA in counts.																
The responses could be marked "yes", "no", or NA. Mark the cells accordingly.																	

Performance Indicators		Met	Not Met	Performance Review Criterion # 3
				Comments
1a				
1b				
2				
3				
4				
State Agency				
Date				
Performance Threshold:	85%			
Performance Results:				
Corrective Action Plan Required? Yes NO				
Performance Result =	# of cells marked "met" divided by 5.			
The responses could be marked "yes", "no", or NA. Mark the cells accordingly.				
Do not include NA in counts.				

PI #		Yes		No										
1	Current Policies							If PI # 1 or 3 are "NO", a Corrective Action Plan is required						
2	Assist on Projects													
3	SA Mechanism for Data Entry Problems													
					116		Survey Forms: 2567, 670, 209, 1557		Cert Changes		Updates			
4	Accurate Data Entry				# Accurate Fields	# total fields	# Accurate Fields	# total fields	# Accurate Fields	# total fields	# Accurate Fields	# total fields		
	A (CLIA #)													
	B													
	C													
	D													
	E													
	Performance Result*													
					116		Survey Forms: 2567, 670, 209, 1557		Cert Changes		Updates		Complaints	
5	Timely Data Entry				# timely	# total reviewed	# timely	# total reviewed	# timely	# total reviewed	# timely	# total reviewed	# timely	# total reviewed
	A (CLIA #)													
	B													
	C													
	D													
	E													
	Performance Result**													
	State Agency													
	Date													
	Performance Threshold:	95%												
	Performance Results:													
	Corrective Action Plan Required? Yes No													
*	Accuracy = # of fields entered accurately "divided by" total # of fields entered													
**	Timely = total # of timely "divided by" total # reviewed													

PI # 5	Timely Data Entry	A: Receipt Date	B: Data Entry Date	# Days B-A =	116 Timely: Y / N	2567 Timely: Y / N	670 Timely: Y / N	209 Timely: Y / N	1557 Timely: Y / N	Cert Chges Timely: Y / N	Updates Timely: Y / N	Complaints Timely: Y / N
A (CLIA #)												
B (CLIA #)												
C (CLIA #)												
D (CLIA #)												
E (CLIA #)												

Performance Indicators (PI)		Budget Call Ltr or HCFA-105 Workload Target	SA Completed Workload	PI Met (or close to met)	PI Not Met	Comments
Initials						
Recertifications						
AQAS Surveys						
AQAS Verification **						
AO Validation Svy: 1 simultaneous, if possible						
COW Svys (2% of Total # of COW)						
State Agency						
Date						
Performance Threshold:		95%				
Performance Results:						
Corrective Action Plan Required? Yes NO						
Performance Result =		# of cells marked yes "divided by" the # of possible cells. Do not include NA in counts.				
The responses could be marked "yes", "no", or NA. Mark the cells accordingly.						
* = If the SA can demonstrate the accuracy of their completed workload numbers, even though						
they differ from those in the budget call letter or CMS-105, consider the performance indicator as met						
** = If Performed AQAS on all labs that qualified, but 10% of the labs did not qualify for AQAS, count as met.						

	YES / NO		Comments			
Tracking System						
	# w/in Time-Frame	% w/in Time-frame				
Initial Surveys						
A (CLIA #)						
B						
C						
Recertification Svys						
A (CLIA #)						
B						
C						
AQAS Surveys						
A (CLIA #)						
B						
C						
AQAS Verification						
A (CLIA #)						
B						
C						
Validation Svys						
A (CLIA #)						
B						
C						
State Agency						
Date						
Performance Threshold:	85%					
Performance Results:						
Corrective Action Plan Required? Yes No If "No" for tracking syste, corrective action plan is required.						
Performance Result =						
List the CLIA numbers for each survey category. In the next column ("# w/in timeframe") the responses could be						
marked "yes" or "no". Mark the response for tracking system and then mark response for each CLIA # listed.						
Divide the # of "yes" responses by the total # of cells marked "yes" or "no". Do not count the respnse for tracking						
system in the computation. NOTE: the column "% w/in timeframe" is informational only--timeliness by survey						
category in shown to aide dev. of corrective action plan, if needed.						

Column A	Column B	Comments
Performance Indicators		Comments
# of AQAS Surveys Reviewed	# of Selected Which Met SOM Instructions	
Selection for Onsite FU visits	# consistent with SOM Instructions	
Selection for mail/telephone FU	# consistent with SOM Instructions	
Clustering per surveyor Trip. Look at 10 trips (cross-section of surveyors when possible)	# of trips w/labs clustered for geographic proximity	
Total of Column A	Total of Column B	

Performance Results = Total of Column B "divided by" Total of Column A

PI #5 COW surveys incorporated in the scheduling ?   Yes / No
PI #6 Action taken in response to FMS feedback?   Yes / No
                                    If "no" for either, request a corrective actin plan

State Agency
Date
Performance Threshold: 85%
 Performance Results:
Corrective Action Plan Required? Yes NO

			Performance Indicators										Comments
	1												
PT Tracking Mechanism	Yes	No*											
		1st Unsuccessful					2nd Unsuccessful						Comments
		2a	2b	2c	2d	2e	3a	3b	3c	3d	3e		
PT Desk Reviews													
A (45D000000)													
B													
C													
D													
State Agency													
Date													
Performance Threshold:	85%												
Performance Results:													
Corrective Action Plan Required? Yes NO													
* = If PI # 1 is No, Action Plan required.													
Performance Result =		# of cells marked yes "divided by" the # of possible cells. Do not include NA in counts.											
The responses could be marked "yes", "no", or NA. Mark the cells accordingly.													

	Performance Indicator (PI) # 1*					
	1a	1b	1c		Comments	
FMS Survey (CLIA #)						
A (45D0000000)						
B						
C						
D						
etc						
Performance Result #1 =		If less than 100% corrective action plan required.				

	Performance Indicator (PI) # 2*					
	2a	2b	2c		Comments	
FMS Survey (CLIA #)						
A (45D0000000)						
B						
C						
etc						
Performance Result #2 =		If less than 100% corrective action plan required.				

Performance Indicator # 3	Performance Result =	# Times SA utilized FMS feedback & took action "divided by"	
		# FMS	Feedback (eg email or letter on FMS results) reviewed

Performance Indicator # 4	Performance Result =	# Surveyors who have access to CMS directives/SOM "divided by"
		# of Surveyors Interviewed

Performance Indicator # 5	Performance Result =	# Directives implemented by surveyors "divided by"
		10 CMS Directives reviewed

State Agency					
Date					
Performance Threshold:	95%	[Average of the performance results (%) for PI # 1 - # 5.]			
Performance Results:	PI # 1 =				
	PI # 2 =				
	PI # 3 =				
	PI # 4 =				
	PI # 5 =				
Corrective Action Plan Required?	Yes	No	If PI #1 or #2 is less than 100%, and/or average of PI #1-#5 is less than 95%,Corrective Action Plan Required		

* The responses for PI #1 & #2 could be marked "yes", "no", or NA. Mark the cells accordingly, and divide the # of cells marked "yes" by the total # of cells (1a, 1b and 1c) for the FMS surveys listed.

Performance Review Criterion # 10						
Performance Indicators		Met	Not Met			
1						
2						
3						
4						
5						
6						

* For each indicator, the response is one "yes"--either in "met" or "not met". Mark the cells accordingly.

Performance Review Criterion # 11						
Performance Indicators		Met	Not Met			
1						
2						
3						
4						
5						
6						

* For each indicator, the response is one "yes"--either in "met" or "not met". Mark the cells accordingly.

Date

State Agency

Performance Threshold # 10:   100%
Performance Results # 10:
Corrective Action Plan Required? Yes NO

Performance Threshold # 11:   100%
Performance Results # 11:
Corrective Action Plan Required? Yes NO

Performoance Result **for each Criterion** = # of cells marked "yes" in the "met" column divided by 6

						Performance Indicators												Comments
	PI #1	**PI #2**																**Comments**
	Yes or No	Yes or No																
Follow SOM *																		
Tracking Mechanism*																		
Enforcement Review	Svy Type **					**PI #3**	**PI #4**	**PI #5**	**PI #6a**	**PI #6b**	**PI #6c**	**PI #6d**	**PI #7**	**PI # 8**	**PI #9**			
	Std	23-D	90-D															
A (CLIA #)																		
C																		
D																		
E																		
F																		
G																		
H																		
State Agency																		
Date																		
Performance Threshold:		90%																
Performance Results:																		
Corrective Action Plan Required? Yes NO																		
* = If PI # 1 is No, Corrective Action Plan required.																		
** Place an "X" in the cell of the appropriate column to denote the survey type (std., 23-day or 90-day enforcement track).																		
Performance Result = # of cells marked yes for PI# 3, 4 5, 6a, 6b. 6c, 6d, 7, 8 and 9 divided by the total # of cells in the PI marked "yes" or "no". Do not include cells marked																		
"NA" in the count.																		
The responses for PI # 3 - 9 could be marked "yes", "no", or NA. For each CLIA # listed, put a response (yes,no, or NA) in the columns labeled PI # 3 - 9.																		

Complaint Tracking System	Performance Indicators														Comments
	1														
	Yes	No*													
			2	3	4a	4b	4c	5	6a	6b	7	8			Comments
Complaint	CLIA # (if applicable)														
A (Complaint Tracking #)															
B															
C															
D															
E															
F															
G															
H															
I															
J															
The responses could be yes, no, or NA. Mark the cells accordingly.															
State Agency															
Date															
Performance Threshold:	90%														
Performance Results:															
Corrective Action Plan Required? Yes NO															
* = If PI # 1 is "No", Corrective Action Plan required.															
Performance Result = # of cells marked yes "divided by" total # of possible cells. Do not include NA for counts.															