

Pre Survey Materials



Can we revise and
streamline the process?

Documents Required (Part 1)

Documents Required to be sent to NYRO and NYSDOH September 2010 ON-SITE AUDIT

Applicable Time Frame for the Documents is September
2008 to Present

1. Organizational chart
2. Service area narrative and maps
3. Minutes: Board, Committees: Participant Advisory Committee, Ethics, QI etc.
4. Contractor/Provider network list, provider directory
5. Staff education calendar

Documents Required (Part 2)

6. Direct care training & annual performance competency methodology tools, policies & procedures
7. Day center activities calendars
8. Board approved QI program description, workplan and Infection control plan
9. Contract review table complete with all executed contracts since our last review (table and instructions are enclosed).
10. Any newly executed or amended contracts. We will review a minimum of 3 contracts per specialty type.

Documents Required (Part 3)

11. Employee, contractor, and volunteer listing by position and hire date.
12. Contract list of any direct care providers for the center, clinic, and home.
13. Participant roster with no participant identifying information (roster is enclosed).
14. All marketing material and marketing plans for 2009 and 2010
15. Enrollment packet including all materials provided to participant during enrollment, provider directory.

Documents Required (Part 4)

16. Licenses:

- Business Licenses
- CLIA Waiver
- LSC Occupancy
- Pharmacy

Documents Required (Part 5)

17. Logs:

- Sentinel Events
- Equipment Inventory Schedule of Maintenance
- On Call
- Refrigerator and freezer
- Glucometer
- Appeals and Grievances

18. Emergency & Disaster Preparedness Plan

Juggling Information

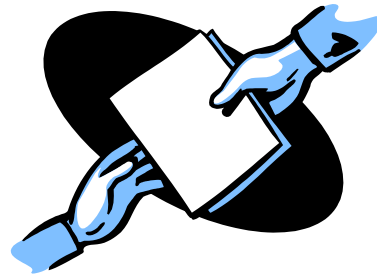
Juggling information for CMS and the SSA.



Can the process be improved?

Open Discussion

Open discussion with PACE organizations



This is an open forum discussion for PACE organizations to give their comments, concerns regarding pre-survey documentation requests.

How It Feels

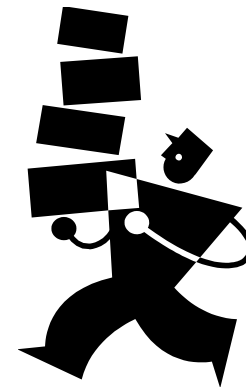
How it feels to get ready for a survey!!!



CMS is looking for suggestions to improve and streamline the pre-survey process.

Sample of Data Requested.

- Current request is for 6 months of data.
- Water temperature logs
- Glucometer logs
- Refrigerator and freezer logs
- DHC activity logs
- Menus



Data Submission



Other Suggestions

- Smaller sample size, i.e., sample of days within a six month time frame instead of the full six months.
- Send in aberrant data only i.e. days when logs are not in compliance.
- Attestation in lieu of full hard copy information.

Industry Concerns

- Staff education training—does it include all staff training or only specialty training?
- Day center activities calendar—could they provide a three-month sample only?
- Logs—can appeals and grievances be done on-site?



Provider Input

- The biggest inefficiency is the copying, collating, and preparation of hard-copy documents for both federal and state staff.
- Suggested goal: Electronic submission through one portal, either via secure email or a CMS web-based application.

Provider Input

- On call logs can be lengthy and unwieldy and contain PHI – consider leaving to on-site inspection only.
- Contracts –usually not looked at until the on-site survey, because original signatures and dates to be verified.

Provider Input

- Marketing and enrollment materials must be approved by CMS and the SAA prior to use, so asking for these at survey is redundant unless the PO is requesting changes or a review of new materials. If CMS is concerned that the PO is straying from approved materials, then perhaps this item is better inspected on site.

Provider Input

Suggested Goal: A list of interviews (everyone who needs to be interviewed or visited in person) and observations that must take place during the 3-4 days of the survey, and let the provider schedule them in advance. Then the survey team can assign an interviewer when the team gets there.