

Facility Assessment: Resources – Physical Plant and Equipment

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Reference F Tag

F838 §483.70(e) Facility assessment.

The facility must conduct and document a facility-wide assessment to determine what resources are necessary to care for its residents competently during both day-to-day operations and emergencies. The facility must review and update that assessment, as necessary, and at least annually. The facility must also review and update this assessment whenever there is, or the facility plans for, any change that would require a substantial modification to any part of this assessment. The facility assessment must address or include:

§483.70(e)(1) The facility's resident population, including, but not limited to,

- (i) Both the number of residents and the facility's resident capacity;
- (ii) The care required by the resident population considering the types of diseases, conditions, physical and cognitive disabilities, overall acuity, and other pertinent facts that are present within that population;
- (iii) The staff competencies that are necessary to provide the level and types of care needed for the resident population;
- (iv) The physical environment, equipment, services, and other physical plant considerations that are necessary to care for this population; and
- (v) Any ethnic, cultural, or religious factors that may potentially affect the care provided by the facility, including, but not limited to, activities and food and nutrition services.

§483.70(e)(2) The facility's resources, including but not limited to,

- (i) All buildings and/or other physical structures and vehicles;
- (ii) Equipment (medical and non- medical);
- (iii) Services provided, such as physical therapy, pharmacy, and specific rehabilitation therapies;
- (iv) All personnel, including managers, staff (both employees and those who provide services under contract), and volunteers, as well as their education and/or training and any competencies related to resident care;
- (v) Contracts, memorandums of understanding, or other agreements with third parties to provide services or equipment to the facility during both normal operations and emergencies; and
- (vi) Health information technology resources, such as systems for electronically managing patient records and electronically sharing information with other organizations.

§483.70(e)(3) A facility-based and community-based risk assessment, utilizing an all-hazards approach.

INTENT OF THE RESOURCES - PHYSICAL PLANT AND EQUIPMENT

Long term care facilities strive to create safe, secure and positive environments to support resident care, health and welfare on a daily basis. The intent of the Physical Plant and Equipment resources elements in the facility assessment requirements is to address or include and evaluate the physical environment, equipment (medical and non-medical), services and other physical plant considerations that are necessary to care for our population every day and during emergencies.

When conducting the assessment, the facility must include or address the facility's resources which include but are not limited to:

- The facility's operating budget
- Supplies
- Equipment (medical and non-medical)
- Other services necessary to provide for the needs of residents (*See Third Party Agreement and Other Services Section of **The RoP Facility Assessment Toolkit** ©*)

Additionally, the facility assessment must include an evaluation of the physical environment necessary to meet the needs of the residents.

- This must include an evaluation of how the facility is equipped and maintained to protect and promote the health and safety of residents.
- This should also include an evaluation of building maintenance capital improvements, or structures, vehicles, or medical and non-medical equipment and supplies.

RESOURCES - PHYSICAL PLANT AND EQUIPMENT PROCESS

Evaluating the facility's physical plant, equipment (medical and non-medical), supplies and supporting maintenance process and financial processes (operating budget and capital improvements) is a means for a facility to gather information that can be reviewed and interpreted to make decisions regarding: resource needs, physical plant needs, capital needs, and improvement needs which correlate with the facility assessment findings. The following depicts a process to evaluate physical plant and equipment resources utilizing the facility Quality Assurance and Performance Improvement process.





1. Team

- a. Assemble a team, overseen by facility administration
- b. Determine a team member to serve as the lead to address or include and evaluate the physical environment, equipment (medical and non-medical), and other physical plant considerations per the facility assessment requirements
 - i. Determine applicable team members to assist with the process
 - ii. Divide into two or three sub-teams to complete the evaluation of:
 - 1. Physical plant, buildings and vehicles
 - 2. Equipment and Supplies – Medical
 - 3. Equipment and Supplies – Nonmedical
 - iii. Example of areas/items to address for the facility assessment –(Source: *Quality Improvement Organization – Facility Assessment Tool*)

Physical Resource Category	Resources – Examples	If applicable, process to ensure adequate supply, appropriate maintenance, replacement
Buildings and/or other structures	Building description, garage, storage shed	
Vehicles	Transportation van	
Physical equipment	Bath benches, shower chairs, bathroom safety bars, bathing tubs, sinks for residents and for staff, scales, bed scales, ventilators, wheelchairs and associated positioning devices, bariatric beds, bariatric wheelchairs, lifts, lift slings, bed frames, mattresses, room and common space furniture, exercise equipment, therapy tables/equipment, walkers, canes, nightlights, steam table, oxygen tanks and tubing, dialysis chair and station, ventilators	
Other physical plant needs	Sliding doors, ADA compliant entry/exit ways, nourishment accessibility, nurse call system, emergency power, alarm systems – wander alerts	



Medical supplies (if applicable)	Blood pressure monitors, compression garments, gloves, gowns, hand sanitizer, gait belts, infection control products, heel and elbow suspension products, suction equipment, thermometers, urinary catheter supplies, oxygen, oxygen saturation machine, Bi-PAP, bladder scanner	
Non-medical supplies (if applicable)	Soaps, body cleansing products, incontinence supplies, waste baskets, bed and bath linens, individual communication devices, computers	

2. Tool

- a. Determine and review the data collection tools needed to collect the applicable data for each area identified
- b. Review the purpose and intent of this process and how to complete the tools with the applicable teams
- c. Set timelines for completion

3. Complete

- a. Conduct the data collection process
 - i. Remember to use internal resources to gather and verify data and inventory, such as:
 - 1. Preventative maintenance program
 - 2. Equipment inventory
 - 3. Equipment management plans with inventory
 - 4. Facility par levels for supplies and equipment
 - 5. Partner vendors may have par levels and inventories with records of purchasing/trends
 - 6. Emergency Preparedness Plan
 - 7. Hazard Vulnerability Assessments (HVAs)
 - 8. Safety Plan

4. Review

- a. Review and analyze the findings of the data
- b. Summarize the findings with the Team

5. Identify

- a. Determine trends, if identified, of potential vulnerabilities and improvement opportunities
- b. Summarize the findings with the team

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- c. Determine and implement applicable actions related to the physical plant, supplies and equipment evaluation as it relates to the resident population care and service needs

6. Facility Assessment

- a. Incorporate findings into the applicable sections of the written narrative Facility Assessment.
 - i. Findings should be integrated and compatible with the Facility Assessment and correlating internal programs (i.e. preventative maintenance, equipment management, vendor supply software, etc.)
- b. Utilize the QAPI process

HOW TO INCORPORATE INTO THE FACILITY ASSESSMENT

Per **§483.70(e)**, the facility assessment must include or address an evaluation of the facility's resources related to physical plant, equipment, supplies and other considerations as indicated in the requirements. Therefore, it is important to:

- Gather the outcomes data related to:
 - Physical plant, buildings and vehicles
 - Equipment and Supplies – Medical
 - Equipment and Supplies – Nonmedical
- Use the information to answer the questions:
 - How did the facility determine what equipment, supplies, and physical environment would be required to meet all resident needs?
 - Can we describe our physical plant layout, lay out of our building, any other physical structures and vehicles
 - What types of equipment do we have or need to care for our resident population?
 - Have we conducted a physical inventory of our _____?
 - Do we have enough equipment and is our equipment in good repair to care for our resident population? (i.e. lifts, slings,
 - What types of services do we obtain, provide or access to care for our resident population?
 - Are there any other physical plant considerations (i.e. small therapy gym however not a private space to provide speech therapy,
 - Do we have adequate areas to provide activities and a meaningful dining experience?
 - Do we have an effective Preventative Maintenance Program? (i.e. detailed which includes equipment management program, work order communication and documentation of PMP process)



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- Incorporate your processes into your QAPI plan
- Monitor the facility assessment annually or upon a change in the facility's operation that would require a substantial modification in the assessment and adjust the facility training plan accordingly.
- Write a narrative description of the facility's training evaluation process for inclusion, see below, into the narrative Facility Assessment. See the Facility Assessment Template.
- List (or refer to or provide a link to inventory) physical resources. If applicable, describe your processes to ensure adequate supplies and to ensure equipment is maintained to protect and promote the health and safety of residents.

See the Facility Assessment Template SAMPLE related to the inclusion of the necessary information obtained via this process for the completion of the Facility Assessment.

References

State Operations Manual (SOM) Appendix PP for Phase 2, F-Tag Revisions, and Related Issues

www.cms.gov/Medicare/Provider-Enrollment-and-Certification/GuidanceforLawsAndRegulations/Downloads/Advance-Appendix-PP-Including-Phase-2-.pdf

Quality Improvement Organizations, Facility Assessment Tool (2017) <http://qioprogram.org/facility-assessment-tool>

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