

# Introduction to the Facility Assessment

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Illinois

## Facility Assessment

§483.70(e) F Tag 838

### Introduction

The Requirements of Participation for Skilled Nursing Facilities **§483** (2016) includes a required facility assessment. The intent of this assessment is for the individual facility to evaluate its resident population and identify the resources needed to provide the necessary care and services the facility residents require. The facility assessment is intended to assist facility leadership to determine the appropriate resources to care for residents on a daily basis as well as in emergency situations.

As identified in **§483.70(e) F838**, the facility assessment shall include specific evaluation of key areas such as:

- resident census
- facility capacity with imposed restrictions as applicable
- specific resident population demographics (i.e. specific diseases, diagnosis, cognitive conditions, specialty clinical populations, infections, behaviors, et al)
- number, types and training of staff necessary to provide the necessary care and services
- staff competencies – including nursing and non-nursing personnel as it relates to the resident population needs
- cultural, ethnic and religious needs
- specific services and resources for the provision of those services such as pharmacy, rehabilitation, behavioral health, respiratory and other special services
- other resources such as physical plant, equipment (medical and non-medical)
- access to services via third parties and correlating provisions of services day to day and in emergency situations, including the review of said agreements with provision inclusions
- training program evaluation
- health information technology and sharing of resident information
- completion of a community and facility risk assessment, utilizing an all hazards approach, in conjunction with the required emergency preparedness plan
- process for identification of gaps in performance related to adverse events
- integration into the facility Quality Assurance and Performance Improvement process
- monitoring of the plan and updating the plan on an annual basis or upon a change in the facility's operation that would require a substantial modification in the assessment and as needed.

The facility assessment is not to be a “cookie cutter” approach to documenting assessment findings, rather it should reflect the individuality of the facility's specific resident population,



programs, and services. CMS guidance indicates that the facility assessment should be completed at the individual facility level rather than a document provided and completed at the corporate level. The assessment process and its findings are intended to provide the foundation for operational, clinical and resource allocations by facility leadership and current operations. It will provide the opportunity to evaluate operational plan and practices. It is important to note that the facility assessment will need to be accessible and available to the survey team within four hours of entrance to the facility.

It is important that the facility utilize available internal organization data to support the assessment, reflecting the resident population. Data can be derived from the Minimum Data Set (MDS) which can support information such as: cognitive conditions, care requirements, diagnosis, and more. As previously indicated, a specific methodology or reporting format has not been mandated, however there are best practice data collection tools and resources available to assist facilities in developing the facility assessment. Of primary importance is the accuracy of the data and its correlation to the specific assessment components identified.

Key implementation dates for the facility assessment

November 28, 2017 Facility Assessment Document Completed

November 28, 2019 Link of the Facility Assessment to Outcomes During Annual Survey

Navigating the expectations and intent of the Requirements of Participation for Skilled Nursing Facilities can be daunting and additional burdens on facility leaders. Many facilities have the processes in place to assess the resident population and the resources necessary to provide care and services to the population, however having a formal written articulated and documented system may not be in place.

The **RoP Facility Assessment Toolkit** © is designed to assist leaders with the tools, resources and staff education to complete and support their individual facility assessment. This comprehensive Toolkit provides practical, step-by-step guidance for organizations as they work with their teams to evaluate the facility resident population, resource availability and allocation in accordance with resident care and service needs and the other required components to develop their written facility assessment.

The **RoP Facility Assessment Toolkit** © is customizable to meet specific State and organization needs. It includes the following areas required for the Facility Assessment with corresponding resources and tools:

- **Leadership Implementation Strategies and Resources**
- **Facility Implementation Guide and Checklist**
  - A leader's guide for successful implementation.
- **Facility Assessment Policy and Procedure**
  - A detailed P&P that can be customized to meet your organization specific needs

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- **Organization Data Needs for the Facility Assessment**
  - Data sources
- **Facility Assessment Template and Tools – How to Complete the Assessment**
- **CMS Facility Assessment Resource Template**
- **Required Facility Assessment Components**
  - Facility Resident Population
    - Overview
    - Resident Demographics
    - Data Source and Collection
    - Tools, Templates and Resources
  - Personnel Resources
    - Overview
    - Review of Personnel Resources
    - Personnel and Resource Pyramid
    - Competencies – Tools, Resources and Templates
      - Non-Nursing Personnel
      - Nutritional Services
      - Nursing Services
  - Evaluation of Training Programs
    - Intent and Overview
    - Evaluation
      - Onboarding
      - Orientation
      - On the job training
      - Specialty programs
      - New Conditions and New Equipment Training
      - Gaps in competence related to adverse events
      - Annual
  - Infection Control
    - Infection Data Sources and Utilization for the Facility Assessment
    - Required components of Infection Prevention Program
    - Competencies needed for Infection prevention
    - Integration with FA and QAPI
  - Policy and Procedure Review Process
    - Intent and overview
    - F Tag and Policy and Procedure cross walk
  - Facility and Community Risk Assessment
    - Intent and Overview
    - HAV Template and how to use
    - Business Impact
    - Community and Regulatory Resources



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- Facility Assessment and Emergency Preparedness plan coordination
- E Tags Cross walk and Surveyor Guidance
- Tools, Templates and Resources
- Resources - Physical Plant and Equipment
  - Intent and Overview
  - Tools, Templates and Resources
    - Medical and Non-Medical
    - Vehicle
    - Buildings and Physical Plant
      - Building assessment and vulnerabilities
- Health Information Technology
  - Intent and Overview
  - Tools, Templates and Resources
- Third Party Agreements, Contracts, Memorandum of Understanding
  - Intent and Overviews
  - Tools, Templates and Resources
- Quality Assurance and Performance Improvement (QAPI)
  - Intent and Overviews
  - Facility Assessment and QAPI coordination
  - Tools, Templates and Resources
- **Training Plan**
  - Designed for the facility assessment overview.
- **Competency Test**
  - Training Post-test.
- **Competency Test Answer Key**
  - Training Post-test Answer Key.
- **Education PowerPoint**
  - Comprehensive training already written for you and your team.
- **Trainer Notes**
  - PowerPoint Speaker Notes
- **Performance Improvement Resources**
  - Audit tools, Checklists, Data Collection, and more.

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