

# ***The New CMS QIS Process: An Overview***

**HSAG Pressure Ulcer Collaborative**

**Learning Session 6**

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Joe Bestic, NHA, BA  
Director, Nursing Home  
Health Services Advisory Group, Inc. (HSAG)

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## ***Objectives***

- Learn about the purpose and objectives of the Centers for Medicare & Medicaid Services (CMS) Quality Indicator Survey (QIS) process.
- Learn about the components of the CMS QIS process.
- Understand the differences between the traditional nursing home survey and the CMS QIS process.
- Learn about ways to prepare for the CMS QIS process.

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## ***CMS QIS Process Overview***

- The QIS is a revised long-term care survey process that was developed under CMS' oversight through a multi-year contract.
- The QIS was designed as a staged process for use by surveyors to systematically review requirements and objectively investigate all triggered regulatory areas.

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## ***CMS QIS Process Overview (cont'd)***

- The QIS provides a structure for an initial review of larger samples of residents based on the MDS, observations, interviews, and clinical record reviews.
- Using on-site automation, survey findings from the first stage are combined to provide rates on a comprehensive set of Quality-of-Care Indicators (QCIs) covering resident- and facility-level federal regulatory areas for nursing homes.

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## ***CMS QIS Process Overview (cont'd)***

- The second stage then provides surveyors the opportunity to further investigate care areas of concern.
- Although the survey process has been revised under the QIS, the federal regulations and interpretive guidance remain unchanged.

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## ***CMS QIS Process Objectives***

The QIS was designed to achieve several objectives:

- Improve consistency and accuracy of quality-of-care and quality-of-life problem identification using a more structured process.
- Systematically review requirements and objectively investigate all triggered regulatory areas within current survey resources.

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## ***CMS QIS Process Objectives (cont'd)***

- Enhance documentation by organizing survey findings through automation.
- Focus survey resources on facilities with the largest number of quality concerns.

***Note:***

***Initial testing of the QIS process has revealed it yields increased consistency and improved documentation of survey findings.***

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## ***CMS QIS Process Components***

- The QIS process uses customized software, called the “QIS Data Collection Tool” (QIS DCT), on convertible tablet PCs to guide surveyors through a structured, two-stage investigation.
- The process begins with off-site preparation activities (similar to those completed during the traditional federal long-term care survey process), which include team assignments and review of available information regarding prior deficiencies, complaints, ombudsman information, and existing waivers/variances.

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## **CMS QIS Process Components (cont'd)**

- Unlike the traditional survey process, the QIS does not require surveyors to review the Quality Measure/Quality Indicator (QM/QI) and OSCAR 4 reports or preselect potential residents for review prior to the survey.
- MDS data are also loaded off-site into surveyors' tablet PCs.

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## **CMS QIS Process Components (cont'd)**

- The MDS data are used to create the resident pool from which the Stage I samples are randomly selected and are used to calculate the MDS-based QCI in Stage I.
- Following the off-site activities, and upon entry into the facility, a formal entrance conference is held during which necessary information is requested from the facility.
- Concurrent with the entrance conference, an abbreviated tour of the facility is conducted to provide an orientation to the residents, staff, and facility layout.

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## **CMS QIS Process Components (cont'd)**

Three distinct Stage I samples include:

1. Census sample—focuses on quality of care and quality of life and includes 40 randomly selected residents in the facility at the time of the on-site visit.
2. Admission sample—includes 30 recent admissions (emphasizing SNF post-acute patients and long-stay admissions on critical issues such as rehospitalization, death, or functional loss).

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## **CMS QIS Process Components (cont'd)**

3. MDS sample (used by the QIS DCT to calculate MDS-based QCIs)—includes facility-reported information for all residents who had an MDS assessment at any time within the past six months (except discharge or re-entry assessments).

***In addition to these three samples, other residents and issues can be selected at the surveyors' discretion.***

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## ***CMS QIS Process Components (cont'd)***

- Stage I involves a preliminary investigation of both the census and admission samples. This review is completed through staff, resident, and family interviews; resident observations; and clinical record reviews.
- Concurrent with the resident-level tasks, facility-level investigations are started that include a resident council president interview, observations of dining and kitchen areas, observations of the facility's infection control practices, observations of medication administration, reviews of demand billing processes, and reviews of quality assessment and assurance programs.

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Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## ***CMS QIS Process Components (cont'd)***

- Upon completion of Stage I, the data are used together with MDS data to construct resident-centered outcome and process indicators—QCIs.
- The QIS DCT is used to calculate the QCI results, which identify Care Areas that will require further investigation during Stage II.
- When the rate of a QCI exceeds a specified national benchmark or “threshold,” that QCI identifies or “triggers” a Care Area for Stage II investigation.

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Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## ***CMS QIS Process Components (cont'd)***

- Stage II involves an in-depth resident-level investigation of Care Areas identified at the conclusion of Stage I.
- Investigations follow a set of investigative protocols that assist the surveyor in completing an organized and systematic review of the triggered Care Areas.
- The protocols consist of probes that guide the surveyor through the investigation and assist in determining whether the facility is in compliance with the associated regulations (i.e., whether the “critical elements” of care are in place).

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## ***CMS QIS Process Components (cont'd)***

- Once the surveyor completes each investigation and determines whether each of the critical elements was met, all findings are entered into the QIS DCT.
- For each unmet critical element, the QIS DCT displays possible F tags for citation and requires the surveyor to enter documentation and assign an appropriate severity level.

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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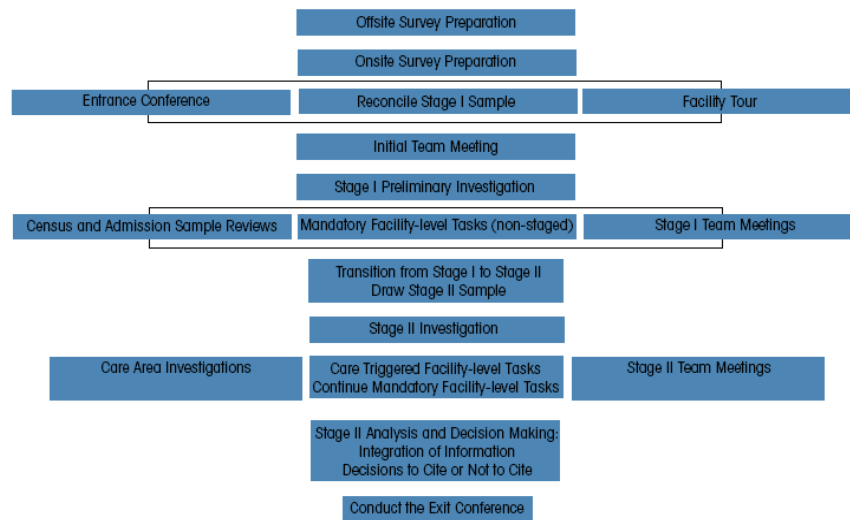
## CMS QIS Process Components (cont'd)

- If no Care Areas are triggered during Stage I, certain facility-level investigations must still be completed.
- Additional facility-level investigations—including abuse prohibition, environment, nursing service staff, personal funds, admission, transfer, and discharge—are completed only if triggered during Stage I.
- After all facility-level and Stage II resident-level investigations have been completed, the team analyzes the results to determine whether deficient practices exist. An exit conference is then conducted with the nursing home staff.

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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FIGURE 1: OVERVIEW OF THE QIS PROCESS



Source: CMS Quality Indicator Survey Demonstration Project Brochure

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# The New CMS QIS Process: An Overview

## TRADITIONAL SURVEY PROCESS

### Information requested of facility upon survey entrance

- Roster Sample Matrix Form (CMS 802)

### Tour

Gather information about concerns that have been pre-selected, new concerns, and other residents for the sample. Determine whether residents pre-selected for the Phase I sample are still present in the facility.

### Sample selection

- Residents selected offsite based on facility's QIs of concern. Sample size is determined by facility census.
- Determine whether any pre-selected concerns should be dropped and whether any pre-selected residents should be substituted based on review of Roster/Sample Matrix and findings from the tour.
- Determine which pre-selected Phase I sample residents are interviewable and number of reviews to complete based on census.
- Select residents for comprehensive or focused reviews.

## QIS PROCESS

### Information requested of facility upon survey entrance

- Alphabetical list of residents and their room numbers.
- List of new admissions over last 30 days.

### Tour

Initial brief review to gain information about the resident population, staff, and facility layout. The purpose is neither to select a sample of residents for review nor to gather detailed information regarding specific concerns.

### Sample selection

Samples include:

- MDS Offsite sample – residents with an MDS within 180 days prior to survey. (This information is only used by the QIS DCT to calculate QICs.)
- Admission sample – 30 randomly selected residents admitted more than 30 days prior to survey who had an MDS within 180 days prior to survey.
- Census sample – 40 randomly selected residents currently residing in the facility.
- Surveyors may initiate additional residents or issues at their discretion.

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## TRADITIONAL SURVEY PROCESS

### Survey structure

Phase I involves both comprehensive and focused reviews. Phase II involves focused and closed record reviews.

### Review process

Surveyors complete the Resident Review, which includes observations, interviews and record reviews for the sampled residents.

### Automation

At this point, most data collection is done on paper; computers are used only for the Statement of Deficiencies.

### Interviews

The survey process includes Resident Interviews, Family Interviews and Group or Council Interviews.

## QIS PROCESS

### Survey structure

Stage I involves a preliminary investigation of regulatory areas in the Admission and Census samples. Stage II involves an in-depth investigation of triggered Care Areas in a Stage II sample chosen based on Stage I findings and surveyor initiated samples

### Review process

Follow consistent protocols for making observations, conducting interviews, and reviewing clinical records in Stage I; also includes specific structure for Stage II review and documentation.

### Automation

Each team member uses tablet PCs throughout to record findings that are synthesized and organized by QIS DCT software.

### Interviews

The QIS includes resident, family and council president interviews.

Source: CMS Quality Indicator Survey Demonstration Project Brochure

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## **Next Steps**

How can my nursing home prepare for the QIS?

- Use the resident, family, and staff interview questions.
- Use the critical elements to review facility care processes.
- Incorporate the resident, family, and staff interview questions and the critical elements into your facility continuous quality improvement program!

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# **Questions?**

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## Contact Information

Joe Bestic, NHA, BA  
HSAG Director, Nursing Home

[jbestic@hsag.com](mailto:jbestic@hsag.com)

Phone: 602.745.6205

Fax: 602.241.0757



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*Over 1 million drug-related injuries occur every year in health care settings.  
The Institute of Medicine estimates that at least a quarter of these injuries  
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