

# QIS

## Preparing for QIS Implementation

# What is the QIS?

- Approved Federal nursing home survey process to increase consistency, reliability and accuracy
- Uses customized software on tablet PCs to guide surveyors through a two-staged systematic review of the regulatory requirements

# QIS Development

- Produce prototype (1998 – 2005)
- Demonstration and Evaluation (2005 – 2007)
  - Two teams each in: KS, OH, CA, CT, LA
- Develop and refine national training model (2006 – 2007)
  - Three States: FL, CT, KS
- National implementation State-by-State to replace Traditional survey (2007 – present)

# What Does the QIS Provide?

- Structured approach to achieve more accurate and consistent results
- Larger and more diverse randomly selected samples to obtain a more accurate picture of the residents
- Automation to systematically review regulatory areas, synthesize surveyor findings, enhance investigative protocols, and organize surveyor documentation

# What QIS Is Not

## QIS Does Not Represent:

- Change in Social Security Act
- Change in the Regulations
- Change in Interpretive Guidance
- Change in enforcement process

# CMS Issued Guidance

- State Operations Manual, Appendix P
- QIS Training Process
  - State Operations Manual, Chapter 4
- QIS Brochure (S&C 08-21)

# QIS Implementation (April 2010)

- Sixteen currently participating QIS States
  - CT, FL, KS, MN, NM, LA, OH, NC, WV, WA, MD, DE, ME, VT, GA, AZ
- Surveys of Record: 3,943
- Registered QIS Surveyors: Over 500
- CMS Certified QIS Trainers: 52
- CMS RO Registered QIS Surveyors: 21 in seven CMS Regions

# Comparison of QIS and Traditional Survey Process

# Automation

## Traditional

Information documented on paper throughout process; computers are used for Statement of Deficiencies (CMS-2567)

## QIS

Each team member uses a tablet PC to document findings throughout the process; findings are synthesized, organized, and loaded to the CMS-2567 by the software

# Offsite Preparation

## Traditional

- Review:
  - OSCAR 3 and 4 Reports
  - QM/QI Reports
  - Results of complaint investigations
- Pre-select a sample based on above

## QIS

- Review:
  - OSCAR 3 Report
  - Uninvestigated complaints
- Random selection of Stage 1 samples from MDS data loaded onto tablet PCs

# Onsite Preparation

## Traditional

- Roster/Sample Matrix – Form CMS-802

## QIS

- Alphabetical resident census with room numbers/units
- List of new admissions over last 30 days

# Initial Tour

## Traditional

- Gather information about pre-selected residents and identify new concerns
- Determine whether pre-selected residents are still appropriate

## QIS

- Brief overall impression of the facility, the residents, and the staff
- Not intended for sample selection or supplementation

# Sample Selection

## Traditional

- Sample size determined by facility census
- Residents selected based on QM/QI percentiles and issues identified offsite and on the initial tour

## QIS

- Stage 1 sample size:  
Admission (30)  
Census (40)
- Stage 2 sample size based on number of triggered care areas
- Residents selected by software
- Surveyor-initiated sample

# Survey Structure

## Traditional

- Phase I: focused & comprehensive reviews
- Phase II: focused reviews

## QIS

- Stage 1: preliminary investigation
- Stage 2: in-depth investigation of triggered concerns from Stage 1

# Two Stages of QIS

Stage 1: Preliminary investigation of regulatory areas to determine resident care areas and facility practices for Stage 2 investigation

Stage 2: In-depth investigation to determine whether deficient practice exists, document deficiencies, and determine severity and scope

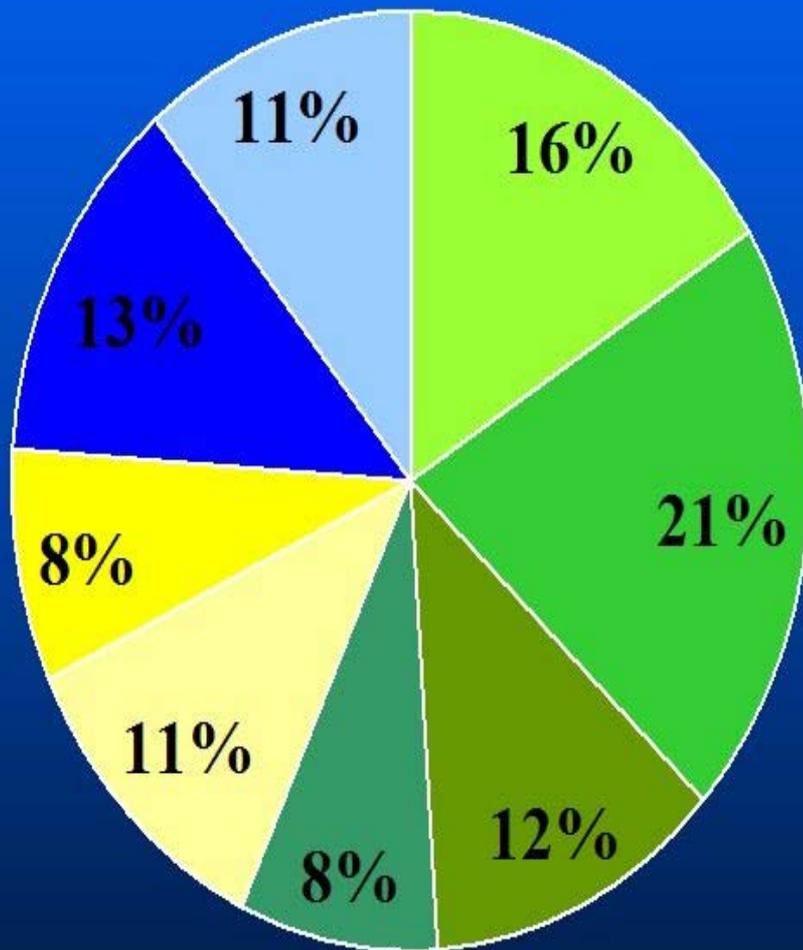
# Three Steps in Each Stage

1. Sampling (computer-generated)
2. Investigation
3. Synthesis

# QIS Stage 1

- Sampling – Random census (40) and admission (30) samples
- Investigation – Structured resident, family, and staff interviews; resident observations; chart reviews
- Synthesis – 128 resident-centered and 34 facility-level Quality of Care and Quality of Life Indicators (QCLIs) to identify care areas that exceed national thresholds

# Stage 1 Triggers for Stage 2



- Resident Observation
- Resident Interview
- Family Interviews
- Staff Interviews
- Admission Chart
- Census Chart
- MDS QIs
- New MDS Indicators

# Surveyor-Initiated Sample

Surveyors can initiate an investigation of care areas for any resident or of facility tasks. Because of the large QIS samples, surveyor-initiated investigations are a small part of the process.

# QIS Facility Tasks

- Completed on every survey
  - Liability Notices & Beneficiary Appeal Rights Review
  - Dining Observations
  - Infection Control and Immunizations
  - Kitchen/Food Services
  - Medication Administration and Drug Storage
  - QAA
  - Resident Council President Interview
- Completed if triggered
  - Abuse Prohibition Review
  - Admission, Transfer, and Discharge Review
  - Environmental Observations
  - Personal Funds Review
  - Sufficient Nursing Staff Review

# QIS Stage 2

- Sampling – Three residents per triggered Care Area plus surveyor-initiated residents (e.g., complaints)
- Investigation – Specific or general Critical Element pathway or facility task pathway and interpretive guidelines
- Synthesis – Determine compliance with each Critical Element, document noncompliance at the applicable F tags, determine severity and scope

# Additional Information

QIS Satellite Broadcast:

<http://surveyortraining.cms.hhs.gov/pubs/VideoInformation.aspx?cid=1082>

QIS Resource Manual:

[http://www.uchsc.edu/hcpr/qis\\_manual.php](http://www.uchsc.edu/hcpr/qis_manual.php)

QIS Electronic Forms and Worksheets:

[http://www.uchsc.edu/hcpr/qis\\_forms.php](http://www.uchsc.edu/hcpr/qis_forms.php)

QIS Brochure:

<http://www.cms.gov/SurveyCertificationGenInfo/downloads/SCLetter08-21.pdf>