COVID-19 Focused Survey Readiness Book

Create a COVID-19 Survey notebook tabbed to match the Survey Entrance Worksheet and this checklist. Utilize this checklist to prepare the documents the surveyors will request. Keeping this updated will assist you in providing these requested documents timely to surveyors.

REQUIRED DOCUMENTS	Check when placed in book	Comments:
Due IMMEDIATELY on entrance/phone request		
1. Current Census		
2. Alphabetical resident listing with room numbers listing any residents out of the facility		
3. List of residents confirmed of presumptive COVID-19		
4. Name of facility staff responsible for Infection Prevention and Control Program		
6. Once provided: Post signage announcing survey in high visibility area		
7. Updated facility floor plan if changes made for COVID		
Due within ONE HOUR		
8. Working schedules for Licensed and Registered Nursing staff for survey time periods		
9. List of Key Personnel, location and phone numbers; contract staff as appropriate (Rehab). Include staff responsible for notifying all residents, representatives and families of confirmed or suspected COVID-19 cases in the facility.		
10. Provide each surveyor access to Medical Record: • Completion of EHR Information worksheet (page 3 of this document)		
11. Electronic Health Record: Is it available for remote access for surveyors? If no remote access allowed with your EHR, evaluate for alternative options: • Ability to fax large amounts of documents to surveyors remotely <OR> • Ability to email surveyors encrypted scanned documents		
12. POLICIES • Infection Prevention and Control Policies and Procedures • Surveillance Plan • Emergency Preparedness to include emergency staffing strategies		
13. The facility's mechanism(s) used to inform residents, their representatives and families of confirmed or suspected COVID-19 activity in the facility and mitigating actions taken by the facility to prevent or reduce the risk of transmission, including if normal operations in the nursing home will be altered (newsletter, email, etc.).		

Additional documents that may be requested

CMS – LTC Facility Assessment Tool https://qsep.cms.gov/data/252/A._NursingHome_InfectionControl_Workshe et11-8-19508.pdf		
Staff • Entrance screening protocol • Return to work screening		
Visitor Restrictions and Exceptions process and criteria (end of life) • Visitor Screening documentation • Signage at entrances for screening and restrictions		
Surveillance line listing for residents is up to date		
Surveillance line listings for staff is up to date		
Facility Assessment available • Documentation of Department of Health Notification as indicated • Documentation of notification to State Survey Agency as indicated per state requirement		
QAPI Meeting at minimum of quarterly • Validation of required members Medical Director, DON and IP attendance (reference state regulations for additional requirements) • Consider recording attendance of COVID-19 calls/meetings that include critical QAPI members.		
Education records • Handwashing • Standard and Transmission Based Precautions: including proper donning/doffing of PPE • Optimizing of PPE plan activated or planned for need • Staff and resident education on COVID-19 • Transfer process with notification of EMS/Acute Care of presumptive symptoms		
Facility Plan for PPE shortage and optimization		
Environmental Cleaning Guides		
Review your Emergency Plan for EOO24		
Prepare staff for phone or in-person interviews by surveyors on COVID-19. Ex: Facility practices for standard and transmission precautions; meal service, environmental cleaning, PPE supply, activities, etc.		

CMS Memo: Interim Final Rule Updating Requirements for Notification of Confirmed and Suspected COVID-19 Cases Among Residents and Staff in Nursing Homes – May 6, 2020; COVID-19 Focused Survey for Nursing Homes on pages 6-14 after memo
- https://www.cms.gov/files/document/qso-20-29-nh.pdf

CMS COVID-19 Survey Entrance Conference Worksheet (Revised May 5, 2020)
- https://bit.ly/367i96O

CDC Strategies for Optimizing PPE
- https://www.cdc.gov/coronavirus/2019-ncov/hcp/ppe-strategy/index.html

ENTRANCE CONFERENCE WORKSHEET
ELECTRONIC HEALTH RECORD (EHR) INFORMATION
Please provide the following information to the survey team within one hour of Entrance.

Provide specific instructions on where and how surveyors can access the following information in the EHR (or in the hard copy if using split EHR and hard copy system). Surveyors require the same access staff members have to residents' EHRs in a read-only format.	
Example: Medications	EHR: Orders – Reports – Administration Record – eMAR – Confirm date range – Run Report
Example: Hospitalization	EHR: Census (will show in/out of facility) MDS (will show discharge MDS) Prog Note – View All - Custom – Created Date Range - Enter time period leading up to hospitalization – Save (will show where and why resident was sent)
1. Infections	
2. Hospitalization	
3. Change of condition	
4. Medications	
5. Diagnoses	

Please provide name and contact information for IT and back-up IT for questions:

IT Name and Contact Info: _____

Back-up IT Name and Contact Info: _____