

AGENCY FOR HEALTH CARE ADMINISTRATION
Bureau of Field Operations
Survey Revision Protocol

Introduction	Survey staff are directed to conduct an exit conference with the facility administrator and other pertinent staff at the conclusion of all surveys. The purpose of the exit conference is to provide the facility representatives with verbal results of the survey. Survey staff are required to inform facility representative that these results are subject to review by the field office manager or designee. During this review process, sometimes it is necessary to modify or delete deficiencies.
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Responsibility	Initiated and Maintained by: The Bureau of Field Operations
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Background	It is imperative that results of any review conducted by the field office supervisory staff wherein deficiency statements are modified or deleted are adequately documented and communicated to the pertinent survey staff as to the circumstances of the changes.
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Survey Review	<p>Field Office Managers and their designees are responsible to review statements of deficiencies to ensure that findings noted are cited to the appropriate regulatory requirement and indeed reflect deficient practice.</p> <ul style="list-style-type: none"> ➤ Deficiency statements will be revised as necessary prior to release to the provider of record. ➤ The field office manager/designee conducting the review must make every attempt to contact the surveyor or team leader as appropriate to discuss the findings that are in question. Such discussion must include a determination if additional information exists in the surveyor notes to substantiate the deficient practice and provide information pertinent to revision of the deficiency(ies) in question. ➤ If contact with the surveyor/team leader is not possible to enable timely processing of the survey report, deficiency revisions will be based on any and all information provided with the survey report. ➤ Documentation of all modifications to a deficiency(ies) will be maintained in the area office. Such documentation will include: <ol style="list-style-type: none"> 1. Reasons for modifications. 2. Results of attempt to discuss modifications with the pertinent survey staff prior to finalization of survey report. 3. Notation that pertinent survey staff were informed of items 1 and 2, above prior to the date the follow-up survey is scheduled for the facility in question. <p>The results of the deficiency reviews will be part of each employee's annual evaluation and will be used to identify staff who need additional training/in-service regarding particular survey processes.</p>
Document Management	<p>When changes are made to the survey document, at any stage, copies or prior documents are maintained.</p> <ol style="list-style-type: none"> 1. If a statement of deficiency is revised such that substantive changes to the document are made which result in altering the scope/severity, deleting a deficiency entirely or adding a new deficiency before it is mailed to the provider, the prior record is considered a rough draft of the surveyor/office work papers and will be maintained by the supervisor with the documentation as to the purpose of the change(s) as noted above. 2. If a statement of deficiency is revised after it has been sent to the provider, the new statement of deficiency is marked “amended” and replaces the prior document. The official record and the prior record(s) will be maintained in the facility file with a notation as to the purpose of the change.

Signature:

Polly A. Weaver
Chief, Bureau of Field Operations

July 13, 2005
Date