

## Quality Assessment and Assurance (QA&A) Review

Facility Name: \_\_\_\_\_ Facility ID: \_\_\_\_\_ Date: \_\_\_\_\_

Surveyor Name: \_\_\_\_\_

**Part 1:** Complete for all facilities.

**Part 2:** Complete only if the survey team has identified actual or probable quality deficiencies (i.e., noncompliance) during Stage 1 or Stage 2. The goal of Part 2 is to determine whether the facility's QA&A committee effectively identifies quality deficiencies (quality problems) and deals with them, and whether staff knows how to access the QA process.

Review	Notes
<b>Part 1: Complete for all facilities</b>	
<p>Note: The surveyor(s) should not conduct a review of the minutes of the QAA committee, as the regulation does not require the facility to disclose these records. The facility may choose to provide these records; however, surveyors should not review the records until after the team completes their investigations. QAA records should not be used as a source to identify concerns for investigation and cannot be used to cite deficiencies unrelated to the QAA committee requirement.</p>	
<p>During the Entrance Conference, the team coordinator requested the following information about the Quality Assessment and Assurance (QAA) committee:</p> <ol style="list-style-type: none"> <li>1. Name of QAA contact person,</li> <li>2. Names of QAA committee members, and</li> <li>3. Frequency of QAA committee meetings.</li> </ol> <p><input type="checkbox"/> Review Ombudsman complaints/concerns (obtained during offsite preparation).</p> <p><input type="checkbox"/> Determine through interview of the QAA contact person and review of the information requested during the Entrance Conference:</p> <ul style="list-style-type: none"> <li>▪ Whether the facility has a functioning QAA committee;</li> <li>▪ Who participates on the committee;</li> <li>▪ Who leads the committee; and</li> <li>▪ How often the committee meets.</li> </ul> <p><input type="checkbox"/> During team meetings, the team discusses identified concerns about facility compliance.</p> <p><i>Note: The medical director may be the designated physician who serves on this committee.</i></p>	

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Review	Notes
<b>Part 1: Complete for all facilities</b>	
<b>1. Does the facility have a QAA committee that consists of at a minimum, the director of nursing, a physician designated by the facility, and 3 members of the facility staff?</b> <div style="text-align: right;"> <input type="checkbox"/> Yes   <input type="checkbox"/> No   <b>F520</b> </div>	
<b>2. Does the facility have a QAA committee that meets at least quarterly?</b> <div style="text-align: right;"> <input type="checkbox"/> Yes   <input type="checkbox"/> No   <b>F520</b> </div>	

Review	Notes
<b>Part 2: If actual or probable quality deficiencies are identified anytime during Stage 1 or Stage 2 of the survey</b>	
<p><i>If no actual or probable quality deficiencies are identified anytime during Stage 1 or Stage 2 of the survey, mark Questions 3 and 4, “NA, no actual or probable quality deficiencies were identified anytime during the survey.”</i></p> <p><i>Note: The surveyor must be able to identify the relationship between the facility’s noncompliance cited at other regulatory tags and the failure of the QAA Committee to function effectively.</i></p> <p><input type="checkbox"/> Interview QAA contact person to determine:</p> <ul style="list-style-type: none"> <li>How the QA&amp;A committee identifies issues to be addressed by the QAA program (e.g., trends, patterns, positive and negative outcomes);</li> <li>The methods the committee uses to develop action plans; and</li> <li>How current action plans are being implemented.</li> </ul> <p><input type="checkbox"/> Interview staff in various departments to determine whether they know how to bring an issue to the attention of the QAA committee.</p> <p><input type="checkbox"/> If the team identifies concerns that reflect actual or probable noncompliance, the surveyor should interview the QAA contact person to determine whether:</p> <ul style="list-style-type: none"> <li>The committee knew or should have known about the concerns;</li> <li>The committee had considered the quality deficiency;</li> </ul>	

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Review	Notes
<b>Part 2: If actual or probable quality deficiencies are identified anytime during Stage 1 or Stage 2 of the survey</b>	
<ul style="list-style-type: none"> <li>The committee determined that an action plan was needed;</li> <li>The committee made a good faith effort to develop and implement any action plans to address the concerns; and</li> <li>The staff are providing care according to the directives of these action plans.</li> </ul> <p>Note: The survey team may look for evidence of the QAA committee's plans and strategies through: observations of the facility's implementation of policies, procedures, and plans of care, staff interviews; resident interviews; and other sources of information. If the desired outcomes are not achieved, look for evidence that the facility revises the plan or strategy, or reaffirms the continued appropriateness of current approaches.</p> <p><input type="checkbox"/> Observe care delivery for evidence that staff follows defined protocols and determine whether practices and processes reflect issues identified through the QAA process.</p> <p><input type="checkbox"/> Ask facility staff to demonstrate how they developed, implemented, and revised appropriate corrective actions.</p> <div style="background-color: #e0e0e0; padding: 5px; margin-top: 10px;"> <b>3. Does the facility have a QAA committee that identifies issues that require quality assessment and assurance activities?</b> <input type="checkbox"/> Yes   <input type="checkbox"/> No   <b>F520</b>  <input type="checkbox"/> <b>NA, no actual or probable quality deficiencies were identified anytime during the survey</b> </div> <div style="background-color: #e0e0e0; padding: 5px; margin-top: 10px;"> <b>4. Does the facility have a QAA committee that has developed and implemented appropriate plans of action to correct identified quality deficiencies?</b> <input type="checkbox"/> Yes   <input type="checkbox"/> No   <b>F520</b>  <input type="checkbox"/> <b>NA, no actual or probable quality deficiencies were identified anytime during the survey</b> </div>	