Regulatory Compliance Surveys

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About Me...
Regulatory Surveys 2014 to Present Completed Surveys:

- TJC Extension Survey for Child Health Specialty Clinics*
- Commission on Accreditation of Transport Services (CAMTS)
- The American Association for Accreditation of Ambulatory Surgery Facilities (AAAASF) Rural Health Survey – Sigourney and River Crossing*
- Joint Commission Advanced Certification – Palliative Care
- FDA Visit – IVF and Cellular Therapies*
- Joint Commission Advanced Certification – Ventricular Assist Device
- Joint Commission UICMS – Laboratory Survey*
- IDIA Dialysis In-Center, Home, & Pediatrics*
- Joint Commission For-Cause – Credentialing and Informed Consent*
- IDIA Incident & Complaint Investigation – Patient Rights*
- IDIA Dialysis In-Center, Home, & Pediatrics Revisit*
- IDIA Follow-up Patient Rights Survey*
- NCQA Patient-Centered Medical Home Recognition
- FDA Visit – DeGowin Blood Center*
- TJC Comprehensive Stroke Survey
- Commission on Accreditation of Transport Services (CAMTS) Revisit for Ground Transportation
- ACS Adult & Pediatric Trauma Review
- Pulmonary Hypertension Association – Care Center Review
- EMTALA Investigation*
- ACS Burn Center Re-verification Survey
- IDIA Incident – Patient Rights*
- TJC Lab Survey*
- TJC Palliative Care Survey*
Upcoming Surveys:

- Anytime: IDIA or TJC can survey the hospital at any time. IDIA is on site frequently for investigations into complaints and self-reported incidents.
- IDIA Dialysis Grinnell, Washington, and Muscatine (anytime)
- CMS Transplant Certification Survey (anytime)
- TJC Aortic Aneurysm and Valve Repair and Replacement Survey (March, 2016)
- TJC VAD Survey (July, 2016)
- TJC UICMS Lab Survey (August, 2016)
- TJC Hospital Survey (September, 2016)
- Foundation for Cellular Therapy (Fall 2016)
- TJC UICMS Ambulatory Survey (December, 2016)
What is The Joint Commission?
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- Healthcare accrediting organization
- By achieving accreditation:
  - UIHC demonstrates a commitment to provide safe, quality care to its patients.
  - CMS and all insurance providers allow us to bill for our services
  - UIHC can obtain annual licensure of beds through the State of Iowa
  - Allows training programs to take place
The Survey Process

- Almost all surveys are unannounced
- Survey length – 1 day to 5 weeks
- Patient Tracer Methodology for assessment
  - Focus on patient flow through the system of care
  - Focus on critical systems and work flow processes
  - Focus on "Patient Story"
- The Joint Commission focuses on National Patient Safety Goals
What is the role of the staff in the survey/during a tracer?

- Surveyors are allowed to go to any area of the hospital
- Surveyors are allowed to review patient information
- They will ask to speak with the staff members involved with caring for a chosen patient
- Assume they will want to talk with you:
  - Have confidence in your response
  - It is an open book test and you can ask others for assistance if you do not know the answer
Examples of what you could be asked:

- Show me your documentation.
- Tell me how you communicate your plan with nursing.
- Show me where the nurses documented the vitals.
- What is your role in patient safety (i.e., NPSGs)?
- What makes you competent in your role and how you were oriented in that role (i.e., licensure, yearly competencies)?
- How is care coordinated and communicated with other disciplines (i.e. care planning)?
- What you would do in an emergency (i.e. fire)?
- How do you support patient rights?
- What are your Performance Improvement Projects on your unit?
Joint Commission Hot Topics

- Endoscope processing and other sterilization, high level disinfection and storage issues
- Generator testing issues
- Quality Assurance/Performance Improvement not inclusive/integrated
- Clinical alarm issues
- Medication management—safe administration, ordering issues, etc.
- Restraint and seclusion issues
Hot Topics for Physicians

- History and Physicals
- Blood Consents
- Hand-Off Communication
- Advanced Directives
- Post-Operative Note
- Informed Consent
History and Physicals

- 24 hours after admission
- No more than 30 days prior to procedure
- Update required immediately prior to procedure (or “I have examined the patient......” noted)
Blood Transfusion Consents

- Transfusion Consent for patients during an operative procedure is 100% compliant

- Elective Transfusions documentation missing
  - Audits show we are usually at 90%, need to reach 100%
Post-Operative Note

- Immediate post-op note must be entered before patient taken to next level of care
  - Primary surgeon and assistants
  - Procedure performed and description of procedure findings
  - Estimated blood loss
  - Specimens removed
  - Postoperative diagnosis
- Full Operative Note must be dictated within 24-hours post procedure.
Hand-Off Communication

- Off-service to on-service handoff by physicians
  - Off service patient status report by the responsible physician to the on service physician is required
- Transfer of a patient from the OR to a post-operative area
  - Requires a report from the anesthesiologist to the post-operative caregiver
Informed Consent

- Must be completed for all procedures being performed
  - Signed, timed, and dated
- Process
- E-Signature Project
What to do if you have policy questions, concerns, or you just do not agree with a current policy?
1. Never provide an impromptu hospital tour. Escort surveyors directly to the appropriate place/person.
2. Patient care comes first. If you need to leave a surveyor to check on a patient, be polite and offer to meet the surveyor again as soon as possible.
3. Be flexible. You may be interviewed once, multiple times, or not at all. Regardless, be ready.
4. Surveyors may observe you – sometimes without warning. Focus on providing quality patient care and following proper procedures, and remember HAND HYGIENE.
5. Ask the surveyor to repeat or clarify a question when you are unclear of what they are asking and when you need additional time to think of your response. If you don’t know the answer to a question, be able to show the surveyor where you can find it (i.e. the policy manual).