

TO:            **Nursing Home Administrator**

SUBJECT:    **Minimum Data Set, Version 3.0 (MDS 3.0) Focused Survey**

We are conducting an on-site focused survey of your facility regarding MDS 3.0 coding accuracy. This survey is part of a Centers for Medicare & Medicaid Services (CMS) pilot program that is intended to document MDS 3.0 coding practices in facilities and the associated care planning for nursing facility residents. This pilot was announced earlier this year by CMS in Survey & Certification (S&C) Memorandum 14-22-NH *Focused Minimum Data Set (MDS) and Dementia Care Surveys*.

While this survey is not intended to impact a facility's standard survey cycle, if deficient practices are noted during the survey, enforcement procedures will follow (e.g., a statement of deficiencies will be issued and a plan of correction will be required). At the conclusion of the survey, which is expected to take approximately two days, an exit conference will be conducted.

Access to resident medical records, including MDS 3.0 assessments and associated information to support coding, will be required during the survey. In order to expedite the survey process, please provide a staff member familiar with the MDS 3.0 process (e.g., the MDS Coordinator) to provide a medical record overview, including of all information used to support MDS coding. Below are listings of information that is required to be provided to the surveyors immediately upon entrance and within one hour of the entrance conference, respectively.

#### **INFORMATION TO PROVIDE THE TEAM IMMEDIATELY UPON ENTRANCE**

- The facility census number and an alphabetical resident census, with room numbers/units. The facility should note residents on the census who are not in the facility (e.g., in the hospital, home visit, etc.).
- A copy of the facility floor plan.

#### **INFORMATION TO PROVIDE WITHIN ONE HOUR OF ENTRANCE CONFERENCE**

- The 10 most recent OBRA-required Minimum Data Set (MDS) assessments that the facility staff have completed and submitted for current residents as well as any subsequent correction requests that have been submitted for those assessments and medical records to support MDS coding. OBRA-required MDS assessments will have a reason for assessment (RFA) noted in A0310A. OBRA-required assessments combined with assessments done for PPS reasons may be used.
- Copies of policies and procedures related to Resident Assessment Instrument (RAI), including the MDS, and the Quality Measures (QMs).
- The staffing schedules for all staff involved in scheduling, coding, and transmitting MDSs with their role in the assessment process delineated.
- The name and contact information for the Quality Assessment and Assurance (QA&A) coordinator.

- Focused Survey Facility Worksheet (MDS Worksheet #1) to reflect a list of current residents and their room numbers with any of the following conditions and/or devices in use in the last 90 days:
  - Pressure ulcers.
  - Indwelling catheters (including urethral catheters, suprapubic catheters, and nephrostomy tubes).
  - Restraints other than side rails, including those used on an as needed (PRN) basis.
  - Urinary tract infections (UTIs).
  - Antipsychotic medications.
- A list of all residents who fell in the past 12 months (e.g., if the date of this survey is July 1, 2014, the facility should provide information regarding July 1, 2013 through the present day), the date of the fall, and any resulting injury (including notation of no injury if that is the case).