

# Facility Assessment: How to Use the Toolkit

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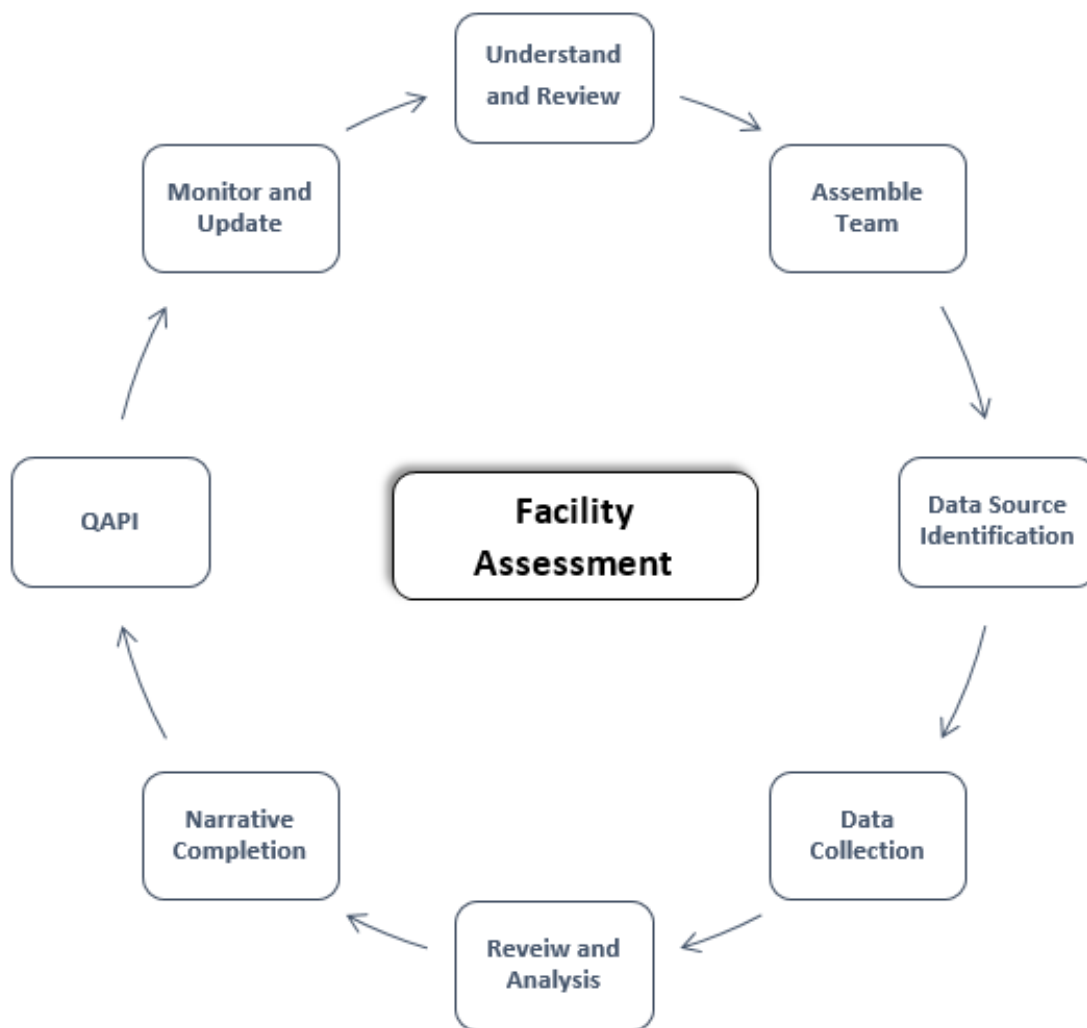


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## How to Use the Facility Assessment Toolkit

The **RoP Facility Assessment Toolkit** © is designed to provide practical, step-by-step guidance for organizations as they evaluate their individual facility resident population, resource availability and allocation in accordance to resident care and service needs and other required elements in developing their written facility assessment. The following depicts the steps recommended when completing the Facility Assessment:



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## Recommended Steps – Overview

1. **Understand and Review** the Intent of the Facility Assessment Requirements
  - ***Read and review*** the §483.70(e) Facility Assessment requirements and interpretive guidance with your team
  - ***Inter-related*** - the Facility Assessment, Quality Assurance and Performance Improvement plan and the Emergency Preparedness Plan are inter-related
  - ***Other requirements*** - The Facility Assessment is integrated into many areas of the Interpretive Guidance and will need to be appropriately addressed across departments within the facility. \*See the *Facility Assessment F838 Crosswalk* resource tool located in the Resource Section of **The RoP Facility Assessment Toolkit ©**
  - ***Review*** the *Facility Assessment Implementation* Guide with your leadership team and determine necessary actions
  - ***Develop and implement*** a Facility Assessment Policy and Procedure (See: *Facility Assessment Policy and Procedure Template*)
  
2. **Assemble the Team**
  - ***Required Team*** - Led by the facility administrator , the minimum team requirements include:
    - Administrator
    - Director of Nursing
    - Medical Director
    - Governing Body representative
  - ***Optional Team Members*** as applicable
    - Environmental services
    - Plant operations
    - Social services
    - Activity therapy
    - Dietary
    - Direct care staff
    - Residents or representatives
    - Resident council
    - Family Council
    - Others
  - ***Roles and Responsibilities***
    - List the team members on the *Facility Assessment Team Roster*
    - Determine roles and responsibilities
    - Set completion dates
    - Set meeting dates for review and analysis
    - Determine communication strategy related to findings and questions

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### 3. Data Source Identification

- *Existing data sources* – utilize existing data sources for completion of the element requirements
- *Determine data sources*
  - Review elements and correlate data sources
  - See **RoP Facility Assessment Toolkit ©** sections for recommended facility data sources

### 4. Data Collection

- *Collect data* – team members to complete their assigned sections of the facility assessment
- *Verify data* – verify the accuracy of the data thorough out the evaluation process.
  - If there are gaps in data or performance, review findings with leadership and initiate the appropriate improvement plan per facility policy
- *Data sources and what to collect* are recommended in each section – correlating to the requirements as well as the QIO Facility Assessment Template.
- *Summary initial findings* – team members will summarize their findings by utilizing the *Facility Assessment Worksheet* for each section of the **RoP Facility Assessment Toolkit ©**

### 5. Review and Analysis

- *Analyze* - Based upon the data collected, the team should review the raw data, analyze for trends and gaps and useful facility insights. Utilize *the Facility Assessment Summary Worksheet* per section to help summarize the findings
- *Organize* the data and trends to determine key business strategies
- *Action* - Review with team to determine next steps, action steps related to gaps and needs identified, and roles and responsibilities for action step completion
- *Present Findings* – review findings with facility leadership, correlate to facility operating budget, and strategic plan

### 6. Narrative Completion

- *Collate* all worksheets
- *Complete* the Facility Assessment Narrative Template – draft
- *Review* the draft with team
- *Prepare* the final narrative Facility Assessment (See Sample Template)
- *Maintain* the official copy of the Facility Assessment per policy

### 7. Quality Assurance and Performance Improvement (QAPI)

- *Incorporate* the Facility Assessment findings into the QAPI process.

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## 8. **Monitor and Update**

- *Annual review* – complete an annual review of the Facility Assessment and corresponding processes per requirement
- *Monitor* the facility assessment throughout the year via the QAPI process
- *Update and revise* the Facility Assessment whenever this is or the facility plan for a change that would require a modification to any part of the assessment

**How to get started - next steps** – Begin using the **RoP Facility Assessment Toolkit ©** to develop your facility assessment.

1. Complete the Facility Assessment Team Roster
2. Review the contents of each section of the **RoP Facility Assessment Toolkit ©** with the assigned team member.
  - a. Each section includes the following:
    - i. Overview and intent of the specific required element
    - ii. Data compilation worksheet
    - iii. Recommended data sources
    - iv. Data collection tools
    - v. Resources
3. Complete the data collection process
4. Analyze and determine resources, training, competencies, physical plant and technology needed
5. Implement corresponding training
  - a. Specific training based upon the assessment findings
  - b. Overview of the facility assessment process to staff
6. Complete a training program evaluation
7. Complete respective policy and procedure updates
8. Determine Facility Assessment review process and annual review date

The process for completing the Facility Assessment appears overwhelming, however if broken down into specific tasks as outlined in the **RoP Facility Assessment Toolkit ©**, leaders efficiently can work side by side with their team using the Leadership *QuickTIP* to stay on track.



## Facility Assessment Team Roster

Required Element	Task	Team Member	Completion Date	Data Sources
Resident and Facility Population	Census and Capacity			
	Diseases and Conditions			
	Physical and Cognitive Disabilities			
	Other Pertinent Factors and Specialty Programs/Services			
	Overall Acuity			
	Staff Competencies Necessary per population			
	Ethnic, Cultural, Religious Factors including food, nutrition and activities			
	Assisted Technology			
	Individual Communication Devices			
	Physical Space – Resident Rooms, Common Areas, etc.			
Personnel Resources	Staffing Analysis and Ratios			
	Competency Based Training Plan			
	Personnel Listing, Resources and Competencies			
	Nutrition Services			
	Specialized Services			
	Contractual Services and Personnel			
	Volunteers			
	Training Plan Evaluation			

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Required Element	Task	Team Member	Completion Date	Data Sources
Physical Environment	Equipment - Medical			
	Equipment – Non Medical			
	Physical Plant – Buildings and Structures			
	Vehicles			
	Assisted Technologies			
Facility and Community Risk	Hazard Vulnerability Assessment			
	Integration - Emergency Preparedness Plan			
	Corporate Compliance, Ethics, Patient Safety			
Health Information Technology	Electronic Health Record, Resident software			
	Security and Exchange			
	Interruption of Services			
Third Party Agreements	Day to Day Provisions			
	Emergency Provisions			
	Training and Competency			
Infection Prevention	Tracking and Surveillance			
	Resident Population Considerations			
Policy and Procedures	Review of department policies and procedures			

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## Facility Assessment Leadership *QuickTIP*

Step	Action	Completed
<b>Understand and Review</b>	▪ Read and review the §483.70(e) Facility Assessment requirements and interpretive guidance	<input type="checkbox"/>
	▪ Review the Facility Assessment F838 Crosswalk	<input type="checkbox"/>
	▪ Review the Facility Assessment Implementation Guide	<input type="checkbox"/>
	▪ Develop a Facility Assessment Policy and Procedure	<input type="checkbox"/>
<b>Assemble the Team</b>	▪ Complete the Facility Assessment Team Roster	<input type="checkbox"/>
<b>Data Source</b>	▪ Determine existing and needed data sources per required Facility Assessment element	<input type="checkbox"/>
<b>Data Collection</b>	▪ Team members to collect assigned data using data collection tools	<input type="checkbox"/>
	▪ Verify data	<input type="checkbox"/>
	▪ Summarize initial findings on Facility Assessment Worksheets per element	<input type="checkbox"/>
<b>Review and Analysis</b>	▪ Analyze and determine trends	<input type="checkbox"/>
	▪ Determine key business strategies needed and resources needed	<input type="checkbox"/>
	▪ Review initial findings as a team and correlate to operating budget and strategic plan	<input type="checkbox"/>
<b>Narrative Completion</b>	▪ Complete the final narrative Facility Assessment	<input type="checkbox"/>
<b>QAPI</b>	▪ Integrate the Facility Assessment into the facility QAPI process	<input type="checkbox"/>
<b>Monitor and Update</b>	▪ Identify monitoring process with team	<input type="checkbox"/>
	▪ Determine Annual review data	<input type="checkbox"/>
	▪ Update and revise per requirement	<input type="checkbox"/>
	▪ Update corresponding policies and procedures related to Facility Assessment requirement and evaluation findings.	<input type="checkbox"/>

***This tool is developed to serve as a quick checklist for Facility Assessment completion.***