

TOOL: Facility Assessment Elements (Phase II)

§ 483.70 Administration

Intent & Purpose: Facilities need to know themselves, their staff, and their residents.

Note: AHCA recommends that Centers start by focusing on Phase I requirements that are effective as of November 28, 2016. This is a Phase II requirement, and CMS has not yet issued interpretive guidance on how to comply. It will be important to approach the facility assessment in accordance with that guidance, given the lack of specific detail in the regulatory language. This assessment may be used by surveyors in a variety of ways, including to assess your staff competencies and resources in the instance of an adverse event, which underscores the importance of preparing the assessment in accordance with forthcoming guidance. AHCA will provide additional tools and resources to assist Centers in implementing this requirement as guidance is developed. As AHCA identifies and develops additional resources, they will be posted on ahcancalED. Please make sure to visit ahcancalED for the most up-to-date information.

Requirement: (Note the language below is quoted from the requirements)

The facility must conduct and document a facility-wide assessment to determine what resources are necessary to care for its residents competently during both day-to-day operations and emergencies.

- ✓ Review and update assessment, as necessary, and at least annually.
- ✓ Review and update assessment whenever there is, or the facility plans for, any change that would require a substantial modification to any part of this assessment.

The facility assessment must address or include:

- (1) The facility's resident population, including, but not limited to,
 - (i) Both the number of residents and the facility's resident capacity;
 - (ii) The care required by the resident population considering the types of diseases, conditions, physical and cognitive disabilities, overall acuity, and other pertinent facts that are present within that population;
 - (iii) The staff competencies that are necessary to provide the level and types of care needed for the resident population;
 - (iv) The physical environment, equipment, services, and other physical plant considerations that are necessary to care for this population; and
 - (v) Any ethnic, cultural, or religious factors that may potentially affect the care provided by the facility, including, but not limited to, activities and food and nutrition services.

- (2) The facility's resources, including but not limited to,
 - (i) All buildings and/or other physical structures and vehicles;
 - (ii) Equipment (medical and non-medical);
 - (iii) Services provided, such as physical therapy, pharmacy, and specific rehabilitation therapies;
 - (iv) All personnel, including managers, staff (both employees and those who provide services under contract), and volunteers, as well as their education and/or training and any competencies related to resident care;
 - (v) Contracts, memorandums of understanding, or other agreements with third parties to provide services or equipment to the facility during both normal operations and emergencies; and
 - (vi) Health information technology resources, such as systems for electronically managing patient records and electronically sharing information with other organizations.

- (3) A facility-based and community-based risk assessment, utilizing an all-hazards approach.