

DATE: September 27, 1995
TO: Nursing Homes
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NH 34

SUBJECT: **New Nursing Home Survey Protocol and Enforcement Regulations – Sixth Memo Roster/Sample Matrix – Revised**

FEATURED TOPICS:

- ✓ TIMEFRAMES FOR FILLING OUT MATRIX
- ✓ SPECIFYING TRIGGERS ON THE MATRIX
- ✓ GUIDANCE FOR CERTAIN COLUMNS
- ✓ PRIMARY PURPOSE OF MATRIX
- ✓ OTHER USES FOR THE MATRIX

Timeframes for Filling Out Matrix

The HCFA Form 802, commonly referred to as the Roster/Sample Matrix, is a new form that is completed by staff at the nursing home and presented to the survey team coordinator at the end of the initial tour, no later than 2 hours after the surveyors arrive at the facility. Facility staff may need to contribute to the matrix as they tour with the surveyors, if the facility cannot otherwise provide the information within the 2-hour time limit. If the matrix is updated by the facility on a periodic basis, this will allow staff to become more familiar with the form, and it will become a more useful tool for the facility.

Information provided on the Roster/Sample Matrix will be validated by the surveyors comparing that information with the data collected by the surveyors. The facility has 24 hours to amend the information given to the survey team, if necessary. The information contained in the matrix is objective data only, and does not represent a positive or negative reflection on the facility. The data need not be provided on the HCFA Form 802. If it is in the same format as the Roster/Sample Matrix, the facility may generate the data by computer.

Specifying triggers on the Matrix

In completing the form, the facility indicates the resident name and room number, and columns 9-29: resident characteristics. Many of the resident characteristics categories require merely a checkmark, if applicable. However, other categories require the facility to specify the trigger for that characteristic, by using the first letter of the word in each column, e.g.:

- 9: Language(L)/Communication(C);
- 10: Vision(V)/Hearing(H)/Sensory(S);
- 11: Abrasions(A)/Bruises(B)/Fractures(F);
- 13: Admission(A)/Transfer(T)/Discharges(D);
- 14: MR/MI (Non Dementia)(mark MR or MI);
- 22: Hydration(H)/Electrolyte(E); and
- 28: Specialized Rehabilitation, mark the following:
 - P for physical therapy;
 - S for speech/language pathology;
 - O for occupational therapy; and
 - H for health rehabilitative services for MI/MR.

Guidance for Certain Columns

Certain categories may lead to confusion by the facility. In response to inquiries from the August 1995 Industry Training session, we are providing further explanation. Guidance is provided for the following columns:

12. *Restraints.*

A device may have more than one purpose (positioning, for instance), but if it meets the definition of a restraint, it is classified as a restraint on the matrix. If the resident has side rails, and the side rails limit the resident's access to their body, or restrict their freedom of movement, and cannot easily be removed by the resident, they are considered to be a restraint; their effect upon the resident is the deciding factor. The specific length of the side rail is unimportant.

18. *Incontinence/Toileting Program.*

The instructions direct the provider to check this column on the matrix if the resident is incontinent.

23. *Assistive Devices.*

The instructions list examples of devices that assist the resident with eating or mobility, such as tables, utensils, hand splints, dentures, etc., and states, "other assistive devices..." We would interpret this to mean *anything* that could be defined as a device that is assistive.

24. *Dining Program.*

This can be defined very broadly, and will be looked at on a case-by-case basis. For any deficit in food intake, the facility should be *doing something*, if possible, based upon the RAI and the resident's care plan, and this category should be checked on the matrix.

Primary Purpose of the Matrix

The Roster/Sample Matrix is an essential tool for the surveyors in the new survey process. As surveyors identify areas of concern, the matrix allows them to know which residents fit that area of concern and could be selected for the sample. The matrix gives the surveyors an estimation of the scope of the problem identified, whether isolated, pattern, or widespread. The matrix also allows the surveyors to validate the information provided by the facility, and know that they are working from current, accurate data.

Other Uses for the Matrix

Facilities may find other internal purposes for the matrix to increase their usefulness, such as:

- oversight of staffing needs;
- monitoring QAA needs; and
- use as an ongoing census sheet to look at resident characteristics over time.

To make the Roster/Sample Matrix more user-friendly, a facility may want to skip a line between residents to make it easier to read.

The Roster/Sample Matrix is a new tool that will take time to become comfortable with; however, it holds a critical place in the new survey process. Encouraging your staff to familiarize themselves with the matrix and find creative ways to utilize it will go a long way in easing the transition to this new requirement.