

QA Privilege Case Studies

1. On 9/1/06, the survey team enters Golden Days Nursing Home to conduct a recertification survey. During record review of a sample resident, the surveyor notes that Resident A fell on three different occasions. The surveyor requests to review the fall investigation for each of the 3 falls. The DON reports that the facility utilizes incident reports to investigate falls but she can't let the surveyor see them because they are part of the facility's quality assurance program.

Q: Is the facility required to provide the incident reports to the survey team?

2. During a resident interview, Resident B told the surveyor that the food is always cold at supper and staff does not respond to her call light. Resident B stated that she had repeatedly complained to the DON with no improvement. The surveyor spoke to the facility about Resident B's complaints and asked to review their complaint / grievance log related to Resident B.

Q: Is the facility required to provide this information to the survey team?

3. On 10/1/06, the survey team entered Valley View Nursing Home to investigate an allegation of abuse that an aide allegedly punched a resident in the eye. During the investigation, the survey team confirms through record review that the allegation occurred. The survey team asks for the facility's investigation of the incident. The facility provides the survey team with the written report which summarizes the facility's investigation. The facility's process for investigating allegations of abuse is not a part of the facility's QA&A committee. Having reviewed this report, the survey team determines that the summary report does not demonstrate a thorough investigation. The survey team asks the facility to provide the individual statements obtained from all staff.

Q: Is the facility required to provide this information to the survey team?

4. Part 1 - On 8/1/06, the survey team enters Oak Lane Nursing Home to conduct a complaint survey. The complaint alleges that a resident acquired a UTI while a resident of the facility. The surveyor reviews Resident A's record which confirms that the resident has a UTI. During care observations, the surveyor observed that staff washed this female resident's peri-area from back to front. Survey team members identify additional sample residents with UTIs. A survey team member asks the infection control designee to show the surveyor the record of infection for each sample resident with a UTI as well as the log or tracking method of UTI infections for July 2006.

Q: Is the facility required to provide these records to the survey team?

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4. Part 2 – During discussions about the identified resident UTI's, the facility infection control (IC) designee mentions that the QA infection control subcommittee was actively working on some infection control issues. The IC designee reported that the QA Committee hired a consultant to assist them in conducting a root cause analysis related to infections and observations of employee behavior. The surveyor asks to see the documentation of this activity.

Q: Is the facility required to provide this documentation to the survey team?

5. On 2/1/06, the survey team entered Valley View Nursing Home to conduct a recertification survey. During the initial tour, surveyors identified 2 sampled residents in contact isolation for scabies. The surveyor interviewed the infection control nurse & learned that the facility had a scabies outbreak in May and November 2005 and again in February 2006. The surveyor requested to review the facility's outbreak investigation and corrective actions taken related to the May and November 2005 outbreaks. The NHA told the survey team that the requested information are quality assurance tools and not available for surveyor review.

Q: Is the facility required to provide this information to the survey team?