

NURSING HOME STAFF PROGRESS TOOL  
**Session 1 Participatory Survey**

There are a total of 5 progress tools to be used for the practice surveys: 1) Observational Surveys; 2) Session1 Participatory Survey; 3) Session 2 Participatory Survey; 4) Session 3 Participatory Survey; and 5) Team Coordinator. The Team Coordinator's progress tool is to be completed prior to the Field Manager's request for the new surveyor's compliance surveys. Each progress tool is completed by the Peer Coach and the New Surveyor followed by a face to face meeting between the Field Manager, New Surveyor and Peer Coach to discuss progress and/or concerns.

STAFF'S NAME	DATE OF HIRE	COACH'S NAME	DISTRICT / UNIT
ON-SITE VISIT DATE(S) (MM/DD/YYYY)		NURSING HOME NAME	

**Expectation:**

It is expected that the new staff member would have participated in the RCS Orientation and performed an "observation only" survey.

**Key Elements:**

- Peer Coach (PC) and new Staff Member (SM) should be assigned minimal extra survey tasks.
- The PC and SM should be assigned one Stage 1 assignment. On the first Participatory Survey Session 1 the SM should have 4-5 **Census** sample residents and the rest of the assignment should be given to the PC. The PC completes their portion of the sample then observes and provides coaching as needed to the SM as they complete their portion of the assignment.
- The SM should do at least 3 **Admission** sample record reviews to start and advance with each survey.
- **The PC should follow and be present for ALL SM activity, and review the record reviews to ensure accuracy.**
- The PC should be given a full Stage 2 assignment. The SM will follow and observe the PC during Stage 2. At this point the SM does NOT participate in Stage 2. The SM will review and practice specific Care Areas on paper copies of the Pathways. The PC is responsible for the full investigation of all Stage 2 care area assignments.
- The SM will not be assigned Facility Tasks in the actual survey. Facility tasks should be followed on the paper copy of the pathway.

**Place appropriate observed code next to each critical element. When appropriate, the Peer Coach should describe in the "notes sections" the event that led to the coding within the section and identify and add specific opportunities for growth in needed areas.**

**Progress Level Key:**

PROGRESS LEVEL	CODE	DESCRIPTION
Observation Only	O	Observed survey; did not perform any tasks or elements.
Demonstrated with Coaching	DC	Required the availability of the PC to provide <u>directed</u> assistance and <u>identify</u> areas for improvement.
Demonstrated with Minimal Coaching	D	Required the availability of the PC to answer questions and give minimal direction.
Performed Independently	I	Performed the survey tasks and elements independently.
No applicable	NA	Element has previously been performed at the independent level or was not attempted.

**1. Off-site Preparation**

The purpose of the offsite survey preparation is to analyze various sources of information available about the facility.

**Staff Member Preparation:**

- Review QIS Off-Site preparation in ASE-Q.

**Objectives / Critical Elements:**

- O DC D I NA
- Participated in discussion of concerns and issues with the team obtained from past surveys and complaints.
- Participated in discussion of other information obtained from others such as the ombudsman, QAN and complaint investigator.
- Reviewed the supplies needed and assisted with gathering and transporting the supplies.

**Criteria and Objectives:**

- O DC D I NA
- The surveyor imported the survey shell with MDS data.
- The Staff Member (SM) participated in off-site preparation and review of materials.
- The SM assisted with gathering and transport of needed supplies.

NOTES

## 2. Initial Tour

The purpose of the initial tour is to obtain an overall impression of the facility and the resident population being served.

### Staff Member Preparation:

- Review Initial Tour in ASE-Q.

### Objectives / Critical Elements:

O DC D I NA

- |                          |                          |                          |                          |                          |  |
|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | Participated in initial tour in assigned area with peer coach.   |
| <input type="checkbox"/> | Participated in general environmental observations of facility. Identified physical safety hazards and concerns.                           |
| <input type="checkbox"/> | Identified licensed staff on duty and observed the nursing staff posting.  |
| <input type="checkbox"/> | Recorded the names of licensed staff encountered during the tour in ASE-Q for reconciliation with nursing schedule provided upon entrance. |
| <input type="checkbox"/> | Introduced self to residents and family members.   |
| <input type="checkbox"/> | Made note of resident activities in area toured and times of meals in DR.  |
| <input type="checkbox"/> | Recorded initial tour notes in ASE-Q and if applicable used surveyor notes for other concerns.   |
| <input type="checkbox"/> | Recorded appropriate information at a level necessary to be used as evidence. Followed POD.  |

NOTES

## 3. Reconciliation, Initial Team Meeting and First Dining Observation

The purpose of this task is to observe reconciliation in progress after initial tour is completed. The intent of the initial team meeting is to provide a time to share preliminary concerns, observations, and information before getting started with Stage 1.

### Staff Member Preparation:

- Review the timing of the initial team meeting and agenda in the QIS Checklist Step 18.
- Review the Dining Observation Worksheet in the Mandatory Facility Tasks.

### Objectives / Critical Elements:

O DC D I NA

- |                          |                          |                          |                          |                          |  |
|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | Participate in reconciliation and Stage 1 resident assignments.                                      |
| <input type="checkbox"/> | Participated in the initial dining observation with peer coach.                                      |
| <input type="checkbox"/> | Identified areas of concern from initial tour and dining observation.                                |
| <input type="checkbox"/> | Shared appropriate information obtained during initial tour and dining observation with team members |

### Criteria and Objectives:

O DC D I NA

- |                          |                          |                          |                          |                          |  |
|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | The SM participated in reconciliation and correctly reconciled the Stage 1 sample using the alphabetical resident list and New Admission Information form, following the directions in the QIS tool.               |
| <input type="checkbox"/> | The SM conducted the initial tour on the same unit as the PC and focused on staff-resident interactions, staff availability, resident activities, and characteristics of the population.                           |
| <input type="checkbox"/> | The SM conducted the tour with the PC and identified pertinent concerns in the environment.  |
| <input type="checkbox"/> | The SM conducted an initial brief tour of the kitchen with the PC and recorded the findings in the Kitchen task CE pathway under the Mandatory Facility Tasks menu in ASE-Q. (New staff refers to CMS-20055 form). |

NOTES

#### 4. Stage 1: Share Peer Coach Assignment

Example: If Peer Coach (PC) assignment is 10, the PC will have 6 and new staff member will have 4 on the first practice survey after Session1 classroom training.)

Please note in the "notes section" below, which Stage 1 survey elements were performed. Each Element should be completed at least twice prior to noting independent practice of new staff member.

#### Census and Admission Sample Resident Review and Stage 1 Team Meetings

The purpose of Stage 1 survey is to conduct preliminary investigations of the quality of life and quality of care of Stage 1 sampled residents using prescribed protocols and a structured set of questions.

#### Staff Member Preparation:

- Review ASE-Q Stage 1 Survey questions.
- Review the protocols for census resident interview, resident observation, staff interview, record review and family interview in the student manual.
- Review ASE-Q Stage 1 Survey questions and protocols for admission record review.
- Review Task 3 Step 20, Step 21 and Step 22 in the QIS Checklist.

#### Objectives / Critical Elements:

##### Sample 4 to 5 residents Peer Coach to observe Staff Member.

O DC D I NA

- |  |                          |                          |                          |                          |   |
|--|--------------------------|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/>                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Established good rapport with staff and residents. Asked screening questions prior to resident interviews.  |
| <input type="checkbox"/>                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Performed observations <b>every 30 to 60 minutes</b> on sample residents and appropriately documented observations in relevant findings with dates and times.           |
| <input type="checkbox"/>                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Performed appropriate resident interviews. Asked all questions as written and in sequence. Asked probing questions as needed and documented relevant findings in ASE-Q. |
| <input type="checkbox"/>                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Conducted Staff Interview for sampled residents with PC present.  |
| <input type="checkbox"/>                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Conducted census record review with PC reviewing to ensure accuracy.  |
| <b>During the first participatory survey:</b>  |                          |                          |                          |                          |   |
| <input type="checkbox"/>                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Conducted three admission record reviews. The SM and PC will compare findings.  |
| <b>During the second participatory survey:</b> |                          |                          |                          |                          |   |
| <input type="checkbox"/>                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Conducted a family member interview with PC present.  |
| <input type="checkbox"/>                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Asked screening questions and documented relevant findings for all negative responses.  |
| <input type="checkbox"/>                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | All questions asked and answered with relevant findings and recorded appropriately for staff and resident interviews  |
| <input type="checkbox"/>                       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Performed census and admission record reviews as assigned.  |

#### Criteria and Objectives:

##### Admission Record Review

O DC D I NA

- |                          |                          |                          |                          |                          |   |
|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | The SM responded to all questions applicable to the resident.   |
| <input type="checkbox"/> | The SM appropriately documented relevant findings for admission record review responses with negative implications. |
| <input type="checkbox"/> | The SM correctly identified the resident's length of stay and discharge.  |
| <input type="checkbox"/> | The SM used the correct weights in the weight history.  |
| <input type="checkbox"/> | The PC and the SM agreed on all responses entered into ASE-Q.   |

#### Criteria and Objectives:

##### Census Record Review

O DC D I NA

- |                          |                          |                          |                          |                          |  |
|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | The SM responded to all questions applicable to the resident.  |
| <input type="checkbox"/> | The SM appropriately documented relevant findings for census record review responses with negative implications. |
| <input type="checkbox"/> | The SM correctly identified the medication used in the last 30 days.   |
| <input type="checkbox"/> | The SM correctly identified the presence of a pressure ulcer.  |
| <input type="checkbox"/> | The SM used the correct weights in the weight history.   |
| <input type="checkbox"/> | The PC and the SM agreed on all responses entered into ASE-Q.  |

**Criteria and Objectives:**

**Family Interview**

O DC D I NA

- The SM screened the family member/representative to establish the ability of the family member to provide information about services provided to the resident.
- The SM conducted the family interview in a setting to maintain resident privacy or asked the family member to conduct the interview in a private setting but the family member declined.
- The SM asked the family interview questions in the order written without omitting any questions and asked the questions as written. If there was a need for clarification, the surveyor provided a clear explanation of the intent of the question and then repeated the question as written.
- The SM entered family interview responses directly into the ASE-Q.
- The SM probed or followed up on family responses when there was a concern and additional relevant information was reasonably expected.
- The SM appropriately documented relevant findings for family interview responses with negative implications.
- The PC and the SM agreed on all responses entered into ASE-Q.

**Criteria and Objectives:**

**Resident Interview**

O DC D I NA

- The SM screened the resident to establish the resident's interview status.
- The SM and PC agreed on the resident's interview status, if it was questionable the SM closed the interview appropriately and marked the resident as not interviewable.
- The SM conducted the resident interview in a setting to maintain resident privacy or asked the resident to conduct the interview in a private setting, but the resident declined.
- The SM asked the resident interview questions in the order written without omitting any questions and asked the questions as written. If there was a need for clarification, the surveyor provided a clear explanation of the intent of the question and then repeated the question as written.
- The SM entered resident interview responses directly into the ASE-Q.
- The SM probed or followed up on resident responses when there was a concern and when additional relevant information was reasonably expected.
- The SM appropriately documented relevant findings for resident interview responses with negative implications.
- The PC and the SM agreed on all responses entered into ASE-Q.

**Criteria and Objectives:**

**Staff Interview**

O DC D I NA

- The SM conducted the staff interview in a setting to preserve resident confidentiality.
- The SM asked the staff interview questions in the order written without omitting any questions and asked the questions, including parenthetical statements, in a manner that maintained the intent of the questions. If there was a need for clarification, the SM provided a clear explanation of the intent of the question.
- The SM requested documentation verification related to a diagnosis of neurogenic bladder.
- The SM requested documentation verification related to a resident consuming a nutritional supplement.
- The SM probed or followed up on staff responses when there was a concern and additional relevant information was reasonably expected.
- The SM appropriately documented relevant findings for staff interview responses with negative implications.
- The SM entered staff interview responses directly into the ASE-Q.
- The PC and the SM agreed on all responses entered into ASE-Q.

**Criteria and Objectives:**

**Resident Observations**

O DC D I NA

- The SM conducted multiple observations of the resident throughout Stage I.
- The SM entered resident observation responses into the ASE-Q.
- The SM appropriately documented relevant findings for observation responses with negative implications.
- The PC and the SM agreed on all responses entered into ASE-Q.

NOTES

### 5. Team Meetings

#### Criteria and Objectives:

O DC D I NA

- |                          |                          |                          |                          |                          |  |
|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | The SM participated in team discussions and shared all concerns during team meetings including immediate jeopardy, the high likelihood of rising to the level of harm, and the possibility of substandard quality of care. |
| <input type="checkbox"/> | During the initial team meeting, the SM discussed information gathered during the Initial Tour, the brief tour of the Kitchen and Entrance Conference.   |
| <input type="checkbox"/> | During the initial team meeting, the SM discussed staff availability and compared staff availability to the schedule provided by the facility.   |
| <input type="checkbox"/> | During the initial and Stage 1 team meetings, the SM planned for and reported on completion of or the possibility of completing a family interview.  |
| <input type="checkbox"/> | The SM reported the need to make Stage 1 sample changes, as needed. The team coordinator made Stage 1 sample changes on the primary laptop and re-exported the sample to the SM as indicated.                              |

NOTES

### 6. Professional Manner

- Staff Member brought State Operations Manual Transmittals (SOM) and Appendixes.
- Used appropriate forms and tools Self Evaluation of professional Manner.

Check all that apply and add other descriptors in the "other" box.

- Projects and promotes a positive image / attitude / working relationship
- Identifies areas of improvement and responds favorably to suggested actions for improvement
- Stern
- Condescending
- Communicates effectively
- Challenging
- Open to new ideas
- Tactful
- Punctual
- Focuses on relevant and essential issues
- Defensive
- Applies new concepts and techniques effectively
- Unsure / hesitant / indecisive
- Forceful / argumentative
- Assertive
- Strident
- Other:

STUDENT TRAINING STRENGTHS

STUDENT TRAINING WEAKNESSES	
Actions recommended to address identified weaknesses: <input type="checkbox"/> Does not meet or demonstrate standards <input type="checkbox"/> Is recommended to continue field training with focus on weaknesses <input type="checkbox"/> Is recommended to repeat this training <input type="checkbox"/> Is recommended not to proceed in the training program	
FIELD MANAGER, PEER COACH, STAFF MEMBER MEETING / REVIEW NOTES	
GOALS FOR IMPROVEMENT	
PEER COACH'S SIGNATURE	DATE
STAFF MEMBER'S SIGNATURE	DATE
FIELD MANAGER'S SIGNATURE	DATE