

**CMS Validation Survey**  
**Requested Material**

\*Areas marked with an asterisk are expected within 3 hours of survey team arrival to expedite the survey process

**Please furnish the following:**

- Current hospital inpatient census\*
- Average daily census
- List of in-patient units
- List of department heads with their location and telephone numbers\*
- Copy of organization chart
- ✓▫ List of off-site locations that bill under the hospital Medicare # \_\_\_\_\_\*
- Incident/Accident Reports for the past 6 months
- List of current in-patients (include Name, room number, diagnosis, admission date, age and attending physician\*)
- Floor plan of patient care and treatment areas\*

**Governing Body**

- Governing body bylaws
- Identification of Governing body members
- Governing body meeting minutes for past 12 months
- Expenditure and budget plan/update/yearly review
- List of contracted services-delineation of contractor responsibilities
- ✓▫ Policy/procedure for management of medical & psychiatric emergencies

**Patient Rights**

- Grievance log for the past 6 months
- Provide a copy of the following:
  - Patient rights information given at time of admission
  - Advance directives policy
  - Restraint/seclusion policies and procedures
  - Abuse policy
  - Grievance procedure for submission of verbal and/or written grievances

**Quality Assessment and Performance Improvement (QAPI)**

- Name of QAPI Director
- Written hospital wide QAPI plan and implementation policies
- QAPI meeting minutes for previous 12-month period
- Provide examples of current hospital PI projects related to patient safety and medication error reduction activities -
- Identify current hospital PI projects -

**CMS Validation Survey**  
**Requested Material**

**Medical Staff**

- <sup>N/A</sup> Medical staff organization chart
- Name of MD or DO responsible for conduct of medical staff
- Current roster of medical staff members (indicate those with surgical privileges)
- List of medical staff executive committees
- Medical staff bylaws and rules and regulations: Please tab and label the following:
  - Practitioner's orders (verbal/written/cosign signatures)
  - 24 hour physician coverage
  - Autopsies <sup>N/A</sup>
  - Medical staff appraisal/credentialing process
  - Admitting privileges
- Minutes of medical staff committees/department meetings for preceding 12 months
- Written criteria for staff appointments (character, competence...)
- On-call register showing 24 hr. physician coverage
- Name of Medical Staff contact person for review of credentialing files. Surveyors will provide a worksheet listing requested information to be completed by the contact person. The surveyor will randomly select and verify information provided.

**Nursing Services**

- Nursing organization chart
- Nursing job descriptions
- Current roster of all nursing staff, job title & license numbers
- Complete staffing weekly worksheets as directed
- Nursing policy/procedure manuals. Please tab and label the following policies:
  - Staffing plan
  - Daily patient assignment protocol/patient acuity determination
  - Supervision of nursing personnel
  - Care planning
  - Method for orienting and evaluating non-employee (agency/traveler) nurses
  - Verbal/telephone/written orders
  - Administration of medications and who can administer
  - Administration of intravenous meds and transfusions
  - Reporting adverse drug reactions/errors and transfusion reactions
  - Nursing staff hiring requirements
- In-service training program records, schedules, reports, etc.
- Outline or agenda of in-service course content for IV administration
- Name of Human Resources contact person for review of personnel records. Surveyors will provide a worksheet listing requested information to be completed by the contact person. The surveyor will randomly select and verify information provided.

**CMS Validation Survey**  
**Requested Material**

**Medical Records**

- ▣ Medical records organization chart
- ▣ Medical records job descriptions and staffing schedules
- ▣ Policy and procedure manual. Please tab and label the following policies:
  - Written procedures that ensure the integrity of authentication
  - Record retention/security of patient records
  - Copying of patient records
  - Computer code signatures, list of codes available
  - Sanctions for unauthorized or improper use of the computer codes
  - Physician discharge summary documentation
  - Order of discharge record
  - Informed consent

**Pharmacy Services-Please have these items available in the department**

- ▣ Monthly Medication Area Inspection Reports for one year
- ▣ Copy of biennial inventory
- ▣ Documentation of drug recall file
- ▣ Documentation of Cleaning and Maintenance for IV Hoods
- ▣ Documentation of Replacement of Filters and Pre-filters for the IV Hood(s)
- ▣ List of Persons with Access to the Pharmacy or Nigh Cabinet, if Applicable
- ▣ Pharmacy organizational chart
- ▣ Pharmacy job descriptions and staffing schedule
- ▣ Number of qualified pharmacists
- ▣ Drug error reports, trending and corrective actions for the preceding 12 months.
- ▣ Minutes of Pharmacy & Therapeutic (P&T) committee
- ▣ Formulary or list of drugs approved for use in the hospital
- ▣ OSHA Guidelines & ASHP bulletin for Handling Antineoplastic Drugs-current edition
- ▣ Pharmacy policy/procedure manual. Please tab and label the following policies:
  - Drug recalls
  - Medication errors/adverse reactions
  - Requisitioning and dispensing of drugs
  - Drug storage
  - Controlled substance monitoring and tracking, including wastage & returns
  - Pharmacy security procedures
  - Stop/order policy
  - Withdrawal of outdated and deteriorated drugs from nursing units, pharmacy areas, other medication storage areas
  - Discharge medications
  - Medication orders policy
  - Patient using own medications while hospitalized
  - Investigational drug
  - Intravenous admixture program with procedures to prevent contamination, procedures for cleaning & maintenance, procedures addressing how a contaminated product is detected, procedure addressing recalls, procedure for disposal of all unused drugs and materials in the preparation of antineoplastic agents, procedure for proper handling technique for antineoplastic agents and procedures for wastage and/or return of controlled substances

**CMS Validation Survey**  
**Requested Material**

**Infection Control Services**

- Qualifications/job description of infection control officer
- Qualifications/job description of infection control personnel
- Infection control surveillance activities and policies
- Log of incidents r/t infections & communicable disease for preceding 12 months

**Radiologic Services – Please have these items available in the department**

- Qualifications/job description of Chief Radiologist
- Qualifications/job description of Radiologic staff
- Policy & procedure manual. Please tab and label the following policies:
  - Patient Safety
  - Environmental safety (equipment inspection, storage/disposal of hazardous material)
  - Staff radiation exposure testing
  - Physician order for radiologic testing
  - Interpretation and signing of reports
  - Adverse reaction to diagnostic agents
  - Security/confidentiality of patient records
  - Competency training of radiologic staff

**Laboratory Services – Please have these items available in the department**

- Qualifications/job description of Laboratory Director
- Qualifications/job description of Laboratory staff
- CLIA certificate
- List of all lab locations
- QAPI program integration
- Policy & procedure manual. Please tab and label the following policies:
  - Emergency laboratory services
  - Description of lab services provided
  - Collection, preservation, transportation, receipt and reporting of tissue specimen results
  - Written policies for examination of tissue specimens-micro versus macro
  - Look-back plan for potentially infectious blood and blood products
  - Security/confidentiality of patient lab results

**Food & Dietetic Services - Please have these items available in the department**

- Qualifications/job description of Director of Food and Dietetic Services
- Qualifications/job description of Dietary staff
- Dietary staff schedule
- Location of current diet manuals
- Records of meals served for the preceding 30-day period
- Food Service contract (if contractual service)
- Food Service State inspection report

10/10/2012 10:00:00 AM

**CMS Validation Survey**  
**Requested Material**

**Food & Dietetic Services – continued**

- ▣ Policy & procedure manual. Please tab and label the following policies:
  - Frequency of meals served
  - Infection control program
  - QAPI program
  - Patient tray identification system
  - Accommodation of late admissions, change in diet order, etc.
  - Physician order for diets
  - Menu rotation schedule

**Discharge Planning**

- ▣ Qualifications/job description of Discharge Planning Director
- ▣ Qualifications/job description of Discharge Planning staff
- ▣ Discharge planning organization chart
- ▣ Policy & procedure manual. Please tab and label the following policies:
  - High risk patient screening evaluation
  - Discharge planning responsibilities
  - Content of discharge planning evaluation
  - Identification of who may request a discharge assessment
  - Content of discharge form
  - Reassessment of patient discharge plan
- ▣ List of Home Health Agencies
- ▣ List of Skilled Nursing Facilities
- ▣ Hospital wide reassessment of d/c planning process for proceeding 12 month period

**Organ, Tissue, and Eye Procurement**

- ▣ Organ Procurement protocol
- ▣ Agreement with Organ Procurement Organization (OPO)
- ▣ Definition of "imminent death"
- ▣ Designated requestor policy/in-service program
- ▣ In-service training schedules/attendance sheets related to donation issues
- ▣ Review of death records
- ▣ Identification of potential donors
- ▣ Coordination between the hospital and OPO to maintain the potential donor

**Surgical Services – Please have these items available in the department**

- ▣ Qualifications/job description of Surgical Services Director
- ▣ Qualifications/job description of surgical department staff
- ▣ Surgical Services organization chart
- ▣ Surgical Services policy/procedure manual. Please tab and label the following:
  - Infection control policy
  - Infected/non infected case management
  - Latex allergy

**CMS Validation Survey**  
**Requested Material**

**Surgical Services – continued**

- Housekeeping requirements
- Safety practices
- OR scheduling
- Care of surgical specimens
- Resuscitation techniques
- Sterilization/disinfection procedures
- Operating room attire
- Requirements of properly executed consent form
- Recovery Room observation and transfer policies
- Content requirements for operating room register
- Content of surgical report

**Anesthesia Services – Please have these items available in the department**

- Qualifications/job description of Anesthesia Director
- Qualifications/job description of Anesthesia department staff
- Organizational chart for anesthesia services
- Anesthesia policies/procedures. Please tab and label the following policies:
  - Patient consent
  - Infection control measures
  - Safety practices in all anesthetizing areas
  - Protocol for supportive life functions, e.g., cardiac and respiratory emergencies
  - Preoperative, intraoperative and postoperative reporting requirements
  - Documentation requirements
    - Preoperative anesthesia evaluation
    - Intraoperative anesthesia record
    - Post anesthesia follow-up report

**Nuclear Medicine Services - Please have these items available in the department**

- State License or permit
- Qualifications/job description of Nuclear Medicine Director
- Qualifications/job description of Nuclear Medicine staff
- Nuclear Medicine Services policies/procedures. Please tab and label the following policies:
  - Equipment handling
  - Patient/staff radiation protection
  - Testing of equipment for radiation hazards
  - Maintenance of staff radiation monitoring services
  - Storage and disposal of radio nuclides and radio pharmaceuticals
  - Calibration of equipment
  - Daily equipment monitoring procedures
  - Content and retention of nuclear medicine reports
  - Physician order for nuclear medicine services
  - Interpretation and signing of reports

**CMS Validation Survey**  
**Requested Material**

**Outpatient Services**

- Qualifications/job description of Outpatient Services Director
- Outpatient Services organization chart
- Description of services provided
- Procedures to assure integration with inpatient hospital services
- Participation in hospital QAPI
- Patient log and staff rosters

**Emergency Services - Please have these items available in the department**

- Qualifications/job description of Emergency Services Director
- Qualifications/job description of Emergency Services staff
- Emergency Services organization chart
- Emergency Services policies/procedures. Please tab and label the following policies:
  - Triage
  - Staffing/assignments
  - Staff proficiency testing policy

**Rehabilitation Services - Please have these items available in the department**

- Qualifications/job description of Rehabilitation Services Director
- Qualifications/job description of staff therapists and their discipline
- Rehabilitation Services organization chart
- Rehabilitation Services policies/procedures. Please tab and label the following policies:
  - Physician order for treatment
  - Content of patient treatment plan

**Respiratory Care Services - Please have these items available in the department**

- Qualifications/job description of Respiratory Care Services Director
- Qualifications/job description of Respiratory Care personnel
- Respiratory Care organization chart
- Staffing Schedule for proceeding 6 week period
- Respiratory Care policies/procedures. Please tab and label the following policies:
  - Equipment assembly and operation
  - Steps to be taken in the advent of an adverse reaction
  - Handling, storage and dispensing of therapeutic gases
  - Safety Practices
  - Infection Control Measures
  - CPR – code response
  - Obtaining blood samples and their analysis
  - Pulmonary function testing
  - Therapeutic percussion and vibration
  - Bronchopulmonary drainage

## CMS Validation Survey Requested Material

### Respiratory Care Services - continued

- Ventilator and oxygen support
- Aerosol, humidification and therapeutic gas administration
- Administration of medication/pharmacy review/medication errors
- Physician orders for services
- If blood gases or other clinical lab tests are performed in respiratory unit:
  - Respiratory staff proficiency testing policy
  - Quality control testing of equipment

### Physical Environment

- Qualifications/job description of Environment/Maintenance Director
- Qualifications/job description of maintenance staff
- Contracts for emergency gas and water supply
- Policy and procedures for storage and disposal of trash
- Medical equipment and devices repair/periodic maintenance program. Please provide:
  - Maintenance logs for preceding 12 months
  - Procedure for identification/confirmation equipment maintained in accordance with manufacturer's recommendations
- Log of temperatures in pharmacy and food prep areas (refrig temps)
- Facility ventilation/air flow reports for preceding 12 months

### Life Safety Code

- Floor plan showing all fire barriers/partition 1°, 2° rated, etc.
- Current electrical inspection by licensed approved agency
- Emergency generator weekly check list for prior year
- Verify annual maintenance of emergency generator for prior year
- Annual Fire Alarm System report for prior year
- Annual fire pump inspection
- Hood and duct inspection for kitchen, cafeteria-any place have hood
- Hood suppression system semi-annual inspection for prior year
- Annual sprinkler system check
- Special hazard system annual inspection
- Annual smoke detector sensitivity test
- Laundry ducts preventative maintenance schedule for cleaning
- Annual inspection of all standpipes
- Last inspection for HVAC/fire dampers/smoke dampers
- Copy of current elevator certificates
- All boiler certificates
- Fire drills for prior year
- New employee (aide, nurse) fire training for past 6 months
- Disaster drill (in-house) 2 prior years
- Disaster drill (coordinated with outside) 2 prior years
- Smoking policy
- Flame spread rating of privacy curtains, window curtains, mattresses