Writing A Plan of Correction Back to Basics

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Objectives

- ► Participants will be able to identify core elements of a detailed Plan of Correction (POC)
- ► Participants will be able to describe a systematic approach to write and implement a POC.
- ► Participants will be able to design a plan to monitor implementation

- ▶ OIG Work plan 2015
- State agency verification of deficiency corrections
- We will determine whether State survey agencies verified correction plans for deficiencies identified during nursing home recertification surveys. A prior OIG review found that one State survey agency did not always verify that nursing homes corrected deficiencies identified during surveys in accordance with Federal requirements. Federal regulations require nursing homes to submit correction plans to the State survey agency or CMS for deficiencies identified during surveys. (42CFR § 488.402(d).) CMS requires State survey agencies to verify the correction of identified deficiencies through onsite reviews or by obtaining other evidence of correction. (State Operations Manual, Pub.No.100-07, §7300.3.) (OAS; W-00-13-35701; W-00-14-35701; various reviews; expected issue date: FY2015)

- ▶ Begins during the survey
 - ▶ Collecting notes
 - ► Copying of documents
 - ▶ Sharing information between team members
 - ▶ Identifying potential concerns
 - ► Monitoring for trends

- ▶ Continues when the team exit
 - ▶ Note takers
 - ► Meet to review findings
 - ▶ Develop team leaders and teams to determine validity
 - ▶ Start the assessment of the issues
 - ► Gather information from multiple sources
 - ▶ Record reviews
 - **▶**Observations
 - ▶Interviews of residents, staff, and families

- ► Continues when the team exits (cont.)
 - ► Verify the problem
 - ► Conduct a root cause analysis
 - ▶ Review of policy, procedures, and practices
 - ▶ Identify resolution
 - ► Create and revise necessary tools
 - ▶ Determine monitoring

- ► Notification letter to Administrator addresses key time periods
 - ► Survey exit date
 - ▶ POC required by date
 - ► Termination date

- ► Notification letter to Administrator addresses key points
 - ▶ Most serious deficiencies found
 - ► Category of remedies
 - ► Corrections completed by 60th day
 - ► Final corrections by 90th day to avoid denial of payment for new admissions
 - ► Consequences of post-survey revisit
 - ▶ Informal Dispute Resolution instructions

► Facility options

- ► Accept the deficiencies cited on the CMS-2567 and submit a Plan of Correction; or
- ► Record specific objections on the CMS-2567 and submit a timely plan of correction; or
- ► Record specific objections on the CMS-2567 without submitting a plan of correction

- ▶ Review of the Statement of Deficiency (for each deficiency)
 - ▶The deficiency
 - **▶**Prefix
 - ▶ Data tag number, scope and severity
 - ▶ Code of Federal Regulations (CFR) reference number
 - ► (Example: SS=D F314, 483.25(c), Pressure Sores)
 - ▶ A statement that the requirement is not met
 - ▶ Evidence supporting the validity of the deficiency

- ► Statement of Deficiency (cont.)
 - ► Specifically reflects the content of each requirement that is not met
 - ► Clearly identifies the specific deficient entity practices and objective evidence concerning these practices
 - ▶ Identifies the extent of the deficient practice including systemic practices, where appropriate
 - ▶ Identifies the source(s) of the evidence e.g., interview, observation, or record review

- ▶ The Plan of Correction is...
 - ► A formal statement informing state and federal agency of actions taken to correct deficiency
 - ► A legal document
 - ▶ Publicly posted

- ▶ A detailed Plan of Correction (POC) will include...
 - ▶ What corrective actions(s) will be accomplished for those residents found to have been affected by the deficient practice;
 - ► How you will identify other residents having the potential to be affected by the same deficient practice and what corrective action will be taken;
 - ▶ What measures will be put in place or what systemic changes will you make to ensure that the deficient practice does not recur;
 - ► How the corrective actions(s) will be monitored to ensure deficient practice will not recur, i.e., what quality assurance program will be put into practice.
 - ► The date for correction and the title of the person responsible for correction of deficiency.

- ▶ What corrective actions(s) will be accomplished for those residents found to have been affected by the deficient practice;
 - ▶ Specific actions to be taken for each resident cited
 - ►State specifically what you did
 - ► Reflect specific changes made based on deficiency cited
 - ►Examples ...
 - ► Care plan reviewed and revised as needed
 - ▶ Pressure ulcer re-assessed and treatment changed

MS2

Writing a Plan of Correction

- ► How you will identify other residents having the potential to be affected by the same deficient practice and what corrective action will be taken;
 - ▶ Are all residents potentially affected
 - ▶ Are specific residents affected
 - ► Keep the scope as narrow as possible
 - ►Examples...
 - ▶ Residents requiring pressure ulcer care
 - ▶ Residents using oxygen
 - ► Residents wearing splints
 - ▶ Residents receiving "prn" medications

- ► How you will identify other residents having the potential to be affected by the same deficient practice and what corrective action will be taken; (cont.)
- ► Ways to identify other residents, conduct...
 - ▶ Medical record audits
 - **▶**Observations
 - **▶**Interviews
 - ► Computer report review
 - ►MDS review
 - ► Care plan review

MS2 Important to keep the scope as narrow as possible so that on revisit the scope is narrow as well. For instance, if the issue is oxygen we would focus on residents with oxygen not ALL residents.

Michelle Synakowski, 10/28/2015

- ▶ What measures will be put in place or what systemic changes will you make to ensure that the deficient practice does not recur;
- ► Examples...
 - ▶ Policy and procedure reviewed and revised
 - ▶ In-service staff
 - ▶ Re-educate
 - ► Competency created or revised
 - ► Audit tool created or revised
- ▶ Caution...
 - ▶Be specific to the deficiency
 - ▶Be cautious of language that implies guilt i.e. disciplined, corrected

- ► How the corrective actions(s) will be monitored to ensure deficient practice will not recur, i.e., what quality assurance program will be put into practice.
 - ▶Addresses how the QA committee will oversee the deficient practice
 - ► Audits conducted how often
 - ► Measureable
 - ► Frequency and quantity
 - ► Monthly 10 percent of ...
 - ► When presented to QA meeting

- ► How the corrective actions(s) will be monitored to ensure deficient practice will not recur, i.e., what quality assurance program will be put into practice. (cont.)
- ▶ Consider
 - ► A statement supporting QA oversight of ongoing monitoring
 - ► Findings to be reported to the QA committee on a monthly basis for a year. Subsequently to be reviewed and revised pursuant to our QA process

- ► The date for correction and the title of the person responsible for correction of deficiency
 - ▶ Acceptable time frame based on scope and severity
 - ► No later than 60 day
 - ▶ Be specific on who will monitor
 - ► Monitored by one level above deficient practice found
 - ► ADON/DON
 - **▶**Administrator
 - ▶CEO/Board

► For each Deficiency

- ▶ Validate all residents listed in SOD included in POC
- ► All deficiencies are addressed
 - ► Excluding isolated with no actual harm and only the potential for minimal harm
- ► Residents cited in more than one deficiency are included in each correction
- ► Required elements for each deficiency noted are included and complete

Writing a Plan of Correction

► Standards of Care

▶ Even though they are not written in law, nursing standards have important legal significance. The allegation that a nurse failed to meet appropriate standards of care, and that breach of these standards caused harm to a patient, is the premise of every nursing malpractice lawsuit (Nurse's Legal Handbook, 2004).

- ► Interpretive Guidelines
 - ▶ Do not have the force of law
 - ► Useful in writing the POC
 - ► Statements of compliance
 - **▶** Definitions
 - **▶** Assessment
 - **▶** Planning
 - **▶** Monitoring

- ► Policy and Procedure
 - **▶** Formalized
 - ► Evidence-based
 - ► Reviewed
 - ▶ Trained
 - **▶** Evaluated

- ▶ Consider...
- ▶ Using a disclaimer as the introduction
 - ▶ "This plan of correction constitutes our written allegation of compliance for the deficiencies cited. However, submission of this plan of correction is not an admission that a deficiency exists or that one was cited correctly. This plan of correction is submitted to meet requirements established by state and federal law" (Acello, 2013,p. 122).
 - ► Alleged deficient practice

- ► Consider (cont.)
 - ▶ Begin each plan by reiterating the facility's continuous compliance with the requirement
 - ► Include policy statements, such as "it is the policy of this facility"
 - ► Include dates when follow up occurred, and incorporate present tense verbs such as monitors, observes, are being, have or have been, etc

- ► Consider (cont.)
- ► The facility is constructing a record of how well standards of care have been met
 - ▶ Prevent using language that can be misinterpreted
- ▶ Be concise, detailed, and reasonable
- ▶ Use the nursing process
 - ► Assess the situation
 - ► Formulate the problem
 - ▶ Determine goals and priorities
 - ▶ Implement a plan
 - ► Evaluate outcomes

- ► Consider (cont.)
- ▶ Incorporate uniform educational requirements
- ► Standardized care and treatment regimes
- ▶ Proceed through each deficiency statement point-by-point
 - ▶ Verify meet federal requirements
- ► Find ways to support and display the facility's hard work and compliant performance

- ► Consider (cont.)
- ► Objective terminology
- ► Avoid defensive language
- ▶ Use positive, non-judgmental language
- ▶ Avoid using abbreviations, technical terms, or initials

- ► Consider (cont.)
- ► Training and Education
 - ► Specific content of information
 - ▶ Training goals that the facility wishes to achieve
 - ▶ Teaching strategies used to achieve the goals
 - ► Results of the training

- ► Consider (cont.)
- ▶ When responding to the statement of deficiencies, the facility will need to meet reasonable standards of practice
- ► Convey relevant facts in chronological order
- ► Answer the questions that surveyors ask
 - ▶ How does facility evidence support compliance
 - ▶ Where is evidence supporting compliance
 - ► System compliance

Prepare for Revisit

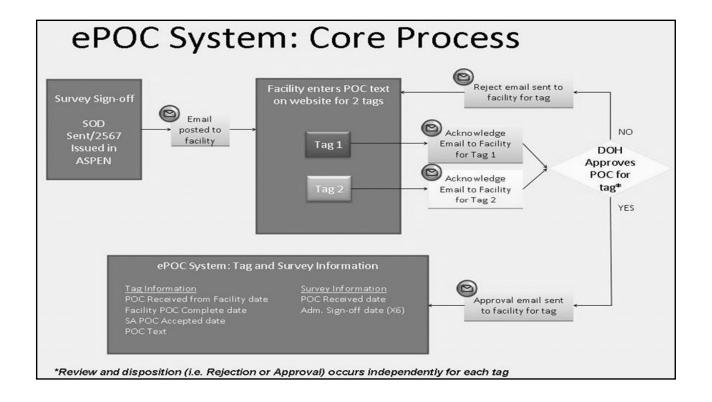
- ▶ Prepare for the revisit
 - ► Create a binder/file for each tag
 - ▶ Include a section for each tag cited
 - ► Supporting detail for each category
 - ► Rehearse and prepare staff

Electronic Plan of Correction (ePOC)

- ▶ DAL 15-03 RE: Electronic Plan of Correction (ePOC)
- ► NH-DAL-13-03 REVISED

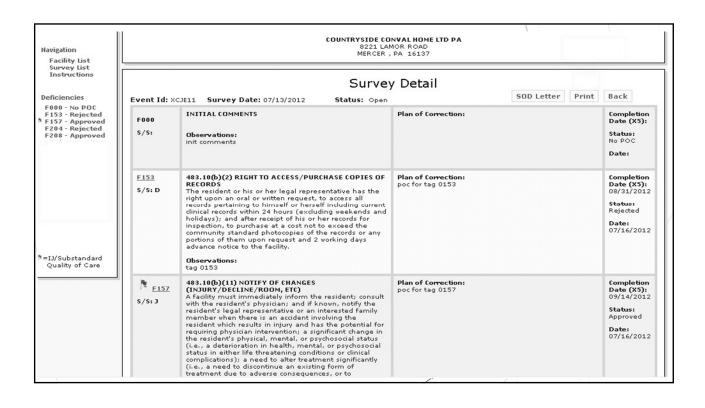
RE: ELECTRONIC PLAN OF CORRECTION (EPOC)

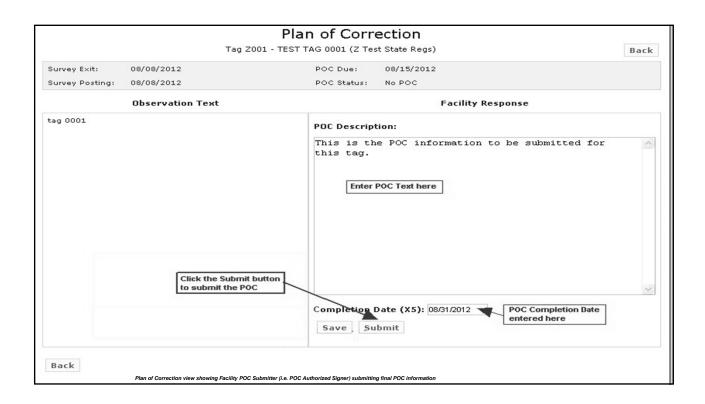
- ▶ In an effort to streamline communications with nursing homes, the New York State Department of Health (NYSDOH) implemented an electronic Plan of Correction (EPOC) application, effective August 1, 2013.
- https://nysdoh.webex.com/nysdoh/lsr.php?AT=pb&SP=TC&rID=62658282&act=pb&rKey= 345c65de711014ea
- ▶ Administrator role: may read SODs/POCs, edit, save, and submit POCs;
- ▶ POC Editor role: may read SODs/POCs, edit and save POCs; and
- Operator role: may read SODs/POC

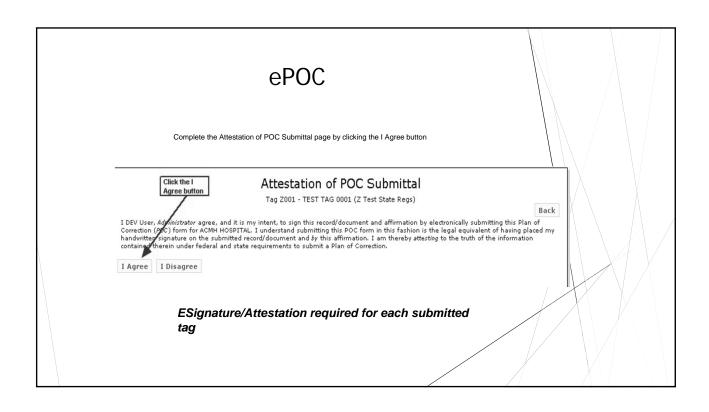


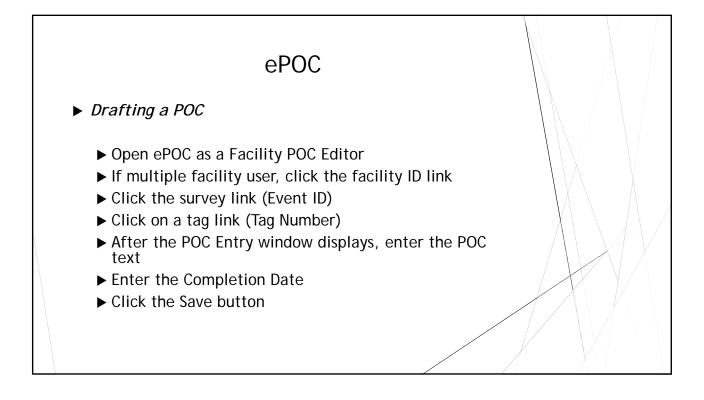
➤ Submitting POCs to DOH When a survey is posted to ePOC, facility users must submit the POC information, which consists of POC Text and a Completion Date, to DOH for review and approval. An ESignature/Attestation is required for each tag. POC information can be saved without submitting. Only a Facility POC Submitter (i.e. POC Authorized Signer) can submit POC information. A Facility POC Editor can draft POC information but cannot submit it. A Facility Viewer can neither draft nor submit POC information, but can see SOD and POC information

- ▶ Submitting a POC
 - ▶ 1. Open ePOC as a Facility POC Submitter (i.e. POC Authorized Signer)
 - ▶ 2. If multiple facility user, click the facility link
 - ▶ 3. Click the survey link
 - ▶ 4. Click on a tag link
 - ▶ 5. Enter POC Description text
 - ▶ 6. Enter the Complete Date
 - ▶ 7. Click the Submit button









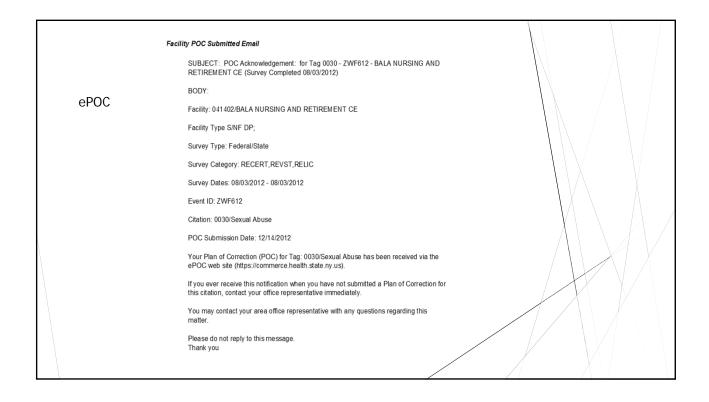
- ► Submitting a Draft POC
 - ► Open ePOC as a Facility POC Submitter (i.e. POC Authorized Signer)
 - ► If the facility user can access multiple facilities, click the facility link
 - ► Click the survey link
 - ▶ Click on a tag link for a tag in Fac Draft status
 - ► Click the Submit button

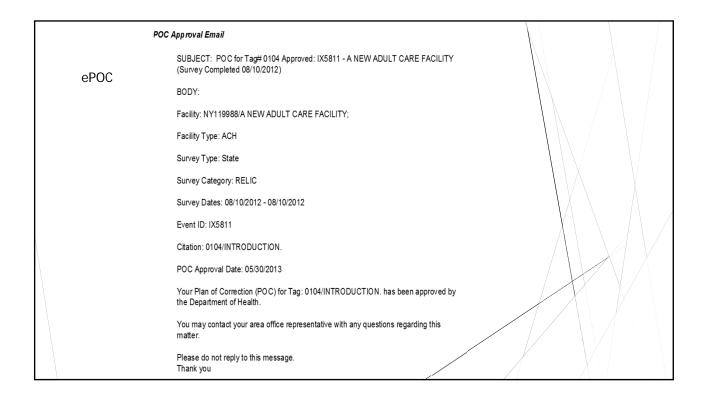
- ► Deficiency-Free Surveys
 - ► Acknowledging a Deficiency-Free Survey
 - ▶ Open the ePOC application as a Facility POC Submitter
 - ► For users with access to multiple facilities, click the Facility ID link.
 - ▶ Click the Event ID link for a deficiency-free survey.
 - ► Click the Acknowledge SOD button.

	Facility Response	
	POC Description: A plan of correction is not required for deficiencies at scope and severity level A. The facility remains responsible to expeditiously correct all deficiencies and to ensure measures are in place to maintain compliance. Please submit this information to the Department to acknowledge this message.	
ePOC	~	
	Specific Text displayed on facility web site for SS Level A tags Scope/Severity Level –A tags display the following text on the 2567 form:	
	A-Level Scope/Severity Tags (Nursing Homes)	
	ePOC provides special behavior for Scope/Severity level A tags. Facilities do not have to submit a POC for these tags; instead they have to acknowledge receipt of the citation. These tags display specific POC text in ePOC as follows:	

- ► POC-Related Email
- ► The ePOC system generates several facility email notifications automatically during the ePOC process.
 - ► Facility POC Submitted Email This email is sent to the facility when each tag is submitted.
 - ▶ POC Approval Email This email is sent to the facility when a tag is approved.
 - ▶ POC Rejected Email This email is sent to the facility when a tag is rejected and includes the reject reason(s).

- ► POC-Related Email (cont.)
 - ► Final POC Accepted Email This email is sent to a facility on DOH acceptance of all tags for the survey.
 - ▶ No Response Emails (No POC Ever Received and Rejected Tags w/o Subsequent POC) These emails are sent when a facility has not responded in a timely manner to the original survey posting or to a rejected POC.







Final POC Accepted Email SUBJECT: Final POC Accepted: IX5811 - A NEW ADULT CARE FACILITY (Survey ePOC Completed 08/10/2012) BODY: Facility: NY119988/A NEW ADULT CARE FACILITY Facility Type: ACH Survey Type: State Survey Category: RELIC Survey Dates: 08/10/2012 - 08/10/2012 Event ID: IX5811 SOD Posting Date: 08/10/2012 Final POC Accepted Date: 05/30/2013 The Plans of Correction for all tags on this survey have been accepted by the NYS Department of Health (the Department). Please continue implementation as the Department will monitor effectiveness during future surveillance activities. You may contact your area office representative with any questions regarding this Please do not reply to this message. Thank you

No Response Emails (No POC Ever Received and Rejected Tags w/o Subsequent POC) SUBJECT: Plan of Correction (POC) Overdue: DXR611 - GOLDEN HILL NURSING HOME, INC (Survey Completed 07/12/2012) ePOC BODY: Facility: 850302/GOLDEN HILL NURSING HOME, INC. Facility Type: SNF/NF; Survey Type: Federal/State Survey Category: CMPIVT Survey Dates: 07/12/2012 - 07/12/2012 Event ID: DXR611 Statement of Deficiencies (SOD) Posted Date: 07/12/2012 Please note that POC(s) are overdue for the following citation tags. The POC(s) should be submitted immediately on the ePOC web site (https://commerce.health.state.ny.us): - Citation 0000-INITIAL COMMENTS - Citation 0154-INFORMED OF HEALTH STATUS, CARE, & TREATMENTS Please do not reply to this message.

QUESTIONS?

- ▶ Linda Winston, RN, MSN, BS, RAC-CT, C-NE/MT
 - ▶ ProCare Consultant



References

- ▶ Acello, B. (2013). *The long-term care: Legal desk reference 2nd edition.* Denvers, MA: HCPro, Inc.
- ▶ Bennett, J. (2013). Survey and management. Denver, CO: AANAC
- ► Centers for Medicare and Medicaid. (2014). State Operations Manual Chapter 7 -Survey and Enforcement Process for Skilled Nursing Facilities and Nursing Facilities. Retrieved from https://www.cms.gov/Regulations-and-Guidance/Guidance/Manuals/Downloads/som107c07.pdf
- ▶ New York State ePOC Facility User Manual
- ▶ OIG Work Plan Fiscal Year 2015 available at http://oig.hhs.gov/