



5110 Maryland Way
Suite 200
Brentwood, TN 37027
615.309.6053
www.healthtechs3.com

2745 North Dallas Pkwy
Suite 100
Dallas, TX 75093
800.228.0647
www.gaffeythehealthcare.com



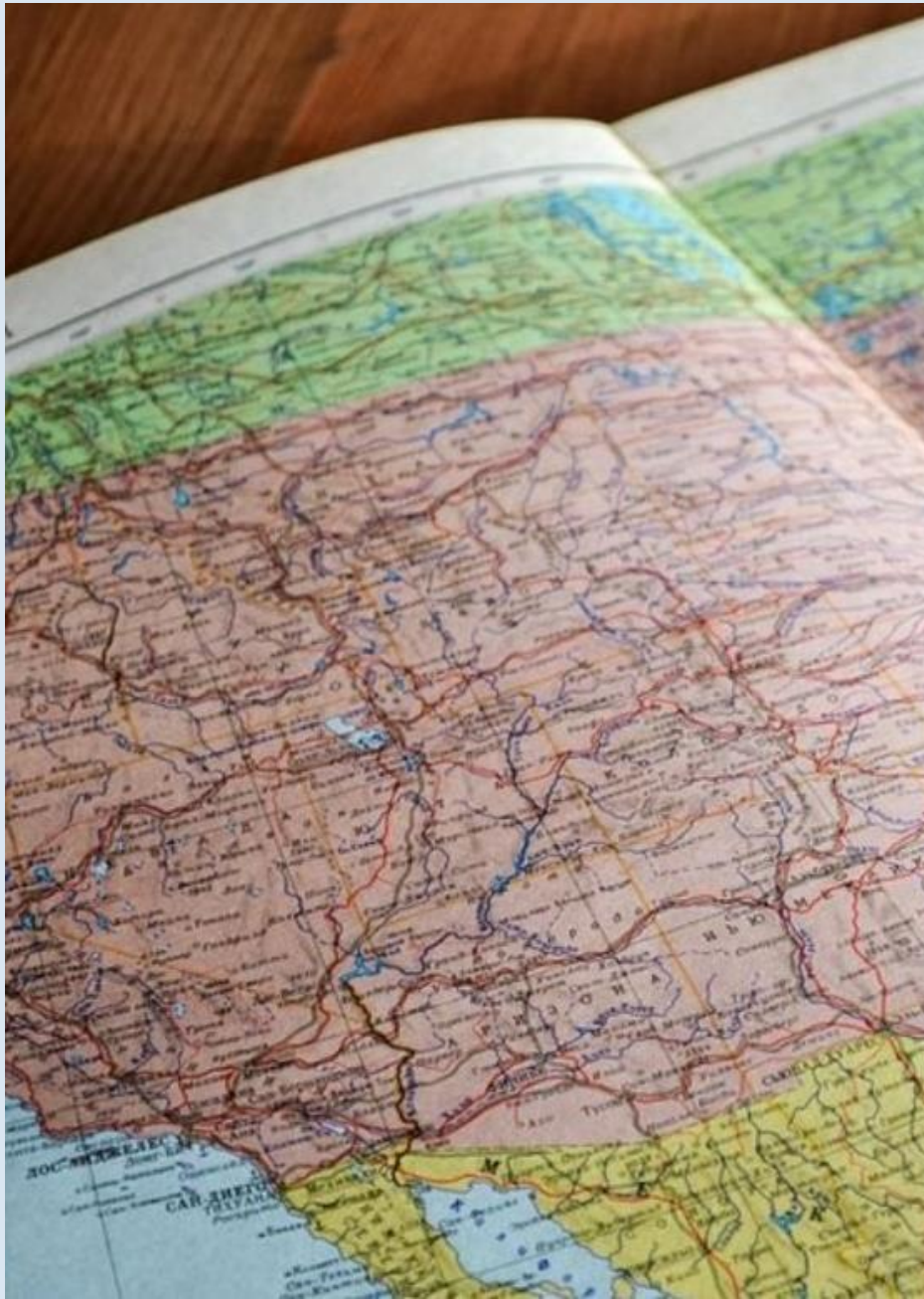
Survey Savvy: How to Manage a Regulatory Survey

**Presented By: Dr. John A. Coldsmith, DNP, MSN, RN, NEA-BC
Clinical Consultant – HealthTechS3**

May 1st, 2020



Nationwide Client Base



Currently provides hospital management, consulting services and technology to:

- Serving community, district, non-profit and Critical Access hospitals

Example Managed Hospital Client:
Barrett Hospital and Healthcare in
Dillon, MT, Ranked as a Top 100 Critical
Access Hospital for 8 years in a row

Example Technology and AR Services Clients: Two-
hospital NFP systems in southeast GA with numerous
associated physician practices

Preferred vendor to:

- California Critical Access Hospital Network
- Western Healthcare Alliance Partner with Illinois Critical Access Hospital Network
- Vizient Group Purchasing Organization

Areas of Expertise

Strategy - Solutions - Support

Governance & Strategy

- Executive management & leadership development
- Community health needs assessment
- Lean culture

Finance

- Performance optimization & margin improvement
- Revenue cycle & business office improvement
- AR outsourcing

Recruitment

- Executive and interim recruitment
- CEOs, CFOs, CNOs
- VP and Department Directors

Clinical Care & Operations

- Continuous survey readiness
- Care coordination
- Swing bed consulting

Presenter



John Coldsmith
Clinical Consultant

John has 40+ years of progressive nursing, leadership, and administrative hospital experience, John has strong background in project management as demonstrated through planning, organizing, directing, and evaluation of outcomes relative to patient care quality, and service.

Prior to joining HealthTechS3, John served as Chief Nursing Officer of the 262-bed Centennial Hills Hospital Medical Center (UHS, Inc.) in Las Vegas, Nevada. He was responsible for the operations of the Nursing Departments, Education, Quality, Infection Control, CPOE, Orthopedic Nurse Practitioner & Navigator, Cardiac & Neuro RN Coordinator, Nurse Staffing, and House Supervision.

John earned his Associates Nursing Degree from New Mexico State University in Las Cruces, NM and a Bachelor of Science in Health Science from Chapman University in Orange, CA. John completed his Masters of Science Degree in Nursing from University of Phoenix and his Doctorate in Nursing Practice from the University of Nevada – Reno.

John.coldsmith@healthtechs3.com

760-656-0038

Instructions for Today's Webinar

- ✓ You may type a question in the text box if you have a question during the presentation
- ✓ We will try to cover all your questions – but if we don't get to them during the webinar, we will follow-up with you by e-mail
- ✓ You may also send questions after the webinar to our team (contact information is included at the end of the presentation)
- ✓ The webinar will be recorded and the recording will be available on the HealthTechS3 web site: www.healthtechs3.com



www.healthtechs3.com

HealthTechS3 hopes that the information contained herein will be informative and helpful on industry topics. However, please note that this information is not intended to be definitive. HealthTechS3 and its affiliates expressly disclaim any and all liability, whatsoever, for any such information and for any use made thereof. HealthTechS3 does not and shall not have any authority to develop substantive billing or coding policies for any hospital, clinic or their respective personnel, and any such final responsibility remains exclusively with the hospital, clinic or their respective personnel. HealthTechS3 recommends that hospitals, clinics, their respective personnel, and all other third party recipients of this information consult original source materials and qualified healthcare regulatory counsel for specific guidance in healthcare reimbursement and regulatory matters.

Staffing Community Hospitals since 1971

HealthTechS3

Design.Build.Optimize → High Performance Teams

- **The Right Person** – Our experience and understanding of your hospital is the key to placing the right Executive or Department Leader
- **Immediate Response** – Interim needs are typically immediate. Our bench strength allows us to find the right executive quickly to provide a seamless transition
- **Experience** – Over 49 years of supporting executives & teams in hospitals and healthcare companies of all sizes
- **Support Services** – Our business is managing hospitals more efficiently. We provide comprehensive support services to all our Interim Executives and Department Leaders

- **Our Depth:**

We support all positions including CEO, CFO, CNO, CIO, Clinic Administration and Department Leaders

- **Interim Executive Placement Services:**

“Blue Mountain Hospital District has benefited from the interim executive placement services HealthTech S3 provides. Our current CFO started as an interim placement for BMHD, prior to joining our organization in a permanent capacity. The success with this placement has motivated us to consult Health Tech with two subsequent interim executive needs.” **Derek Daly, CEO BMHD**

Retained

Contingency

Interim

Contract

Mentoring/Support Team

Every Interim Executive and Department Leader is backed by a support team and mentor who help ensure that the team gets the right results

HealthTechS3
Design.Build.Optimize → High Performance Teams



Objectives

1. Describe 3 strategies for hospital survey readiness.
2. Describe 5 best TIPS for a successful survey.

Why is Survey Success Important?

1. Reimbursement \$\$\$

CMS retains ultimate authority!

To receive Medicare / Medicaid reimbursement, hospitals must be in “substantial compliance”

2. Reputation of Facility & Leadership

3. Reputation to Community

Various Deeming Authorities

1. Center for Improvement in Healthcare Quality (CIHQ) – 2013
 - cihq.org
2. Det Norske Veritas (DNV) NIAHO - 2008
 - dnvglhealthcare.com
3. Healthcare Facilities Accreditation Program (HFAP) – 1956
 - hfap.org
4. Joint Commission (TJC) – 1965
 - jointcommission.org

Reasons for a Regulatory Survey

1. A Complaint About Facility – Patient, Family, Social Media
2. A Complaint About Another Facility – Patient
3. OSHA Complaint
4. EMTALA Violation Complaint
5. Normal Cycle Survey for Accreditation
6. Validation Survey by CMS

Engaged Leadership – Survey Readiness

1. Actively engage the Governing Board and Medical Staff
 - Provide regular reports on survey readiness including achievements as well as opportunities
2. Ensure continuous survey readiness is the responsibility of ALL leaders & staff
 - Include survey readiness in manager job descriptions and performance evaluations
 - Identify provider champion(s)
3. Talk about “WHY” survey readiness is important for safe patient care thru-out the organization – never use the words, “*because they make us do it*”.

Develop a Survey Readiness TEAM

Responsibilities of Survey Readiness TEAM

1. identification – implementation – monitoring new standards
 - Sign up for CMS alerts
2. Conducting regular patient and system tracers in every department
 - Immediate feedback to staff
 - Document findings and follow-up
3. Provide regular and ongoing education and support for department leaders, medical staff and hospital staff
4. Develop a “survey binder” with either ALL the documents surveyors will request ---- or where they can be found in the organization

Focus the TEAM

1. Areas that are “easy fixes” – *just do it*
2. Areas of significant non-compliance
3. Findings from most recent survey ---- make sure you are in compliance
4. New / revised standards
5. Surveyor “hot topics”
6. Develop metrics for key areas you are monitoring or working on - and include on your department and organizational quality scorecard

Engaged Staff – Prepare, Prepare, Prepare

1. Talk about “WHY” survey readiness is important for safe patient care – never use the words, “*because they make us do it*”
2. Identify and support informal leaders
3. Engage staff in “meaningful audits” – not just busy work
4. Provide “real-time” feedback on performance as much as possible
 - *How did we do today on our key goals / areas we’re working on?*
5. Be creative: Newsletter, Games Surprises, Good Catch Awards, Quiz of the Month.....Always being Prepared!
6. Celebrate Successes – even small incremental steps

Reasons for a Regulatory Survey

1. A Complaint About Facility – Patient, Family, Social Media
2. A Complaint About Another Facility – Patient
3. OSHA Complaint
4. EMTALA Violation Complaint
5. Normal Cycle Survey for Accreditation
6. Validation Survey by CMS

Examples of Surveyor Hot Topics

1. High level disinfection – Infection Control
2. Sterilization – Infection Control
3. Ligature Risk including restraints – Patient Safety
4. Pain management and specifically use of Opioids – Managing Medications

The hot topics or buttons always apply – regardless of who is conducting your survey or type of survey!

State - CMS - CHIQ - DNV - HFAP - TJC

Surveyors have arrived.....Now what?

The Nuts & Bolts of Managing the Survey

1. Verify Credentials – Photo ID, Business Card, Web Site.
2. Walk Surveyors in Conference Room
3. Opening Conference/Statement – Depends on type of Survey
4. Sound the ALERT – Policy & Procedure for all Staff to follow
 - * Department Checklist for Survey Readiness
 - * The Smell TEST of Facility
 - * Stay Calm – Be organized

The Reason for the Survey Visit....Where are we headed?

Opening Conference

1. Who should be present? Director of Quality, Regulatory, Chief Nursing Officer
2. Take notes – Actual Reason for Visit – List of Surveyor Requests
 - * Copy of Daily Census
 - * Copy of Surgery Schedule
 - * Copy of Special Procedures
 - * Policy & Procedures List for Review
3. Complete a cross-walk of information – Risk Management – Department Involved
4. Gather an WOW's for EMR review – Alert any escorts or scribes – Alert individual Department Manager
5. Be ready for Department tour – Give alert as soon as possible

The Perception of the Surveyor – All Hands on Deck

Remember the GOAL – A successful survey with zero deficiencies!

1. Be Present – Engaged with the Process
2. Professional and Polite – Customer Service Standards
3. Be Organized – Take Notes – Check Off List
4. Be Responsive- Timely follow up with Requests

Additional Recommendations for Survey Success

Tips from Experience.....

1. Expect the unexpected....Off-Hours, Pre & Post Holidays, Batching
2. Do not let the Surveyor ROAM free – Always assign a escort/scribe
3. Do not Overwhelm Surveyor/Staff members with a cadre of escorts
4. EMR Savvy – CPOE or Informatics Nurse to navigate with surveyor
5. Document Review – Policy & Procedure – Have a process in place
6. Human Resources Review of Competencies and Education of staff
7. On-going Briefing of CEO and Executive Team

Remember – “It’s not over till it’s over”.

1. Stay Engaged – Do not let guard down!
2. Follow up on any Surveyor Requests
 - * Policies & Procedures
 - * Staff/Physician Interviews
 - * Copies of Documents or EMR

At The End of The Day....

The Closing or Post Conference

1. Who will attend?
3. The Surveyor review of any findings or deficiencies
4. Escort the Surveyor out of Facility
5. Brief the Team involved – Announce All Clear to Departments

Questions?



The Swing Bed Patient-Driven Payment Model (PDPM) and Understanding the Importance of MDS v1.17

Date : April 14, 2020 Time : 12pm CST

Presenter : Reta A. Underwood, RAC-CT, C-NM, QCP, CPC

Host : Carolyn St.Charles, RN, BSN, MBA, Chief Clinical Officer

<https://bit.ly/3ao5Xjn>

Appendix A and Appendix W Revised by CMS: A Road Trip Through the New Standards and Interpretive Guidelines

Date : April 17, 2020 Time : 12pm CST

Presenter : Carolyn St.Charles, RN, BSN, MBA, Chief Clinical Officer

<https://bit.ly/2UERPLT>

Survey Savvy: How to Manage a Regulatory Survey

Date : May 1, 2020 Time : 12:00 pm CST

Presenter : John Coldsmith, DNP, MSN, RN, NEA-BC - Clinical Consultant, HealthTechS3

Host : Carolyn St.Charles, RN, BSN, MBA, Chief Clinical Officer

<https://bit.ly/3apGsxV>

30-Day Hospital Turnaround & Margin Improvement - Strategies for Successful Operations

Date : May 22, 2020 Time : 12:00 pm CST

Presenters : Derek Morkel, CEO, Gaffey Healthcare and Neil Todhunter, President, HealthTechS3

<https://bit.ly/2RsVOuf>

© HTS3 2020 | 25

Building the Bridge Between Annual Wellness and Care Coordination

Date : May 28, 2020 Time : 12pm CST

Presenter : Faith M Jones, MSN, RN, NEA-BC – Director of Care Coordination and Lean Consulting, HealthTechS3

<https://bit.ly/2UnUgYK>

Your Swing Bed Program – It Takes A Village

Date : June 5, 2020 Time : 12pm CST

Presenter : Carolyn St.Charles, RN, BSN, MBA, Chief Clinical Officer

<https://bit.ly/2WJKNrX>

What an Interim Leader Can Bring To Your Hospital and Why You Might Need One - Now

Date : June 12, 2020 Time : 12pm CST

Presenter : Michael Lieb, FACHE, Vice President – Interim Services, HealthTechS3

<https://bit.ly/3dxyGnD>

Connecting the Dots between Transitional Care Management and HCAHPS

Date : June 25, 2020 Time : 12pm CST

Presenter : Faith M Jones, MSN, RN, NEA-BC – Director of Care Coordination and Lean Consulting, HealthTechS3

<https://bit.ly/33VN8BB>

THANK YOU

I hope this information has been helpful!

Please contact me if you would like to schedule a review of your facility, or have questions about the presentation



John Coldsmith
Clinical Consultant

HealthTechS3

41 Bordeaux

Rancho Mirage, CA 92270

Phone: 760-656-0038

Website: www.healthtechs3.com

John.coldsmith@healthtechs3.com