Survey Scope & Severity Grid

Severity Level:			
Level 4 Immediate Jeopardy to Resident Health or Safety	J	к	L
	Required: Cat. 3 Optional: Cat. 1 Optional: Cat. 2	Required: Cat. 3 Optional: Cat. 1 Optional: Cat. 2	Required: Cat. 3 Optional: Cat. 2 Optional: Cat. 1
	PoC Needed	PoC Needed	PoC Needed
Level 3 Actual Harm that is not	G	н	
Immediate Jeopardy	Required* Cat. 2 Optional: Cat. 1	Required* Cat. 2 Optional: Cat. 1	Required* Cat. 2 Optional: Cat. 1 Optional: Temporary Mgmt.
	PoC Needed	PoC Needed	PoC Needed
Level 2 No Actual Harm with	D	E	F
Potential for More than Minimal Harm that is not Immediate Jeopardy	Required* Cat. 1 Optional: Cat. 2	Required* Cat. 1 Optional: Cat. 2	Required* Cat. 2 Optional: Cat. 1
	PoC Needed	PoC Needed	PoC Needed
Level 1 No Actual Harm with Mo Potential for Minimary (1977) ES Enman	No Remedies Commitment to Correct Not on HCFA-2567	В	С
	No PoC	PoC Needed	PoC Needed
Scope Level:	Isolated	Pattern	Widespread

Substandard quality of care: any deficiency in §483.13 Resident Behavior and Facility Practices, §483.15 Quality of Life, or in §483.25, Quality of Care that constitutes: immediate jeopardy to resident health or safety; or, a pattern of or widespread actual harm that is not immediate jeopardy; or, a widespread potential for more than minimal harm that is not immediate jeopardy, with no actual harm.

Substantial compliance.

Remedy Categories				
Category 1 (Cat. 1)	Category 2 (Cat.2)	Category 3 (Cat. 3)		
Directed Plan of Correction State Monitor; and/or Directed In-service Training	Denial of Payment for New Admissions; Denial of Payment for All Individuals, Imposed by HCFA; and/or Civil Money Penalties: \$50 - \$3,000 per day \$1,000 - \$10,000/instance	Temporary Management Termination Optional: Civil Money Penalties: \$3,050 - \$10,000 per day \$1,000 - \$10,000/instance		

DENIAL OF PAYMENT FOR NEW ADMISSIONS must be imposed when a facility is not in substantial compliant within three months after being found out of compliance.

DENIAL OF PAYMENT AND STATE MONITORING must be imposed when a facility has been found to have provided substandard quality of care on three consecutive standard surveys.

Note: Termination may be imposed by the State or HCFA at any time when appropriate.

* Required only when decision is made to impose alternate remedies instead of or in addition to termination.

The Grid was adapted from the State Operations Manual, Chap.7, 05/21/00.

TERMS RELATING TO THE SURVEY SEVERITY GRID

Definitions of Scope:

ISOLATED: Scope is isolated when one or a very limited number of residents are affected and/or

one or a very limited number of staff are involved, and/or the situation has occurred

only occasionally or in a very limited number of locations.

PATTERN: Scope is a pattern when more than a very limited number of residents are affected,

and/or more than a very limited number of staff are involved, and/or the situation has occurred in several locations, and/or the same resident(s) have been affected by repeated occurrences of the same deficient practice. The effect of the deficient

practice is not found to be pervasive throughout the facility.

WIDESPREAD: Scope is widespread when the problems causing the deficiencies are pervasive in the

facility or represent systemic failure.

Definition of Severity:

Level 1: NO ACTUAL HARM WITH POTENTIAL FOR MINIMAL HARM: A deficiency that has the

potential for causing no more than a minor negative impact on the resident(s).

Level 2: NO ACTUAL HARM WITH POTENTIAL FOR MORE THAN MINIMAL HARM THAT IS NOT

IMMEDIATE JEOPARDY: Non-compliance that results in minimal physical, mental and/or psychosocial discomfort to the resident and/or has the potential (not yet realized) to compromise the resident's ability to maintain and/or reach his/her highest practicable physical, mental and/or psychosocial well being as defined by an accurate and comprehensive resident

assessment, plan of care, and provision of services.

Level 3: ACTUAL HARM THAT IS NOT IMMEDIATE JEOPARDY: Non-compliance that results in a

negative outcome that has compromised the resident's ability to maintain and/or reach his/her highest practicable physical, mental and psychosocial well being as defined by an accurate and comprehensive resident assessment, plan of care, and provision of services. This does not include a deficient practice that only has limited consequence for the resident and would be

included in level 2 or in level 1.

Level 4: IMMEDIATE JEOPARDY TO RESIDENT HEALTH OR SAFETY: A situation in which

immediate corrective action is necessary because the provider's non-compliance with one or more requirements of participation has caused, or is likely to cause, serious injury, serious harm, impairment, or death to a resident receiving care in a facility. Facility practice establishes a reasonable degree of predictability of similar actions, situations, practices, or

incidents occurring in the future.

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