

KIM REYNOLDS, GOVERNOR  
ADAM GREGG, LT. GOVERNOR

LARRY JOHNSON, JR., DIRECTOR

DATE: 5/22/2023

FROM: Vicki Worth, LTC BC

TO: DIA Health Facilities Surveyors (HFS), LTC Providers, and LTC Associations

**RE: Nurse Aide Roster Updates and Exit Recordings**

The Department of Inspections & Appeals (DIA) conducted a recent Kaizen event which looked at our overall survey process in order to identify areas to improve efficiencies, effectiveness, and standardization. During this process, it was identified that HFS currently supply a facility administrator with a Nurse Aide (NA) Roster upon entrance of a recertification (annual) survey. The team leader then requests the administrator to make any changes to the list such as adding new hires with their date of hire or crossing off terminated employees with notation of their termination date. This form is then turned into the Direct Care Worker (DCW) registry. The event also reviewed the use of exit recordings.

The Kaizen event revealed the NA Roster form is not needed by the DCW registry, who requires a provider to update their changes via our website at [dia-hfd.iowa.gov](http://dia-hfd.iowa.gov). In fact, in order for a provider to submit a self-report online, they must first go through a screen that asks them to make any needed changes to the DCW before they can proceed. The event also revealed the exit recording process was not utilized by all bureaus, the recordings were not used for the purpose of gathering survey information, and many providers have technical difficulties opening the recordings.

Therefore, moving forward as of 5/22/23, HFS will no longer be supplying a NA Roster or requesting an update during the LTC annual survey process. The time the administrators previously devoted to updating the form can now be devoted to an administrator ensuring they have online access to our database and confirming the online listing is accurate. Additionally, the HFS will no longer be required to record exit conferences. If a provider would like to record an exit conference, DIA would just ask that a copy of the recording be shared with the survey team.

Sincerely,

Vicki Worth, Medicare/Medicaid LTC Bureau Chief I  
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