

TIPS FOR DEVELOPING AN ALLEGATION OF COMPLIANCE

The focus of the Allegation of Compliance (AoC) is to remove the immediacy of the Immediate Jeopardy (IJ), in order to ensure residents are not at risk. The facility's first action would be to identify the root cause of the Immediate Jeopardy.

The AoC should include:

Resident(s) affected by the IJ:

- What specific action(s) taken to remove IJ for the affected resident(s)
- Title of staff completing the action(s) and date(s) of action(s) taken

Training: (How the facility made staff aware of the issue(s) related to the IJ)

- What type of training was provided/topic
- Identify staff by title who attended the training, title of person(s) who provided the training and date training was conducted
- System implemented to ensure all staff is trained prior to providing direct care, including new hires and/or agency staff

Monitoring:

- What is the facility monitoring related to the IJ and the frequency of the monitoring
- Title of staff completing the monitoring
- Actions taken related to identified issues based on the monitoring

Alleged removal of IJ:

- Specify the IJ removal date, i.e. the date the facility determined the IJ no longer exists. The IJ removal date can not be the same date corrective action is taken to abate the IJ.
- If the State Agency has completed the survey process, the facility can not allege removal of the IJ on or before the date of exit.

*The facility must have a clear understanding of what caused the IJ in order to develop an Allegation of Compliance. If additional information is needed you can and should contact the state agency for clarification.