OVERVIEW AND INSTRUCTIONS: PREPARING FOR YOUR SURVEY VISIT

NOTE: Processes for submission differ slightly for single program vs. multi-program sites – SEE Step 5 and Step 6 for more details.

A complete and well-organized pre-survey packet will enable surveyors to become familiar with your program and pharmacy services and maximize the effectiveness of the survey visit. The survey process is intended to be thorough in its evaluation, consultative in nature, and educational for all involved.

To assist in understanding the accreditation standards, please review the ASHP Accreditation Standards for Postgraduate Pharmacy Residency Programs. The Standard also includes Guidance for each individual standard and is a great source of information.

Please thoroughly review this document before beginning to prepare your pre-survey materials. It will address the following areas:
- Completing, Compiling, and Submitting Your Pre-survey Materials
  - Completing your Pre-Survey Self-Assessment- NEW FORMAT
- Itinerary Planning
- Virtual Survey Process

In preparation for a survey visit, residency program directors are required to submit pre-survey documents and to ensure all required documents in PharmAcademic™ are current.

The lead and practitioner surveyor(s) will have access to PharmAcademic™ prior to the survey visit. Any changes to documents in in **PharmAcademic™ must be finalized at the time the pre-survey packet is submitted.** PharmAcademic™ is a dynamic tool so changes can and should be made as appropriate to program management. However, for survey purposes, **any changes made in PA within 30 days prior to the survey will NOT be considered during the survey visit**, as the surveyors will have already reviewed the materials.

Documents to be reviewed include dashboard data, learning experience descriptions, Teach and Evaluate (TE) grid, all evaluations, resident schedules and development plans, and graduate tracking information. Items located in PharmAcademic™ SHOULD NOT be submitted with the pre-survey materials.

COMPLETING, COMPILING AND SUBMITTING YOUR PRE-SURVEY MATERIALS

STEP 1:
Download the following forms and documents:
1. Pre-survey Self-Assessment (Excel)
2. Table 1: Required Documents
3. Document Checklist
4. PGY1 Resident Roster (as applicable)
5. PGY2 Resident Roster (as applicable)
6. INSTRUCTIONS for Options to Submit Evidence of Residents' Completion of CAGO (Competency Areas, Goals, and Objectives) Requirements

7. [Evidence of Residents' Completion of CAGOs Requirements (all program types)](#)
8. [Academic and Professional Record (APR) form](#) for RPD and Preceptors
9. Preceptor Roster (choose the appropriate roster for your survey)
   [9.a Single Program](#)
   [9.b Multi-program](#)
10. Pharmacy Services Grid(s) as applicable to your program (See **Table 1 Required Documents** for more information):
    [10.a   TABLE A. Acute Care -Practice Environment Information](#)
    [10.b   TABLE B. Ambulatory Care -Practice Environment Information](#)
    [10.c   TABLE C. Community - Practice Environment Information](#)
    [10.d   TABLE D. Managed Care - Practice Environment Information](#)
11. [How to Combine and Bookmark PDF Files for Submission](#)
12. [Virtual Accreditation Site Survey Information (if applicable)](#)
13. [Accreditation/Reaccreditation Application](#)
14. [Electronic Submission Instructions](#)

STEP 2:

Complete the **Pre-Survey Self-Assessment (Excel)** - NEW FORMAT

The 2023 Pre-survey Self-Assessment is an Excel document with the following features:

- Tabs
  - Tab #1 - Program information
    - Please select from the dropdown menus for:
      - Program Type
      - PGY2 Specialty Area (if applicable)
  - Tab #2 – Program Self-Assessment
    - Each box adjacent to individual Standards has a dropdown menu for you to select fully compliant (FC), partially compliant (PC), non-compliant (NC), or not applicable (NA)
    - Note:
      - Standards in **bold blue font** are CRITICAL FACTORS which have greater impact on accreditation decisions and cycle of accreditation.
      - Items in **bold red font** do NOT have to be self-assessed as they are topic headings.

For ease of use, the spreadsheet is pre-populated with FC for all standards – use the dropdown options to change rating as needed.

INSTRUCTIONS:
1. Please select your level of compliance for EACH standard by choosing from the FC, PC, NC, NA dropdown menu
2. Comments **MUST BE INCLUDED** in the box adjacent to your self-assessment for <u>any Standard marked as PC or NC</u>
3. SAVE as an Excel file **using the following naming convention**:
   a. Pre-survey docs [your program number] [your organization name] [residency program type]: Self-assessment

Example: Pre-survey docs (12345) ABC Organization PGY2 Oncology Pharmacy: Self-assessment

STEP 3:

COMPILE all documents listed in **Table 1. Required Documents.** Instructions for specific information to be submitted can be found within the Table.

Use the **DOCUMENT CHECKLIST** to keep track of the documents you've completed/gathered. Completing this CHECKLIST will ensure all documents are submitted.

STEP 4:

CONVERT all compiled Required Documents listed in Table 1. to PDF files **EXCEPT** the Pre-Survey Self-Assessment. **DO NOT CONVERT** this document to the PDF format - it should be submitted as a SEPARATE, Excel file and NOT included in the combined, bookmarked document. (see **STEP 5** below)

The following documents may be SCANNED (vs. converted to PDF) since signatures are required:
- Scanned Documents
  - Accreditation/reaccreditation application
  - Resident(s)' certificate(s) of completion
  - Resident(s)' signed offer letter(s)

STEP 5: (Process differs slightly for SINGLE vs. MULTI-PROGRAM surveys)

5.a.   SINGLE PROGRAM PROCESS

COMBINE PDFs of all REQUIRED DOCUMENTS into a bookmarked PDF file in the **SAME ORDER** and using the SAME TITLES listed on the DOCUMENT CHECKLIST, with the EXCEPTION of the following:
- Pre-survey Self-Assessment Excel File – submit as a separate document
- Accreditation/reaccreditation application – submit as a separate PDF
- Evidence of Residents' Completion of CAGO Requirements – 2 options for submission:
  1. Separate PDF files for each residents' Evidence – uploaded to Fabric (see Electronic Submission Instructions) as a separate file from the COMBINED document; file name "Resident X – Deliverables"
     OR
  2. Upload Evidence to PharmAcademic™ under individual resident's "Files" tab *(See INSTRUCTIONS for Options to Submit Evidence of Residents' Completion of CAGOs)*

UPLOAD the following as SEPARATE files to Fabric (See Electronic Submission Instructions) **45 days prior** to the survey visit:
- Pre-survey Self-Assessment Excel File – submit as a separate document
- Accreditation/reaccreditation application – submit as a separate PDF
- Combined, bookmarked PDF of all REQUIRED DOCUMENTS as noted above in Step 3.
- Evidence of Residents' Completion of CAGO Requirements UNLESS uploading to PharmAcademic™ (see INSTRUCTIONS for Options to Submit Evidence of Residents' Completion of CAGOs)

*See How to Combine and Bookmark PDF Files for Submission including **Specific Instructions for Bookmarks of Preceptor APRs, Multiple-site programs, and Multi-program sites***

5.b.   MULTI-PROGRAM PROCESS

COMBINE For organizations at which multiple programs are being surveyed at the same time, the documents should be gathered, combined, and submitted as described below.
  1. COMMON PACKET for all documents common to all programs to include:

- **File 1:** Common Documents
- **File 2:** Preceptor Roster

2. Individual Program packets with information specific to each program
   - **File 1:** Program self-assessment
   - **File 2:** Accreditation/Reaccreditation application
   - **File 3:** All other documents listed in Table 1 Required Documents that ARE NOT included in the COMMON PACKET
   - **File 4:** Evidence of Residents' Completion of CAGO Requirements

The following Table further defines the documents required for each **File** listed above.

COLUMN 1: COMMON PACKET Single submission (bookmarked PDF file) of the following for the practice site (NOT for each program). This file will usually be uploaded to the PGY1 program folder in Fabric. If no PGY1 programs are being surveyed, please designate the program into which the Common Packet will be uploaded in the submission notification email. Please title this information as "Common Packet"	COLUMN 2: INDIVIDUAL PROGRAM INFORMATION Required Documents for EACH program being surveyed.

File 1: Combine all items below into a single PDF
o Residency Policies: see Table 1. Required Documents:
   o Recruitment and selection procedures (*If procedures vary among programs, include in Individual Program packets; if they are the same for all programs, include in the Common Packet. If Application and Interview rubrics vary among programs, include in individual program packets; if they are the same for all programs, include in the Common Packet)- Standards 1.1.a-1.1.f
   o Leave Policies- Standards 2.2, 2.2.a, 2.2.a.1, 2.2.b, 2.2.b.1, and 2.2.b.2
   o Duty-Hour, Moonlighting, and On-call (if applicable) Policies- Standards 2.3.a, 2.3.b, 2.3.b.1, 2.3.b.2, 2.3.c, and 2.3.d
   o Licensure policies (if differs among programs, the licensure policies should be included in the Individual Program packet)- Standards 2.4.a and 2.4.b
   o Remediation / Disciplinary Policy – Standard 2.6
   o Procedures for Verifying Completion of PGY1 program (PGY2 Programs Only) Standards 2.7, 2.7.a, 2.9.b
   o Residency Manual – Standard 2.11
   o Multi-organization agreement (iff applicable) – Standard 2.16
   o Program Oversight Committee minutes – applies to multi-program Oversight RACS if applicable;
	File 1:
	• Pre-survey Self-Assessment Excel File (DO NOT CONVERT TO PDF) – submit as a separate file

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individual program RAC minutes should be submitted with Individual Program packets – Standard 4.4.a
- o Preceptor Policies-
  - ▪ Criteria for appointment & reappointment- Standards 4.4.c, 4.4.c.1 - 4.4.c.3
  - ▪ Preceptor development (if combined for all programs, include in the Common Packet; if not, include in Individual Program - Standards 4.4.d and 4.4.d.1
- o RPD AND Preceptors' APRs for all programs alphabetized by last name. – Standard 4.5
  - o If using PharmAcademic™ for APR documentation, note this on the Document Checklist.
  - o *NOTE: If using PharmAcademic™ for APR submission, ALL APRs must be documented in PharmAcademic™; if some but not all are housed in PharmAcademic™, APRS MUST be submitted as a separate, combined file*
- o Privileging Policies (if applicable) – Standard 4.6 Guidance
- o Standard 5 required documents- ALL
  - o *Note: For multi-site programs, please submit all requested documents in Standard 5 for each primary practice site. Subfolders should be created for each site.*

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File 2:
- o Submit the Preceptor Roster as a separate Excel file.
- o This roster should include preceptors for ALL programs in alphabetical order by last name and the programs in which they precept should be designated (see Multi-program Preceptor Roster)

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File 2:
- • Accreditation application/reapplication (Scanned document)- submit as a separate file

File 3: Combine all items below into a single, bookmarked PDF file
- • All other documents listed on the Document Checklist, combined into a single PDF with the exception of items listed in the COLUMN 1 Common Packet
  - o *To include Application and Interview procedures and rubrics if they differ from program to program
- • For items listed to the left that are common to all programs, please indicate "Common Packet" on the Document Checklist

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	File 4:
	• Evidence of Residents' Completion of CAGO Requirements – 2 options for submission:
	  ○ Submit separate PDF files for each residents' Evidence (separate from the COMBINED document)
	  ○ Upload Evidence for each resident under the resident's "File" tab in PharmAcademic™
	See INSTRUCTIONS for Options to Submit Evidence of Residents' Completion of CAGOs

UPLOAD

"COMMON PACKET" INFORMATION:

UPLOAD the following as SEPARATE files to Fabric (See Electronic Submission Instructions) **45 days prior** to the survey visit. This file will usually be uploaded to the PGY1 program folder in Fabric. If no PGY1 programs are being surveyed, please designate the program into which the Common Packet will be uploaded in the submission notification email:

1. **File 1:** Combined, Bookmarked PDF of the Common Packet Documents as noted in **COLUMN 1**:
   - Residency Policies
   - Combined Preceptor APRs for ALL programs alphabetized by last name (unless ALL are documented in PharmAcademic™)
   - Standard 5 REQUIRED documents (see Table 1 Required Documents)
2. **File 2:** Preceptor roster as a SEPARATE Excel file

INDIVIDUAL PROGRAM INFORMATION

UPLOAD the following information from **COLUMN 2** as SEPARATE files to individual program folders in Fabric **45 days prior** to the survey visit:

1. **File 1:** Pre-survey Self-Assessment Excel File (do NOT convert to PDF)
2. **File 2:** Accreditation application/reapplication
3. **File 3:** All other documents listed in Table 1. Required Documents, combined into a single PDF with the exception of items included in the Common Packet described above. Please indicate "Common Packet" on the Document Checklist for these items.
4. **File 4:** Evidence of Residents' Completion of CAGO Requirements UNLESS uploading to PharmAcademic™ (see INSTRUCTIONS for Options to Submit Evidence of Residents' Completion of CAGOs)

ITINERARY

The lead surveyor assigned to review your program will be in contact to discuss the itinerary for the survey visit. Single program surveys are typically 1.5 days in duration; multiple program surveys vary in duration based on the number of programs to be reviewed and will be determined by the lead surveyor. The final itinerary should be emailed to the lead surveyor (and practitioner surveyor(s), if known) 10 days before the scheduled survey date if not completed by the time the Pre-survey materials are due. **The itinerary should include cell phone numbers for the Residency Program Director and Residency Program Coordinator (if applicable).**

For virtual surveys, please create calendar appointments or provide a virtual platform link or links (e.g., Teams, Zoom, Webex) to survey sessions (may be imbedded in the itinerary) for the lead and practitioner surveyor(s) at least 10 days prior to the scheduled survey date.

VIRTUAL SURVEY PROCESS

Some surveys may be conducted virtually. The lead surveyor assigned to your program review will inform you when scheduling the survey whether it is to be conducted onsite or virtually. See the Virtual Accreditation Site Survey Information- (if applicable) for more information. Skip this section for onsite surveys.