

**Survey Report and Team Findings Guide**

**Instructions for Full, Provisional, Preliminary, and Limited Accreditation Surveys**

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LCME*Survey Report and Team Findings Guide, Instructions for Full, Provisional, Preliminary, and Limited Accreditation Surveys*

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## Overview

This document contains the instructions for survey teams to use when preparing LCME survey reports and survey team findings for full, provisional, preliminary, and limited accreditation surveys. This document is the companion to the *Survey Report Template*, which provides the framework for the survey report. For information about the roles of team members, the survey visit, and the logistics of planning for and conducting the visit, review the *Guidelines for the Planning and Conduct of Accreditation Survey Visits* on the LCME website ([lcme.org/publications](http://lcme.org/publications/)).

* For **full** survey visits, survey teams are responsible for reviewing the survey package and making a determination of the program’s performance in each of the 93 elements.
* For **provisional** survey visits, survey teams are responsible for reviewing the survey package and making a determination of the program’s performance in 49 elements.
* For **preliminary** survey visits, survey teams are responsible for reviewing the survey package and making a determination of the program’s performance for each of the 93 elements, meeting the expectations for a school at this stage of its development.
* For **limited** survey visits, survey teams are responsible for reviewing the briefing book and making a determination of the program’s performance for each element previously cited as satisfactory with a need for monitoring or unsatisfactory in the last review.

Survey teams do not review or make judgments about compliance with the 12 accreditation standards. That judgment is the responsibility of the LCME after its review of the survey report and survey team findings.

**Definitions for Judging a Program’s Performance in Accreditation Elements**

For **full and provisional** survey visits, a **finding** results when the program’s performance in an element is determined to be *satisfactory with a need for monitoring* or *unsatisfactory*.

For **limited** survey visits, a **finding** results when the program’s performance in an element is determined to be *satisfactory*, *satisfactory with a need for monitoring*, or *unsatisfactory*.

The following definitions are to be used in judging a program’s performance in accreditation elements for **full, provisional, and limited survey** visits:

***Satisfactory***

The policy, process, resource, or system required by the element is in place and, if required, there is sufficient evidence that it is effective.

***Satisfactory with a Need for Monitoring***

1. The policy, process, resource, or system required by the element exists but there is insufficient evidence of effectiveness; OR
2. The requirements of the element currently are met but anticipated circumstances could negatively impact performance.

***Unsatisfactory***

One or more requirements of the element is/are not met. Required policy, process, resource, system not in place or ineffective. Formal evidence of effectiveness/sustainability is absent.

For **preliminary** survey visits, a **finding** results when the program’s performance in an element is determined to be *unsatisfactory*.

The following definitions are to be used when judging a program’s performance in accreditation elements for **preliminary survey visits**. There is no *satisfactory with a need for monitoring* option for preliminary surveys.

***Satisfactory***

The required policy, process, resource, or system is in place or sufficiently developed at this stage of the program’s development. If required by the element, there are plans to collect evidence of effectiveness.

***Unsatisfactory***

The medical education program has not met one or more of the requirements of the element based on what should be in place at this stage of the program’s development. These findings represent the team’s best judgment that the program has not made sufficient progress toward satisfactory performance given the current status of planning and program implementation.

## Steps in the Preparation and Review of the Survey Report and Survey Team Findings

The following steps describe the process for the development of the survey report and survey team findings for a full, provisional, preliminary, or limited survey visit. There are some differences in the process for limited visits which are noted. The templates for the survey report, survey team findings, and exit report for each visit type are available on the LCME website ([lcme.org/publications](http://lcme.org/publications/)).

### Survey Team Members Receive the Survey Package or Briefing Book

Before the survey visit, each survey team member will receive an email from LCME Secretariat staff with instructions for accessing the survey package or briefing book submitted by the school.

* For **full** visits, the survey package consists of a completed DCI, an appendix of supporting documents for each DCI section, an institutional self-study summary report, the independent student analysis (ISA), and an AAMC Graduation Questionnaire (AAMC GQ) Individual School Report.
* For **provisional** visits, the survey package consists of a completed DCI, an appendix of supporting documents, and the independent student analysis (ISA).
* For **preliminary** visits, the survey package consists of a completed DCI, an appendix of supporting documents for each DCI section, and the planning self-study summary report.
* For **limited** visits, the school’s submission consists of a completed briefing book and appendix of supporting documents.

The communication from the Secretariat also will direct survey team members to informational documents for the relevant academic year on the LCME website, which team members should also read and download for reference.

It is the responsibility of each survey team member to download all of the above information, including the survey package or briefing book to have the information available prior to and during the survey visit. All survey team members should handle and store all documents containing information about the school with attention to confidentiality.

### Survey Team Secretary Makes Survey Team Member Assignments

Shortly after the survey team receives the school’s survey package or briefing book, the survey team secretary assigns the survey team members standards/elements as their specific areas of responsibility. Each survey team member will be responsible for leading the discussion of the assigned areas during the survey visit and drafting those sections of the survey report. The survey team secretary will remind the team members that their assigned sections of the survey report must be prepared using the *Survey Report Template* for the appropriate visit type.

Once survey team members have received specific assignments from the team secretary, they will review their sections of the survey package to determine if there are gaps in information. If so, survey team members will notify the survey team secretary who will coordinate the request for information with the school’s faculty accreditation lead (FAL). In their review of the survey package, survey team members should consider if the information might lead to specific survey team findings in one or more elements. This could result in requests for additional information to clarify potential problem areas or inconsistencies among information sources. The survey team secretary will set and communicate a timeline for survey team members to send a list of potential findings. The potential findings will be used in finalizing the visit schedule and identifying areas for follow-up or requests for additional information, which will be discussed during the team’s initial meeting before the visit, scheduled by the team secretary.

### Survey Team Members Receive Data/Information Updates from the School

All requests from the survey team are coordinated through the survey team secretary to the FAL. Updates must be provided to the survey team secretary electronically. The survey team secretary will forward these updates to the survey team members. It is recommended that survey team members save updates on the USB drive or the computer to which they have downloaded the survey package, so that all information is stored in one location.

At the conclusion of the visit, the FAL will electronically provide survey team members a compilation of all updates that were provided before and during the visit and the date that the information was provided to the team. This will contain a table of contents with a list of the files that are included. Survey team members should be careful to use the most updated data/documents/information as they develop their sections of the survey report.

The survey team may not accept additional information after the visit concludes, even if the information (e.g., the policy) existed but was not provided at the time of the survey visit.

**Updates for Full, Provisional, and Preliminary Visits**

Approximately 6 weeks prior to the survey visit, LCME Secretariat staff conduct a brief review of the school’s submitted survey package to identify items that are missing or incomplete. LCME Secretariat staff will then contact the FAL with instructions for submitting any such items. Typically, the instructions are to email the material to the LCME staff and the survey team secretary. As soon as possible, but not less than 30 days before the survey visit, the school will send the missing information to the survey team secretary, who will forward it to the survey team members. Survey team members should incorporate updated/corrected information as appropriate into the survey team report as appropriate.

Updates or corrections made to the DCI book after the survey package has been submitted should be bundled and sent to the team secretary. One bundled update may be provided to the team secretary no less than 30 calendar days before the visit. The timing, format, and process for providing this unsolicited update to the survey team should be coordinated with the survey team secretary. There also may be additional supplemental material requested by the survey team or LCME Secretariat. Information requested by the survey team may be provided to the survey team secretary until the close of the visit.

**Updates for Limited Visits**

Updates to the briefing book may only be accepted if requested by the survey team. Note that updates that are not requested by the survey team (unsolicited updates) will not be accepted prior to or during the visit. Updates requested by the survey team before the visit will be sent via email to the survey team secretary.

### Survey Team Develops a Set of Findings

As the survey team reviews the survey package prior to the survey visit, team members might identify areas that will become findings. During the initial team meeting, the list of potential findings is discussed and additional information that might support or clarify each finding is identified. Team members with responsibility for these areas should develop relevant questions for their discussions with school representatives to clarify or collect the needed information.

During the survey visit, survey team members work to finalize a set of findings. The findings should be concise, sufficiently clear and detailed so that the reader understands the scope of the issue being cited. There must be sufficient information available to include in the survey report to justify each finding. Relevant description and data should be included in the finding. For example:

INSUFFICIENT DETAIL: Many medical students do not receive their grades on time.

APPROPRIATE DETAIL: In the internal medicine, obstetrics-gynecology, and surgery clerkships, at least 25% of students did not receive their final grades within six weeks during each of the previous two academic years.

APPROPRIATE DETAIL: In total, there are eight faculty in basic science disciplines, with no representation of faculty in physiology, pathology, pharmacology, and genetics. Some of the first-year courses are not fully staffed and plans for faculty recruitment to fill existing gaps have not been finalized. A recruitment timetable does not exist.

### Survey Team Chair Reports the Survey Team Findings to Institutional Leadership

The purpose of the exit report is for the survey team to provide its findings to the medical school dean. The dean is provided with a copy of the exit report within one week of the conclusion of the visit. The survey team will use the *Exit Report Template for Full, Provisional, and Preliminary Accreditation Surveys* or the *Exit Report Template for Limited Accreditation Surveys*. The exit report template allows the survey team to organize its findings, which then will be transferred to the *Survey Team Findings Template*.

The exit report is a one-way transmission of information. Since the LCME may modify the team’s findings when it reviews the survey report, the initial team findings in the exit report should not be discussed with or be disseminated by the school.

### Survey Team Members Complete Their Sections of the Draft Survey Report

During and after the survey visit, the members of the survey team complete their specific writing assignments within the *Survey Report Template* for the appropriate visit type. Consult the [Style Guide for Survey Report Preparation](#_STYLE__GUIDE) for style conventions. Survey team members develop draft writeups for their respective areas of responsibility prior to the survey visit. Doing so allows the team member to identify and gaps or areas needing clarification in the survey report. Other requirements for survey report development include:

* Do not delete the survey report questions/narrative requests. Provide your narrative under each numbered information request.
* Consult the survey team findings to ensure that the reasons for citations of elements are clearly explained and evidenced by appropriate data/descriptions in the survey report narrative and, as relevant, the accompanying appendix documents.
* Complete the tables requested in the survey report template, many of which can be copied from the DCI or briefing book. If the survey team has received updated data/edits for any of the tables, revise the table to ensure that information is as current as possible.
* For narrative and tables from the DCI or briefing book that are included in the survey report, **be sure to change the perspective so it’s written in the survey team’s voice and not the school’s** (for example, DCI’s will often use “our process….” and in the survey report, this should be phrased as “the school’s process” or “the college’s process”).
* Summarize detailed narrative from the DCI or briefing book rather than inserting the DCI or briefing book text verbatim unless the detail is necessary to justify a finding.
* DO NOT capitalize administrative titles unless followed by a person’s name.

### Survey Team Secretary Assembles the Draft Survey Report and Prepares the Survey Team Findings

**Draft Survey Report**

Survey team members will send their written sections of the survey report to the survey team secretary by email. This should be done by inserting their sections into the *Survey Report* for the appropriate visit type. The survey team secretary will assemble the complete survey team report by inserting and editing, where appropriate, each survey team member’s contribution into a single survey report template. Where applicable, the survey team secretary will also review and complete other required sections of the survey report.

The survey team secretary will review the complete draft survey report carefully to ensure that there are no gaps or inconsistencies across sections, that all sections include sufficient detail, that there is sufficient narrative and evidence to support all findings, and that all tables have been completed with the most recent information, as relevant. The team secretary is also responsible for collecting the documents for and finalizing the Appendix. The survey team secretary will also edit the entire survey report and survey team findings for clarity and consistency, for adhering to the style conventions outlined the Style Guide for Survey Report Preparation at the end of this document, as well as for spelling, grammar, tense, and formatting.

**Survey Team Findings**

The survey team findings are prepared by the survey team secretary from the exit report using the survey team findings template*.* See the template for further instructions.

### The Survey Report Appendix

For full, provisional, and preliminary visits, there is a set of required appendix documents organized by standard specified in the each of the survey report templates. The survey team may add relevant appendix documents under standards, as appropriate. For limited visits, survey team members and team secretary should select relevant documents to include in the report Appendix.

Appendix documents should be listed sequentially, and the final list of Appendix documents included in the Appendix table of contents. Be sure to include page numbers for the Appendix and number the pages of the Appendix documents sequentially following from the last page of the report narrative. When preparing the Appendix, do not include hyperlinks to documents. If a reference to a website is necessary, create an appendix document as PDFs of the webpages and/or screenshots.

### Review and Submission of the Survey Report and Survey Team Findings

**Secretariat Review**

* Team secretary sends the draft survey report and draft survey team findings to both lcmesubmissions@aamc.org and dwaechter@aamc.org. Do not include the Appendix unless requested by the LCME Secretariat.
* Two members of the LCME Secretariat review the survey report to ensure the report is complete, sufficient information has been included related to each element, that the findings are clear and well-documented in the survey report, and that the findings reflect current LCME expectations about performance for elements. The Secretariat may find statements in the survey report that could indicate potential additional findings or suggest a finding be deleted because evidence is insufficient for a citation. The Secretariat may also suggest editorial changes or note concerns about format.
* The draft survey report and draft survey team findings with suggested edits and comments is returned via email to the team secretary.

**Review of Secretariat Comments**

* Team secretary reviews Secretariat edits and comments.
* Team secretary discusses edits, comments, and suggestions from the Secretariat that result in significant changes to the survey report or survey team findings with the team chair and incorporates the agreed-upon edits into the draft survey report and draft survey team findings.
* Team secretary notifies the Secretariat via lcmesubmissions@aamc.org regarding the decisions about the Secretariat’s suggestions.

**Team Member Review**

* Team secretary emails revised survey report and team findings to all survey team members with a summary of changes made based on Secretariat review and the reasons for changes.
* Team members have five (5) business days to review the survey report for editorial changes; to ensure it is clear, complete, and reflects the survey team’s consensus; and to email revisions to the team secretary.

**Dean Review**

* Team secretary emails the dean a clean copy of the revised survey report narrative, the report appendix, and survey team findings with instructions for the dean to respond via email within 10 business days to:
	+ identify errors of fact and provide corrections to the survey report only if supporting information was included in the survey package, provided to the survey team secretary by one month prior to the visit in an unsolicited update, or provided to the team secretary if requested prior to or during the survey visit
	+ note concerns about the process of the survey visit.

The dean may not provide comments on the team findings.

**Team Secretary and Chair Review of Dean’s Response**

* Team secretary considers edits and comments from the dean, along with the evidence provided to support edits to the survey report.
* Team secretary discusses any of the dean’s requested edits that might lead to changes in the survey team findings with the team chair.
* Team secretary revises the survey report and/or survey team findings based on the comments from the dean and input from the team chair.

**Team Secretary Responds to Dean**

* Team secretary emails the dean with a summary of what changes requested by the dean based on identified errors of fact were made and what changes were not made in the survey report and/or the survey team findings. In that communication, the dean should be reminded that remaining issues related to the process of the visit can be put in a letter addressed to the LCME Secretariat and sent to lcmesubmissions@aamc.org for consideration by the LCME.

**Final Submission**

* Team secretary provides clean copies of the following materials to the LCME Secretariat
	+ Final survey report narrative
	+ Final survey report appendix
	+ Final survey team findings
	+ Copy of all communications to/from the dean regarding changes to the survey report and/or the survey team findings
* Team secretary emails lcmesubmissions@aamc.org to notify LCME Secretariat staff that the final material has been submitted.
* LCME Secretariat staff email the team secretary to confirm successful submission within one business day.

**Survey Team Members Destroys Survey Visit Files**

* Team secretary emails the survey team to confirm when the final materials were submitted to the LCME Secretariat staff and instructs team members to confidentially destroy any remaining materials from the survey visit (electronic or paper files and USB drive). The team secretary should retain all documents until after LCME action on the report/findings has been made (when the email correspondence noted in the section below is received). The LCME members assigned to review the report prior to the LCME meeting may have a factual question as they complete their review. In this case, the LCME Secretariat staff will arrange a conference call with the team secretary, the LCME reviewers, and a member of the Secretariat.

### Feedback to the Survey Team on the LCME’s Action

After the LCME has acted on the survey report and survey team findings, the survey team members will receive a letter via email from the LCME Secretariat on the changes, if any, to the team’s findings that were made. This step is meant to assist the survey team in understanding the LCME’s expectations related

to performance in elements. After this point, the team secretary may confidentially destroy any materials related to the survey visit.

## Style Guide for Survey Report Preparation

**All team members must adhere to the following style conventions:**

* Use Times New Roman, 11 pt. black font and single spacing for all responses to survey report questions and tables (note, this does necessarily not apply to template headings, footers, etc.). Do not send drafts to the survey team secretary in color or in a different font.
* Use a serial comma (Oxford comma) before the coordinating conjunction (usually “and” or “or”) in a series of three or more items.
* The words “ex officio”, “ad hoc”, and “via” (or other Latin phrases used colloquially) should not be italicized.
* No periods are used with degrees and other abbreviations, with the exception of “U.S.”
* Academic years should be listed as 20##-## (e.g., 2019-20).
* The first occurrence of an abbreviation of acronyms should be spelled out with the abbreviation/acronym in parentheses. Subsequent uses should list just the abbreviation/acronym.
* The word “data” is plural (e.g., data are available – not, data is available).
* Only one space should be used after periods in between sentences.
* Reference to the visit should describe it as a survey visit – not a site visit.
* The word “dean” is not capitalized except when it begins a sentence or is linked to an individual’s name, such as “Dean Robert Jones.” The same is true for vice president, provost, president, and chair.
* The words “medical school,” “college,” and “university” are not capitalized unless they begin sentences or are used as the school’s full name (e.g., Jones Medical School).
* The word “faculty” is not capitalized unless it begins a sentence.
* Discipline names (e.g., “Physiology,” “Biochemistry,” “Medicine”) are capitalized when they refer to departments. Note that “department” is not capitalized unless it is used with reference to a specific discipline, as in "Department of Medicine."
* Capitalize the names of formal school committees and subcommittees (e.g., Committee on Educational Policy), but do not capitalize the committee if the formal name is not used and the committee is referred to just by function (e.g., curriculum committee).

Ensure the appendix list in the table of contents matches the references in the body of the survey report. Refer to the specific appendix document in the narrative if its contents are being described.

The word “assess” is used for students’ performance and “evaluate” is used for programs.

In the narrative (not tables), numbers one through nine are spelled out, and numbers 10 and higher are listed as numbers.

Any tables with symbols (such as \*) include the relevant note beneath the table with explanatory text.

Full-time and part-time should include a hyphen (not part time).

The word online contains no hyphen and is lowercase unless it starts a sentence. The word internet is lowercase unless it starts a sentence.

The word “bylaws” should be lowercase unless it starts a sentence.

If an item is not applicable, use “N/A” (not na).

The following abbreviations should always have periods and commas (i.e., e.g.,).

Use third person (no “our” or “we” should be included in the report) unless it is a verbatim quote from a school document (e.g., the school’s mission statement).

Consistent terminology is used in the narrative for large numbers (for example, $10 million or $ 10M, but not both).

No hyphen should be used with years (“fourth year” not “fourth-year”).

If degrees are used in the narrative, use correct case and apostrophe placement (master’s degree or Master of Science is correct; masters degree is not correct).

Other than when thanking individuals in the memo or when describing qualifications of the dean, names of people should not be included; use a position title instead of a name.

When talking about ISA data, the term “respondents” should be used instead of “students” unless there was a 100% response rate (for example, “92% of respondents were satisfied”). Narrative should also be past tense (“are satisfied” should be “were satisfied” etc.).

**Before submitting the draft survey report to the LCME Secretariat, the team secretary must:**

* Carefully proofread the survey report to correct spelling, typographical, grammatical, and punctuation errors.
* Ensure that all questions are answered and appendices referenced in the table of contents.
* Ensure that all tables are complete and include the most current data.
* Ensure there is consistency between the survey team findings and the survey report.

**Before submitting the final survey report to the LCME Secretariat, the survey team secretary must insert their electronic signature on the cover memo**.