

New Mexico DOH / DHI / QMB Case Management Administrator Interview

Standard of Care	Surveyor Notes	MET	NOT MET	NA
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**Administrator Interview**

**Agency/Region:**

**Administrative Personnel Interviewed and Title:**

**Surveyor:**

**Date/Time of Interview:**

**Interview Format:** Telephone In-Person

**Administrative Processes**

**What is your Agency’s system for establishing medical eligibility and annual recertification for medical eligibility, including tracking key steps and timelines?**

Tag #4C14

**Surveyor Instructions:** The Agency is required to have a system in place that covers this area (DDW Standards Chapter 8). You are to ensure they have a system in place and each area is addressed. You will ask to see documents of how this is tracked. The agency must be able to show a formal system for tracking these areas for this to be met.

**What is your Agency’s system for monitoring financial eligibility and annual recertification for financial eligibility?**

Tag #4C14

**Surveyor Instructions:** The Agency is required to have a system in place that covers this area (DDW Standards Chapter 8). You are to ensure they have a system in place and each area is addressed. You will ask to see documents of how this is tracked. The agency must be able to show a formal system for tracking these areas for this to be met.

**What is your Agency’s system for tracking key steps and timelines in service planning and budget approval?**

Tag #4C14

**Surveyor Instructions:** The Agency is required to have a system in place that covers this area (DDW Standards Chapter 8). You are to ensure they have a system in place and each area is addressed. You will ask to see documents of how this is tracked. The agency must be able to show a formal system for tracking these areas for this to be met.

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<p><b>What is your Agency's system for ensuring distribution of records to IDT Members, including distribution of the ISP within 14 days of approval?</b></p> <p><i><b>Surveyor Instructions:</b> The Agency is required to have a system in place that covers this area (DDW Standards Chapter 8). You are to ensure they have a system in place and each area is addressed. You will ask to see documents of how this is tracked. The agency must be able to show a formal system for tracking these areas for this to be met.</i></p>	<p>Tag #4C14</p>			
<p><b>Case Manager Supervision</b></p>				
<p><b>How does your Agency evaluate the quality of monitoring conducted by the Case Manager, including ISP implementation and the health and safety of the individual served?</b></p> <p><i><b>Surveyor Instructions:</b> The CM is required to complete a formal, ongoing monitoring process to evaluate the quality, effectiveness, and appropriateness of services and supports provided to the person as specified in the ISP. The CM is also responsible for monitoring the health and safety of the person. The agency must be able to show a formal process for monitoring for this to be met, this would include site visits and review of documentation and talking with IDT members.</i></p>	<p>Tag #4C15</p>			
<p><b>How does your Agency ensure coverage to Individual's Served when a Case Manager is on Leave (i.e. Illness, vacation, etc.)?</b></p> <p><i><b>Surveyor Instructions:</b> Per DDW Standards the agency is required to ensure a colleague or supervisor performs essential duties during the CM's absence, including mandated face-to-face visits. For this to be met the interviewee must describe how this is done. You may ask to see how this process is documented.</i></p>	<p>Tag #4C19</p>			
<p><b>How do you provide ongoing supervision and mentoring which includes regular evaluations of caseload levels and of each CM's ability to meet service requirements within the assigned caseload level?</b></p> <p><i><b>Surveyor Instructions:</b> Per DDW Standards the agency is required to ensure there is a system in place for supervision and mentoring. You are required to ask the interviewee to explain the agency's process and ask for any documentation which outlines how this is completed. For this to be met there needs to be a system in place.</i></p>	<p>Tag #4C20</p>			

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<p><b>How does your Agency ensure there is no conflict of interest for Case Manager working for your agency?</b></p> <p><u><b>Surveyor Instructions:</b></u> Per DDW Standards Chapter 8.3.3 Case Management Agencies are required to mitigate real or perceived conflict of interest issues. Case Management Agency owners and their employed or contracted CMs may not:</p> <ol style="list-style-type: none"> <li>Be related by blood or affinity to the person supported, or to any paid caregiver of the individual supported. Following formal authorization from DDSD, a CM may provide Family Living services or respite to their own family member, or to an individual who receives case management services from another provider.</li> <li>Have material financial interest in any entity that is paid to provide DD Waiver or Mi Via services. A material financial interest is defined as anyone who has, directly or indirectly, any actual or potential ownership, investment, or compensation arrangement.</li> <li>Be empowered to make financial or health related decisions for people on their caseload.</li> <li>Be related by blood or affinity to any DD Waiver service provider for individuals on their caseload. Provider Agencies are identified as Provider Agencies of LCAs, Community Inclusion services, Mi Via consultants, Mi Via vendors, BSC's and therapists.</li> <li>Carry a caseload on Mi Via and DD Waiver simultaneously.</li> </ol> <p>For this to be met the interviewee must be able to explain how conflicts are avoided and show a system of how this addressed.</p>	<p>Tag #4C18</p>			
<b>Additional Processes</b>				
<p><b>Based on the questions already asked, are there any other systems you have in place to ensure the quality of case management services, that you would like us to be aware of?</b></p> <p><u><b>Surveyor Instructions:</b></u> This question is used as a wrap up, if the interviewee would like to share more information or show documents that outlines what the agency is tracking or monitoring.</p>	<p>Tag #4C14</p>			
<p><b>Additional Notes:</b></p>				