Individual Quality Review

2019 Surveyor's Guide

Welcome!

As an IQR Surveyor you are joining a select and specialized team. We are excited to have you as part of this process and hope that this guide will help you understand your role and responsibilities as a Surveyor. In addition, this guide is intended to summarize some of the tasks and timelines that we collectively know need to happen to adequately support you and for the Review to be completed accurately and timely.

Please review this Guide carefully and bring a copy to training and to each Review (the copy can be digital rather than hard copy). Please take note of the red text throughout this guide, it is meant to help you by emphasizing specific information.

As a Surveyor, it is critical that you have read, understand, and remember the instructions in this guide BEFORE Class Room Training which is scheduled for June 25 to June 27, 2019. If you have any questions, please contact your assigned mentor, the IQR Supervisor, Lundy Tvedt, or Lyn Rucker at rpaltd@aol.com, 785-258-2214 (office), 785-366-6468 (cell) or Paula Bigham at paulathebigham1@yahoo.com, 785-258-2214 (office), 785-258-0229 (cell).

Expectations of IQR Surveyors

To: Potential and Existing Surveyors:

You are joining a team of qualified and experienced professionals with the responsibility of evaluating services to persons who have intellectual and other developmental disabilities (I/DD). The protocols you will be using have been designed specifically for the purpose of this Review. As a Surveyor you will be trained on the use of the protocols and expected to seek clarification, as needed, when you are conducting fieldwork. It is your responsibility to read and become familiar with the following expectations and details of how those expectations translate into your practice.

NOTE: Timeline expectations noted here apply based on the normal review process. This timeline is extended when the Surveyor Trainee and /or Mentor Trainees are leading the review process. When that is the case, specific timelines will be shared with those individuals prior to the beginning of a review for which the adjusted timelines apply.

Expectations	Practice Details
1. Review individuals as assigned.	Each Surveyor will be scheduled to review an identified number of people during a given Review. A "Review" includes record review, interviews, observations, and completion of the protocol consistent with instruction and guidelines. All records and case specific information are confidential.
2. Initial record review is conducted and Section #1: General Information of the protocol book is completed, to the extent possible, prior to the on-site review start date. Comprehensive and timely completion of the Review Protocol is required.	For each assigned Class Member, the Surveyor will begin the process with a record review that focuses on the documentation for, <u>at least</u>, the past year. If a more extensive Review is required, Surveyors should request materials needed to be sure your conclusions are as accurate as possible. ***If you are shadowing (Metro #1a and Metro #1b):*** You can begin looking on Therap for documents once you have been assigned a class member BUT DO NOT DOWNLOAD ANY DOCUMENTS INTO YOUR IQR FOLDERS. That will be done for you. If you are DHI Lead Surveyor being mentored: You can begin looking on Therap for documents once you have been assigned a class member. You can begin downloading documents into your IQR Folder. Lundy will ensure that those documents become part of the official Review file and are incorporated into the standard file structure that will be shred with your Mentor and Case Judge. If you are a Consultant to the Community Monitor: Paula will download your documents into Sookasa so that you can begin reviewing as soon as you are assigned a class member to review. She will notify you of when your files are ready to be opened by you. Any document from Therap will be copied into the class members file. Each Surveyor should expect to receive copies of the last two Annual ISPs and related documents and assessments, at least, 14 days before the onsite start date. You are expected to read this material in advance of any interviews. You are also expected to complete the General Information Section of the protocol book based on the records you have received prior to starting your Review. You should also complete the 'items to verify or request' made available for you in the Case Management, Day

Expectations	Practice Details
	and Residential interview sections of your protocol book. BE SURE that you complete the Document Request Form (DRF) for ALL missing documents. The instructions on where the DRF is sent is located on the form. All Surveyors have the responsibility to accurately and completely fill out the Protocol Book in line with instructions provided. The Case Judge and Mentors have the responsibility to discuss the information gathered with the Surveyor thoroughly to fairly, accurately and completely evaluate the Surveyor's findings.
3. Additional records reviews are conducted as needed.	If the Surveyor, Mentor or Case Judge have reason to believe that additional information is required to render an informed rating, it is your responsibility to ask for the information you are missing by completing and submitting the Document Request Form (DRF) and request the additional information through the designated contacts. If you are requesting information over the phone with an IDT member directly, complete the Document Request Form and note the method of inquiry. The first DRF is submitted by Friday of the Document Review Week (Week #1). Requested documents are expected to be returned to the Surveyor by Wednesday of the Phone Interview Week (Week #2). NOTE: No matter how many documents you request or when you request them, use ONE DRF so that you have one comprehensive and accurate DRF at the end of your review.
4. Interviews are conducted	The Surveyor will conduct an interview with the class member, direct support professionals who know the class member best, available guardians, the class member's case manager, Nurse, BSC and Therapists serving the individual. These interviews will be scheduled by the DHI IQR administrative staff, and will be either via telephone prior to the on-site Review, or be on-site in conjunction with observations. The Case Judge and/or Mentor is expected to request information from Surveyors to ensure all appropriate information has been gathered and interviews have taken place. If information used to make scoring decisions is unclear, the Case Judge or Mentor is expected to ask Surveyors to seek additional information.
5. Informed by your file review and interviews, you observe the class member in day and residential services.	The Surveyor will observe the class member in his/her day service site(s) and in his/her home. During these observations, the Surveyor will also interview direct support professionals as scheduled. Observations offer an opportunity to get to know more about the individual's life, perspective and needs. It allows you to seek out missing information, perspectives, outcomes, barriers and observe day-to-day practice. It enables the Surveyor to observe whether equipment is present and used as recommended; whether staff follow the CARMP, HCPs or Positive Behavioral Support Plans; and whether intervention strategies are effective. It also enables the individual and staff the opportunity to share what is working and what may be challenging. The interviews provide you an opportunity to ***request information about the class member's actual daily schedule.***

Expectations	Practice Details
6. All provided evidence is considered prior to rating and conclusions are documented clearly.	Surveyors are selected because of their ability to render professional judgement in regard to the quality and adequacy of community programs for persons with I/DD. The Surveyor is responsible for gathering enough information to render conclusions based on sufficient, competent, relevant information or evidence. The Surveyor will make judgments as professionals qualified to participate and provide conclusions regarding the interdisciplinary process. **If there is reason to doubt**, the Surveyor should take measures to authenticate the evidence or to report possible limitations of the evidence. Sufficient, relevant information is to be obtained and recorded as a basis for the Surveyor's findings, conclusions, judgements and scoring. The Surveyor is responsible for accumulating and using evidence to provide a factual basis for reporting. Evidence to support a Surveyor's findings may be of four types: 1. **Physical evidence** obtained through direct observation, such as the Class Member's having needed equipment; 2. **Testimonial evidence** obtained through interview. For example, asking someone to explain how a person's preferences were determined; 3. **Documentary evidence** which consists of assessments, ISP's, schedules, records, physician's orders, etc.; 4. **Analytical evidence** secured by comparative or deductive analysis from several pieces of evidence the Surveyor has obtained. An example would be comparing or contrasting the same data secured from different sources. The Surveyor's working protocols must reflect the details of the evidence relied upon and must show how it was obtained or derived. Use the following guide as a part of your "test" to determine the adequacy of the evidence you have gathered/reviewed. **Sufficiency.** Sufficiency is the presence of enough factual, adequate, and convincing evidence to lead a person to the same conclusion as the Surveyor. Determining sufficiency requires good judgment. There is no need for elaborate documentation to support non-controversial matters; however, the Surveyor should provide sufficient evidence to support his/her conclusions. **Relevance.** Relevance refers to the relationship of evidence to its use. Facts or opinions used to prove or disprove an issue should have a logical, sensible relationship to that issue. Information that does not have this relationship is irrelevant and should not be used to prove or disprove a point. **Conciseness**. A report should be no longer than necessary to communicate the information the Surveyor is reporting. Too much detail may obscure the primary message or discourage readers. **Objectivity**. Findings should be presented in an objective and unbiased manner and should include sufficient information to provide readers with a proper perspective. The aim is to produce a report that is fair, not misleading, and which places primary emphasis on matters needing attention.

Expectations	Practice Details
	Adequate Support. All ratings in the Surveyor's report should be supported by enough objective evidence in the working protocols to demonstrate their accuracy and reasonableness. Anyone functioning as a Surveyor's must use the + and – system of documenting the justification for their ratings as a part of relevant protocol sections. **Accuracy, Completeness, Fairness.** Procedures should be applied to produce a document that contains no errors in fact or reasoning. The need for accuracy is based on the need to be fair and impartial in reporting to ensure report reliability. One inaccuracy can cast doubt on the validity of an entire report and divert attention from the substance of the report. The documentation for each rating should contain sufficient information to promote an adequate understanding of matters reported and to provide a convincing, but fair, presentation in proper perspective. If the Surveyor has conclusions or concerns s/he wants readers to know about, s/he should **state them directly** rather than leaving them to the inference of the reader.
7. Due professional care and sound professional judgment is used in conducting the Review and in documenting the rationale for ratings.	**Professional Judgement Standard** This standard places upon a Surveyor and Case Judge the responsibility for employing high professional standards in performing the Review. Exercising due professional care means using good judgment in applying Review procedures, being accurate and factual in reporting and writing the rationales for each rating. The quality of Review work is related to: procedures properly applied by competent persons; findings and conclusions based on objective use of pertinent facts; and critical supervisory review at every level of the work done; and of the judgment exercised by those participating in the Review. Due professional care imposes on the Surveyor the requirement to be **alert to and report** situations or actions that could be indicative of abuse, neglect, exploitation, insensitive care, unnecessary restriction, ineffective or any harmful treatment. The Surveyor is not responsible for internal quality assurance. Due professional care also requires the Surveyor to be **alert to and report** any situation observed that poses an immediate threat to the health or safety of a class member. If possible, ensure that actions necessary to secure the safety of the class member have been taken. Throughout the record review and interviews, the Surveyor should consider whether culture and cultural competencies have implications in the life of the class member. Any discrepancies found across records, observations, and/or interviews should be ***documented by noting clearly the sources and information that appears discrepant.*** Medications are verified by observing the medication labels at the home and work/day service site and comparing them to the MAR and Dr.'s Orders. Denial of access to pertinent records or activities is to be reported immediately to the IQR Supervisor, and the Community Monitor.

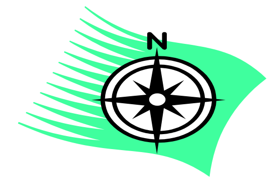
Expectations	Practice Details
	All available records must be reviewed prior to the beginning of the interviews to inform your observations and minimize the need to repeat interviews. This standard does not imply unlimited responsibility for discovery and disclosure of any irregularities in treatment nor does it imply infallibility on the part of either the Surveyor or the Reviewed organization. This standard does require professional performance of a quality appropriate to the complexity and importance of the task. Professional judgment is the standard for evaluating compliance with certain designated components of an individual's services. Not every judgment of a qualified professional meets this standard. The decisions arising from the judgments of a professional are presumptively, but not conclusively, valid. Decisions comply with professional judgment based upon the consideration of the following factors: 1. Whether it is rendered verbally and in writing with sufficient detail that it can be understood and implemented. 2. Whether it is made by a professional who is licensed, credentialed or otherwise recognized as qualified or who is experienced in the area with respect to the professional's work. 3. Whether it is within the realm of the professional's expertise and not invading the province of the treatment team as a whole. 4. Whether it is unrelated to administrative, placement location, fiscal or other non-clinical considerations. 5. Whether it is based upon documented direct observation of persons served and accurate historical background information, except in emergency situations. 6. Whether it is logically related to the available information about the person served and his or her situation and to the problem, issue, characteristic or condition under discussion. 7. Whether it is explained in sufficient clarity and detail so that the rationale can be understood by a person of reasonable intelligence. 8. Whether it is within the range of acceptable choices or conclusions of professionals in the field in light of contemporary knowledge and practice. 9. It is not in contravention of any applicable provision of any order of the Court. Surveyors will evaluate professional decisions based on the above criteria. The IDT should provide guidance to the person served in the area of his/her long-term vision. The Surveyor will exercise his/her professional judgment about the appropriateness of the articulated long-term vision of the persons served. It is understood that the class member's fundamental rights to habilitation and safety will not be violated through the application of professional judgment as to do so would be a violation of the principles of professional judgment. The case manager will ensure that the IDT supports the long-term vision of the persons served by assisting him/her in defining practical avenues for achieving that individual's vision and identified outcomes.

Expectations	Practice Details
8. Ratings are completed in line with protocol rating instructions.	Following this field work, the Surveyor will respond to a series of questions with **either** "Yes", "No", "N/A" (Not Applicable), CND (Can Not Determine), "0", "1", "2", "3", "NA" (Not Applicable). Blanks are NOT acceptable. All questions must be answered. A rating of "0" = No Compliance A rating of "1" = Needs Improvement; few of the indicators are met, many are inconsistently met A rating of "2" = Many Indicators Met, but not all A rating of "3" = Full Compliance A rating of "NA" = Not Applicable, and represents an item that does not apply to the individual being Reviewed A rating of "CND" = Can Not Determine *In some cases, the Surveyor will simply not have enough information to make an informed judgement to appropriately score some questions. The option of "CND" (Can Not Determine) is available as a response in these instances. However, "CND" and N/A (not applicable) can only be selected when they are among the choices provided as answers.* ***All ratings must be substantiated by recording a + or – indicating the Surveyor's rationale or justification and the relevant evidence in the space provided after each rating.*** Notes for clarification, explanation and guidance for justifications are provided for Surveyors throughout the protocol. The Surveyor should read these notes wherever they are present. The relationship between the person's preferences, needs and services is the primary concern of the individual summary. The relationship between the service and the individual's circumstances is the focus of the overall report.
9. Written Communication	Surveyors must have written skills which show his or her ability to effectively communicate in a clear, logical and concise manner as will be seen in the justification notes, 'about me' summary and findings provided during the IQR.

Experience and Qualifications

- Surveyors are, at minimum, required to have Associate's Degree from an accredited college or university in Nursing, Architecture, Social Work, Sociology, Psychology, Rehabilitation and/or Criminal Justice and two (2) years of experience in community based healthcare services and case management. Substitutions may apply.
- The ideal Surveyor candidate will have a Bachelor's Degree from an accredited college or university in Human Service Related field and; Experience: Two (2) years directly related experience in community based living and/or community inclusion services and/or case management or other human services related field.
  Must have the ability to work independently with superb writing skills, to include editing and proof-reading with an eye for detail.
- Applicant will have extensive knowledge and experience regarding the array of available supports and services for individuals with intellectual/developmental disabilities served by the New Mexico Waiver programs, as well as very strong attention to accuracy and detail;
- Exceptions to these requirements could be approved by the DOH/DHI/IQR Management.

General Guidelines for Surveyors



This Guide provides instructions on the Review process, how to fill out the protocol and what you should consider when scoring identified questions.

- If you are a Surveyor in training working with a Mentor and have questions, ask your Mentor or Case Judge if the mentor is unavailable. This applies to questions before, during and after the on-site review.
- If you are an approved Surveyor, ask your IQR Supervisor, preferably in writing, with a copy to the Community Monitor.
- If there is something that you and IQR Management agree needs to be discussed with Lyn, feel free to call her. If she is in a meeting she will call you back as quickly as possible. You are also welcome to call her office and speak with Paula Bigham.

The following general guidelines apply to the Review/protocol document.

You must ensure that you answer ALL questions in each Section of the IQR Tool. There are seven (7) Protocol Sections and a Findings Letter. When scoring, you must use one of the identified options in the drop down box. Interview sections are to be completed unless an interview does not occur or is ended early. **All blanks in the protocol should be filled in, even if just N/A.**

You must interview, at a minimum, the following people using the Interview Questions in the IQR Protocol Document:

- The Class **Member,**
- If the class member has a guardian, this person's **Legal Guardian,** (if available and willing)
- The class member's **Case Manager,**
- The **direct support professional / support staff person from day services** who best knows and works most closely with the person,
- The **direct support professional / support staff person from the residential agency** who best knows and works most closely with the person,
- The **direct support professional/support staff person from supported employment**, if applicable,
- The **Individual's Nurse** – including the Day nurse if the person has different day/residential provider agencies, and
- The **Therapists and BSC** who serve the class member, as applicable.

You must observe each class member, in both the residential and day settings. If the person is employed, that location should be visited unless it would create conflict with the person's work day. DOH sets up the schedule, so reference the schedule provided to you for details.

You must observe each class member eating at least one meal or snack. If, at all possible, it is preferable that you observe a meal or snack at both day and residential locations. Be sure you note where you observe meal(s) or snack(s) so that findings, if any, are correctly noted.

You must review files prior to the interviews and on-site Review. (See the section on planning and organizing.)

You must ensure all evidence to support your findings is of at least two (2) of the four (4) types:

- Physical Evidence obtained through direct observation, such as the need for equipment by a Class Member;
- Testimonial Evidence obtained through an interview;

- Documentary Evidence which consists of assessments, ISPs, schedules, records, progress notes, physician's orders, etc; and
- Analytical Evidence secured by comparative or deductive analysis from several pieces of evidence you have obtained. An example would be comparing or contrasting the same data secured from different sources.

You must ensure that the protocol workbook reflects the details of the evidence that you have relied upon.

You must ensure that the evidence that you provide meets the following tests:

- **Sufficiency.** Sufficiency is the presence of enough factual, adequate, and convincing evidence to lead a person to the same conclusion as the Surveyor. Determining sufficiency requires good judgment. There is no need for elaborate documentation to support non-controversial matters; however, the Surveyor should provide sufficient evidence to support his/her conclusions.
- **Relevance.** Relevance refers to the relationship of evidence to its use. Facts or opinions used to prove or disprove an issue should have a logical, sensible relationship to that issue. Information that does not have this relationship is irrelevant and should not be used to prove or disprove a point.
- **Conciseness**. A report should be no longer than necessary to communicate the information the Surveyor is reporting. Too much detail may conceal the primary message or discourage readers.
- **Objectivity**. Findings should be presented in an objective and unbiased manner and should include sufficient information to provide readers with a proper perspective. The aim is to produce a report that is fair, not misleading, and which places primary emphasis on matters needing attention.
- **Adequate Support**. All ratings in the Surveyor's report should be supported by enough objective evidence in the working protocols to demonstrate their accuracy and reasonableness. Surveyor's must use the + and – system of documenting the justification for their ratings.
- **Accuracy, Completeness, Fairness.** Procedures should be applied to produce a document that contains no errors in fact or reasoning. The need for accuracy is based on the need to be fair and impartial in reporting to ensure report reliability. One inaccuracy can cast doubt on the validity of an entire report and divert attention from the substance of the report.

You must ensure that the documentation for each rating contains sufficient information to promote an adequate understanding of the matters reported and to provide a convincing, but fair presentation in proper perspective. If you have conclusions or concerns you want readers to know about, you should state them directly rather than leaving them to the inference of the reader.

Step 1: Organize Your Tool Kit

Note: These steps are narrative descriptions of the entire review process. A checklist also exists to help you properly sequence and complete all of the steps (see Attachment A).

☐ You must have a ***laptop and power cord!!*** All sections of the Protocol must be filled out on your computer and saved to the Jackson Drive. You must also have a flash drive and save your protocol to it, at least, nightly. It is to be left in your office, when in Metro. This ensures that if you are unable to complete the Review, the IQR Supervisor can continue and complete the Review. (If out of town, the flash drive will need to be delivered/given to the IQR Supervisor.)

☐ A GPS is handy, if you have one, for the on-site visits.

☐ It is critical that you be able to *receive and transmit files electronically*. Please test to be sure you can receive and transmit files BEFORE you begin a Review or come to training. This means that you need to have downloaded, are comfortable with using Word, Therap, SComm, prior to the onsite training. If you need assistance, contact your IQR Supervisor, or your Mentor for guidance.

☐ You must ensure that your current contact information is correctly provided prior to each Review. You must be able to contact your IQR Supervisor for consultation. Again, training will be provided, but Paula Bigham is the contact person if you have any difficulties. When you experience problems, call her right away, at any time. Do NOT wait, she will help you get the problem resolved quickly.

Step 2: Thoroughly Review EACH Class Member's File

1. **At least fourteen days** prior to the day your on-site Review begins, you should receive notification that the file for the class member you are reviewing is available. You may want to print a **few** documents such as the last two ISPs, CARMP, Positive Behavioral Support Plan, etc., however, we encourage you to **NOT** print the whole file. Documents that you have printed can be written on, stapled, highlighted, etc. You are responsible for shredding any documents you print once you have completed the Review. All originals received during the Review must be **scanned and placed in the official file, then shredded.** If you are unable to scan, the documents may be faxed to the Community Monitor's office. Once you have received confirmation that they have been received, you must shred your copies.

2. In addition to the file of the individual you are reviewing, other relevant documents will be available to you in the official file. The official file is kept in Sookasa - with a duplicate within DOH/DHI/DDSD. These include:
   a. A blank Document Request Form;
   b. An electronic protocol;
   c. Contact information for any case judges and Surveyors;
   d. Previous IQR findings and Recommendations; (In your Individual's file)
   e. Any additional person-specific information DDSD has provided to the Community Monitor (In your Individual's file), and
   f. An electronic Review schedule. (In your Individual's file or in the DOH Shared drive)

As you access any blank form or template for the first time, right click it and choose copy, then paste it in your individual's file or other location as designated by your supervisor. That way, there will always be a clean, blank form available for everyone to use.

File Organization

The Jackson Class Member's file will be organized numerically following the layout of the IQR Protocol Documents. The document request lists which DOH used to obtain the documents you are to receive can found in the Jackson Class Member's file. These lists show what was requested and from where (DOH, Case Manager, Residential Provider, Day/Employment Provider).

Once you have access to files, it is IMPERATIVE that you begin reviewing them. Here are multiple reasons:

1. You must become familiar with the person you are assigned to Review, including their preferences, personal circumstances, ISP, medical needs, etc.
2. You need to determine questions that are unanswered by the documents alone, so you can ask them of the appropriate staff during interviews.
3. You must know the accuracy and appropriateness of what you are seeing while on site. For example, you must know if the food being consumed by the class members is of the correct size and consistency per the CARMP.
4. You must know the accuracy of what you are hearing during interviews.
5. You must identify any relevant documents which are missing and which are needed to answer questions that arise; and
6. You must begin adding information from the documents to the protocol.

To make the Document Review as efficient as possible, do this each time you open a file:

- Read the document. Add the document information to the appropriate tables in Section 1: Information Gathering. More detailed guidance is provided in each section of the Protocol. To add lines to any table in the protocol, highlight an entire blank row, right click your mouse, and select "copy". Then left-click in the row above where you want to place the new empty row, right-click and select "paste".

  You may also begin to develop Findings based on your document review. These will not be completed until after the Review, but much of the work can be completed ahead of time and modified as additional information becomes available.

- Note any questions that the document raises for you and add them to the appropriate interview section. Protocol Section 2 includes Nurse, PT, OT, SLP, BSC interviews; Section 3 includes Case Manager interview; Section 4 includes Employment/Day staff interviews; Section 5: includes Residential staff interview; and Section 6 includes Individual and Guardian interviews.

- Document your observations for Employment/Day in Section 4; for Residential/Home in Section 5. Section 5 also contains the medication table, and the AT table.

- Identify information added to the Scoring Justifications in Section 7 (Summary) by using the + / - system.

- If you are missing any of the listed documents, assuming that they are applicable to the person you Review, you MUST complete a Document Request Form (DRF). There may be documents you need that are NOT on the original document production list. It is acceptable to request those as well. For example, there may be references to an important assessment that took place prior to the dates usually requested. You can request ANY document you feel would make your Review more complete and accurate. If being Mentored, your Mentor and your Case Judge will review your DRF before it is submitted. You must follow the directions on the DRF as to where and when to send it.

- Contact your Case Judge and agree to a time when you plan to send EACH of your protocol section(s) to him/her. Also, arrange a tentative time when you are going to Case Judge and let Paula/Lyn know. It typically occurs Friday of week three but can be sooner.

Step 3: Phone Interviews

NOTE: It is important that you identify and type into your protocol, verbatim, what people tell you to the extent possible. Abbreviations are allowed if they are clearly identified at least the first time they are used; i.e., SF (sports fan). If you cannot type into your protocol directly due to computer/technical difficulties you will need to have a hard copy of the relevant sections to write into, but you will be required to enter the information electronically in the protocol before you submit the protocol to the Case Judge, as that submission must be electronic.

Case Manager Interview: You will interview the case manager assigned to the class member(s) you are Reviewing. You will conduct this interview via telephone prior to the On-Site Review. If the case manager is new (30 days or less) the supervisor may sit in, but your questions should be directed to and answered by the case manager. The supervisor may NOT answer questions for the case manager; however, the supervisor may offer additional information AFTER the case manager has answered the interview question. You should type the answers of the case manager separately from the answers from the supervisor, with the appropriate name/initials, so you know and have documented who said what. You are to ask your specific, class member related questions in addition to the listed questions. Additional questions will be reviewed by the Mentor and Case Judge prior to interviews.

Guardian Interview: You will conduct this interview via telephone prior to the On-Site Review. Sometimes a guardian does request to have their interview in person, in those instances, DHI will make the arrangements for this in-person interview.

Nurse Interview: You will conduct this interview via telephone prior to the on-site Review. Interview questions have been developed as a guide for the Surveyor; HOWEVER, it is important for the Surveyor to ask person-specific questions for the nurse and therapists. You are to ask your specific, class member related questions in addition to the listed questions. Additional questions will be reviewed by the Mentor and Case Judge prior to interviews.
NOTE: In some cases there will be two nurse interviews, the Employment/Day Provider nurse and the Residential Provider nurse. If needed, an additional copy of the nurse interview questions has been provided with the protocol templates.

Therapist/BSC Interviews: You will conduct this interviews via telephone prior to the on-site Review. Interview questions have been developed as a guide for the Surveyor; HOWEVER, it is important for the Surveyor to ask person-specific questions for the nurse and therapists. You are to ask your specific, class member related questions in addition to the listed questions. Additional questions will be reviewed by the Mentor and Case Judge prior to interviews.

Information from others: You may find that you need information from others as a result of interviews and/or record reviews. If you need to visit directly with other IDT members in order to clarify questions/issues **PLEASE DO SO**. Any additional information obtained should be documented in the interview section of the protocol. There should be ample time to pursue information to ensure accuracy. <u>If you believe documents, assessments or recommendations are missing, note it on the Document Request Form and **ASK FOR THEM**.</u>

Step 4. ON-SITE INTERVIEWS/OBSERVATIONS

1) There will be a schedule that identifies the times and locations of observations and interviews in the file of the individual you are Reviewing. Please note these and be prepared to travel to the locations. Please check travel times so that you are respectful of others' time and are not late.
2) Conduct on-site interviews with day, residential and supported employment (if indicated) staff as scheduled. There are times when the direct support professional listed on the schedule, is not available when you arrive on-site. You will need to be flexible and interview the direct support professional made available by the provider agency. Additional questions for the DSP will be reviewed by the Mentor and Case Judge prior to ion-site.
3) Just a reminder when the class member has two day services such as Adult Hab and Community Inclusion. In that case, you should request interviews with direct support professionals from both services.
4) Remember, you must observe each class member eating at least one meal or snack. If, at all possible, it is preferable that you observe a meal or snack at both day and residential locations. Be sure you note where you observe meal(s) or snack(s) so that findings, if any, are correctly noted.
5) If you are provided with additional documents on-site, add the information to the protocol book and scan or fax to the Community Monitor's office, and add to the Jackson drive when you return to the office.
6) If you request documents while you are on site, the provider has 24 hours to provide you with those documents. If they provide documents within that period of time, they will count as if they were present from the beginning of the Review. You should note that the documents were received and from whom on the Document Request form. You should also enter any new documents into Section 1 of the Protocol. If you request documents directly during your interviews, you must provide a copy of the received documents to Paula Bigham, and add them to the Jackson drive as appropriate.
7) If you observe, or are told, about a situation which might place the class member in immediate jeopardy, please be sure the individual is safe first, then notify your IQR Supervisor/ IQR Management Team, and the Community Monitor! If you are on site and the class member is in immediate jeopardy, do NOT leave until a supervisor is called and the class member protected.

Abuse, Neglect and Exploitation Reporting

- If you observe, read about or are told about a situation which should have been reported but was not, you must notify the agency that a report should have been filed and invite them to do so. Regardless of whether they report or not, you are required to report and should do so by calling: 1-800-445-6242. Call your Supervisor, and if you have any questions, call the Community Monitor (785-366-6468).
- The New Mexico Administrative Code (NMAC 7.1.14) addresses specific regulations for Community Providers. If you look to see if providers are following the ANE Reporting rule, NMAC requires providers to submit the Incident Report (IR) and Immediate Action and Safety Plan within 24 hours of their report to the hotline.
- For more information regarding Abuse, Neglect and Exploitation reporting go to: https://nmhealth.org/publication/view/guide/2188/

Direct Support Professional Interviews: These interviews will be scheduled by the DHI and listed on your schedule. They will take place during the onsite Review. You should be interviewing the direct support staff who works with the class member the most and knows them best for each of the day and residential services. Be sure to ask the person you interview if they are the person ASSIGNED to work with the class member DAILY. PROVIDERS SHOULD HAVE BEEN INFORMED DURING SCHEDULING THAT THE INTERVIEW MUST TAKE PLACE WITH THE DIRECT SUPPORT STAFF ASSIGNED TO AND WHO WORKS MOST CLOSELY WITH THE CLASS MEMBER. If the direct support staff wishes to have his/her supervisor sit in during the interview, they can but questions will be directed to the direct support staff. The supervisor may NOT answer questions for the direct support staff; however, they may offer additional information

AFTER the direct support staff person has answered the questions. Be sure to note answers from the direct support staff vs. answers from supervisor or others. If the person who works most closely with the class member is not present for the interview **FIND OUT and record WHY in the protocol book.** Conduct the interview with the person the provider has assigned, find out who they are, how often they work with the class member DIRECTLY. Then, let your Supervisor and Community Monitor know that you were unable to interview staff assigned to the class member.

If there are two day services (supported employment and adult day habilitation, for example) the Surveyor will interview two direct support day staff. The Surveyor should fill out two separate day interview sections and indicate who was interviewed. The scores for day may also be different depending on what is discovered during the two interviews. There will only be one score for each question related to day services; scores for the appropriate questions will be determined by considering both interviews. PLEASE be sure to send the additional interview sections when the rest of the protocol is sent. (A second copy of the Day interview questions can be provided, if it isn't already in your protocol folder.

Class Member Interview: If the person is willing and able to be interviewed, please interview him/her at a location of their choosing. Please try to have enough of an exchange (including verbal and non-verbal elements) to determine issues of choice, satisfaction with his/her daily life, participation in service planning, awareness of guardian, case managers, other staff and friends. If the person is unable or unwilling to participate, document the reason(s) and do not complete the interview questions. If the person wishes to have someone with him/her during the interview, the Surveyor should respect the person's wishes. Remember, the purpose of the interview is to gather information ***from the person***. The Surveyor must determine and address the degree to which someone assists the person to express his/her responses and/or responds "for" the person. If the information you receive is "about" the person not "from" the person many if not all of your scored responses may be "Can Not Determine" (CND). Arrangements are to have been made for any necessary interpreters.

Class Member Observations: You will be scheduled to observe the class member wherever he/she receives day and residential service supports. The class member should be present in BOTH settings. If the class member receives a combination of day services it would be good to ***observe them both***. If the class member attends two different customized community supports services (aka day hab), you should visit them both. If the class member works and if a visit is acceptable to the class member and to his/her employer, you will observe the class member at work. If it is not acceptable to the class member and/or his/her employer then you will not be scheduled to visit the work site. If the class member is unable or unwilling to respond to your questions NOTE that on the interview section of the protocol document. You can use that section to note your observations.

Step 5. FINISHING THE REVIEW

All sections of the protocol along with the Findings Letter MUST be completed and submitted to your Case Judge at a time agreed upon – but – Case Judging MUST be completed and the final Protocol sent to the Community Monitor by the date indicated on the Calendar. For example, if you do your on-site reviews on Monday, July 18, 2019, the entire Protocol and Findings Letter must go through Case Judging and be sent to the Community Monitor by Friday, May 18th. **Exception:** If you are a trainee surveyor working with a Mentor, extended timelines may be used so check with your mentor and confirm timelines which apply to you.

Until the Surveyor is done with each protocol section and sends it to his/her Case Judge, NO ONE can enter anything into the protocol section but the Surveyor.

Once the surveyor passes a protocol section to the Case Judge, NO ONE but the Case Judge can enter anything into that protocol section. The Case Judge can "look" at the protocol sections at any time prior to Case Judging in an effort to see what information has been gathered and recorded. However, NO information can be entered by anyone but the or until the surveyor is done entering information and passes the Protocol to the Case Judge.
Once the Case Judge passes all the protocol sections to the Community Monitor NO ONE but the Community Monitor can enter anything into the protocol.

Below is a summary of the "steps" to completing the Protocol, Case Judging and finishing the Review.

1) Complete the protocol by filling in every blank in EVERY section of the IQR Protocol or by checking the N/A box if a section of the protocol is not relevant to this person's specific IQR:
    a) As you complete the scoring section, be sure that you have used the (+/-) system to indicate where you have facts which provide positive or negative evidence of meeting the Outcome/Indicator. Notify your Case Judge as each section is completed.
    b) Once you have notified the Case Judge that a section is complete, DO NOT REOPEN OR CHANGE THE DOCUMENT. If you think of something that should be revised, write it down and it can be changed during Case Judging. You will send that section of the protocol to your Case Judge via SCOMM.
2) Complete the Findings Letter. These should be based on the findings from information/scores you have documented in your Protocol. There does not need to be a Finding for every score of "No", "3", "2", "1" or "0", but all major issues should be addressed. Some may be combined. Be sure that you note in each finding the related **SCORED** question in the protocol document that resulted in each Finding. There may be multiple questions noted.
3) The Case Judge will discuss with you when your Case Judging time will be scheduled. This will be completed in the office.
4) Once Case Judging is complete, your Case Judge will notify you to review all changes made and make certain that you agree. Note: all major changes and most edits will be made during the Case Judging session. However, there may be edits to the Findings Letter by your Case Judge, Paula Bigham, and/or Lyn Rucker as the document goes through the Review process. These may be made to clarify information, correct spelling or grammar or reduce redundancy.
5) Once you and your Case Judge have agreed on all changes, send a Therap SComm message to Paula Bigham, your Case Judge and Lyn Rucker that you are in agreement. When communicating specific class member information, be sure to use Therap SComm for your e-mail source to ensure confidentiality.
6) Schedule time to debrief with Lyn Rucker.
7) You will be asked to join a conference call during the Regional Status Summary meeting with the Regional Office in case there are any questions about your Findings Letter. The date and time of this call will be provided to you in advance. Surveyors may be expected to participate in the Regional Status Summary meeting in person.

ADDITIONAL INFORMATION

This information is provided just to give you an understanding of what happens once the Review and Case Judging have been completed. It may help you understand why it is so critical to meet the Review deadlines for which you are responsible. Each step in a Review has an impact on the next step, especially with respect to timing!

- Paula Bigham and the Community Monitor must review the documentation.
- Let the Community Monitor know when you are scheduled to Case Judge so that you can set a time to summarize with her.
- The Community Monitor will have a separate phone call with you to summarize your findings once Case Judging is completed and obtain your feedback regarding the Review.

- Following that, the final edits will be made, and a copy of the Findings Letter submitted by the Community Monitor to the Regional Office for their review.
- The Regional Office will review the Findings Letter and will seek additional information, if available, or will formulate questions to clarify the Findings.
- After the on-site Review, the Community Monitor will meet with staff from the appropriate Regional Office to review the Findings Letter. You will be notified of the schedule and will be asked to be on the phone to answer any questions. The dates for these meetings are on the Review Calendar. Specifics will be sent to you via e-mail. Be sure you reserve time that day to be on the call.
- Changes may be made to the Findings Letter based on review with the Regional Office.
- Once those changes are made, the Findings Letter will be forwarded to the class member's team.
- A meeting will be scheduled with the team to give them an opportunity to ask questions and provide information regarding what action has been or will be taken to resolve the finding. Changes may be made to the Findings Letter. For example, they may present additional information which would result in the deletion of the finding.
- Follow-up on the Findings Letter by the Regional Office and/or DDSD will occur as necessary, to ensure that identified issues have been resolved.

NOTE: Timeline expectations noted here apply based on the normal review process. This timeline is extended when the Surveyor Trainee and /or Mentor Trainees are leading the review process. When that is the case, specific timelines will be shared with those individuals prior to the beginning of a review for which the adjusted timelines apply.

Attachment A: Surveyor Checklist			
√	Deadline	Task	Comments
1. File Review and Documents Management			
	At least 14 days prior to the on-site Review.	Check if files have been placed in the Jackson Drive	You can begin looking on Therap for documents once you have been assigned a class member.
	Date files are received.	Notify the IQR Supervisor when you receive your files.	The IQR Supervisor will notify Paula Bigham that they have not been received.
	ASAP	Copy the blank Electronic Protocol into the Class Members' Folder stored in your "Jackson Drive"	
	Prior to 1st telephone interview.	Review Section #1 and the documents which are required. Ensure those documents are in the appropriate folder, that you can open and read them.	If you have trouble, notify Paula Bigham as soon as possible.
	Prior to 1st telephone interview.	Review the interview sections (Section #2, #3, #4, #5 and #6) to be familiar with the questions you are going to ask.	
	Prior to 1st telephone interview.	Read the file, take notes, identify missing information and questions that you need to ask the appropriate person. Also, identify missing documents.	
	Prior to 1st telephone interview.	Complete a Document Request Form for any missing or needed documents.	Prepare this to be submitted no later than Friday of the Document Review week (Week #1). A second DRF may be sent later if additional documents are discovered missing or are needed for a thorough review.
	Prior to 1st telephone interview.	Contact your Mentor/ Case Judge compare your list of missing items (noted on your Document Request Form) with his/hers and add any additional documents to the form.	
	Prior to 1st telephone interview.	Submit Document Request form.	Directions for submitting documents are on the DRF. Be sure to "cc" all persons noted.
2. Interviews			
	Prior to 1st telephone interview.	Consult with Mentor and Case Judge regarding person-specific interview questions to be included in interviews.	

Attachment A: Surveyor Checklist			
√	Deadline	Task	Comments
	As scheduled prior to the on-site Review.	Interview Case Manager (required) This interview is scored and you are expected to use the +/- system with justifications to support the score given.	*If you are unsuccessful in reaching the interviewee of a scheduled call, immediately notify the IQR Supervisor and Paula Bigham, and also keep trying, up to 3 times. If you were not able to connect, DHI support staff will continue to attempt to reschedule the interview.*
	As scheduled prior to the on-site Review.	Interview Guardian (required, if the Guardian is willing). *If you attempt an interview with the Guardian and are unsuccessful, be SURE that you note the date and type of contact attempt in your protocol.*	
	As scheduled prior to the on-site Review.	Interview therapists (as scheduled)	
	During the week before the on-site Review.	Based on information gathered during these interviews, add information/justifications using the + / - system as much as you can.	
	During the week before the on-site Review.	Set a tentative time for Case Judging.	
3. On site Review			
	Per schedule	Follow the schedule of interviews and observations provided for each class member.	
	Per schedule	Interview Direct Support Staff (Day, required) Based on information gathered during these interviews, add information/justifications using the + / - system	There may be two day services. You need to interview and observe both. Day services are required for both interview and observation. Work interview is required but the observation may not, based on circumstances and respect for the privacy of the individual in the work place.
	Per schedule	Interview/observe Class Member (Observation is required, the Interview is if the class member is willing)	Your observations will be noted even if you are unable to interview the individual.
	Per schedule	Interview Direct Support Staff Residential (required)	Based on information gathered during these interviews, add information/justifications using the + / - system
	ASAP, but prior to Case Judging. The Case Judge needs time to review.	If you receive additional documents on-site, these need to be scanned and placed into the Class Member's folder in the Jackson Drive as soon as you return to the Office. Also, SCOMM or faxed to the Community Monitor's office for scanning there.	You will already have an "Additional Documents" file in the individual's folder. Please put **ANY NEW** documents that you receive during the Review in this folder. This will make them easier to review and it will make it clear when they were received.

Attachment A: Surveyor Checklist			
√	Deadline	Task	Comments
4. After the Review			
		Remember! All correspondence regarding the Review must be copied to the Community Monitor and Paula Bigham.	
	ASAP	Pass the completed Protocol to your Case Judge. NOTE: If you are being mentored during a review, submission of your Protocol Sections to your Case Judge should occur ONLY AFTER being reviewed by the mentor and approved, by the Mentor, to be submitted to the Case Judge.	BE SURE that there are NO blanks in your protocol. Once the Protocol is passed to your Case Judge ONLY the Case Judge can make changes and enter information.
	ASAP	Pass the completed Findings Letter to your Case Judge. NOTE: If you are being mentored during a review, submission of the Findings Letter should occur only AFTER being reviewed by the Mentor and approved, by the Mentor, to be submitted to the Case Judge.	
	As scheduled	Case Judging	You and the case judge will arrange a time to complete.
	ASAP after being notified by the Case Judge	Review the final document and send notification that you are in agreement.	Contact your Case Judge if you have any questions. Do not send notification until you are in agreement.
	ASAP	Set a time for debriefing with the Community Monitor.	Preferably, the debriefing should take place after the final document is Case Judged. However, this is not always possible. Lyn will advise you.
	Per schedule	Please set aside time to participate by phone in the Regional Summation (review of findings).	If the review was in Metro, Reviewors will appear in person, otherwise they will call in to clarify any issues.