



## Individual Quality Review FY2021 - 2020 Mentor's Guide

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As a Mentor, you are an approved and experienced Surveyor. You work in conjunction with the IQR Supervisor as a member of the Department of Health, Individual Quality Review (IQR) team. You have the responsibility of evaluating services to persons who have Intellectual and Developmental Disabilities (I/DD), and as a qualified and experienced professional, your expertise and insights are valuable tools in training of additional team members to become competent Surveyors.

### Training a new Surveyor

1. **DOH/DHI/DDSD Internal Trainings:** includes DOH and DHI Orientations, required IQR Core Competency Training, DDS required Case Manager & Service Coordinator level trainings, including the CDD Indicators of Illness and Injury on-line training. Additional trainings may include items such as DD Waiver Standards, programs and services, visits to the field, etc.. Both independent study and classroom designed training is utilized.
2. **DHI/QMB/IQR Core Competency Training Overview:** provides multiple levels of foundational, process and practice training over a multi-month timeframe to ensure Surveyor success. This includes, in part, classroom training focused on document management and navigation and Protocol Sections and Findings letters. The training also teaches the Surveyor how to navigate Therap<sup>®</sup>, what to send to whom, deadlines, and documentation that is in the class members file. Additionally covered are therapy reports, HCPs/MERPs and documentation reviewed during a survey, practice in finding information and entering relevant information into the protocol sections. Ultimately this is a walk through the protocol, forms, process, timelines and deliverables with tips from experienced reviewers. On the job training occurs side by side with the Mentor through a minimum of 2 review cycles. The Mentor will meet with the IQR Supervisor and evaluate the Surveyor to determine if the Surveyor is able to move on to an independent review. Supervisor/Mentor(s) will be available to answer questions and provide guidance during all portions of the training
3. **Performance Feedback and Support Needed Review #1 and Review #2:** IQR Supervisor and Mentor provide feedback to Surveyor Trainee. The IQR Supervisor will ask for feedback from the Surveyor Trainee on their view of their performance and understanding of required document management and navigation. The IQR Supervisor will ask the Surveyor Trainee for feedback in writing in order to target future training needed by the Surveyor Trainee. Surveyor Trainees are required to take the trainings listed in #1 and 2. The IQR Supervisor will use this information to complete the State evaluation for the trainee at the State required timelines.
4. **Training Protocol Section #1:** Protocol Section #1 contains detailed information regarding evidence gathered by the Surveyor through file review. Surveyors will participate in two, two to three hour sessions where they will walk through and begin to record available evidence in each portion of Protocol Section #1. Mentors will sit in to support Surveyor Trainees.
5. **Surveyor Trainee is Mentored in first review** through each section of the protocol. The Mentor is the lead on this review. The Mentor and Surveyor Trainee both fill out each section of the Protocol. The Surveyor Trainee provides his/her sections to the Mentor at a time agreed with the

Mentor. The Mentor provides feedback and instruction to the Surveyor Trainee. This step may be repeated.

6. **Surveyor Trainee as Lead on a 2<sup>nd</sup> Review with Mentor Support.** The Surveyor Trainee conducts a review and completes all portions of the process and protocol with side by side Mentor support. This is the typical three week timeline.
7. **The IQR Supervisor** meets with the Mentor and Surveyor Trainee to share each "Performance Feedback and Support Needed" reviews to evaluate instructions given, identify issues or concerns and provide guidance. (Steps 5 & 6 will be repeated as necessary until Surveyor Trainee is trained to competency.) **Throughout this process, additional training may be provided as identified by DOH/DHI/IQR Supervisor**
8. **Yearly Training:** To be completed annually and/or as needed. This is a walk through the protocol, forms, process, timelines and deliverables with tips from experienced reviewers. Training will include, when applicable, Clinical Services Bureau Training on therapies and nursing requirements; and Community Resources such as Seating Clinic, Safe Clinic and CP Clinic.

**Additional Information (All requirements identified in the Protocol and Surveyor's Guide Apply here as well)**

- Once assigned to a Survey, the Mentor and Surveyor Trainee will review the individual using an electronic file.
- Protocol Section #1 will be completed using documentation provided and information from Therap. Missing information **will be documented using the Additional Document Request Form**. All documents gathered/received will be entered into the correct protocol sections.
- Conduct and document interviews with team members including: the class member, the guardian, case manager, therapists, nursing, and appropriate providers such as residential, community inclusion, and employment.
- Observe the class member at both Living Care Arrangements and Community Inclusion services through informed and knowledgeable eyes.
- One meal or snack will be observed during on-site observations/interviews, if the class member needs mealtime support.
- If the class member is employed, that service should also be observed when possible, but do not interrupt the class members work day.
- Consider all provided evidence prior to rating and documenting conclusions.
- Due professional care and sound professional judgment is needed while conducting the survey and in documenting the rationale for ratings.
- Ratings are completed in line with protocol rating instructions.
- Use clear and understandable written communication.
- The Additional Document Request Form (DRF) is used to request missing or additional documentation. The DRF will be submitted to the Mentor first, before being sent via S-Comm to the appropriate parties. Best practice for the first request is by Friday of the Document Review week (Week #1). The Mentor and the Surveyor Trainee will follow the procedure outlined on the DRF when documents are not received.
- The Mentor will periodically review protocol sections in the Surveyor Trainee's Working Protocols folder to ensure the sections are accurate, complete, follow instructions and meet expectations of the Mentor. Mentor will provide written and verbal feedback to Surveyor Trainee regarding suggested additions or modifications needed to ensure the protocol meets expectations. If protocol sections are not completed as instructed, or if there are concerns by the Mentor, the Mentor will contact the QMB/IQR Management for guidance in writing. Remind the Surveyor Trainee to be on time with submitting sections, as this is essential in meeting the requirements.

## Pre-classroom Training

- Your main job as Mentor is to assist the Surveyor Trainee, as necessary, to accurately complete training and the entire survey process as trained.
- Confirm that the Surveyor Trainee has all supplies needed and the agenda for identified training.
- Confirm that the Surveyor Trainee has received the Surveyor's Guide. They have been told, but also reinforce the fact that they need to read this Guide in its entirety in advance of the Classroom Training and before receiving the class member's file.
- Confirm that the Surveyor Trainee has received the IQR Section #1 Reference Sheet. This will tell them, at a minimum, what documents they should expect to find in their file.
- Tell your Surveyor Trainee to be sure they have needed supplies such as: laptop, power cord and flash/portable drive. Confirm that they do. The IQR Supervisor will confirm that the Surveyor Trainee knows how to use these supplies prior to training. If you find that they don't, note that and notify the IQR Supervisor.
  - While we encourage the primary use of electronic documents, some Surveyor Trainees will want hard copies of some documents or may receive hard copies of documents during the survey. These 'tools' may be useful for organizing documents received.
- Remember that you and your Surveyor Trainee constitute a "Team" so please sit together at training, if possible. Remember what it's like the first time you go through a survey... we all need as much support as we can get!
- Again, when you note things that are missing or need to be done, give your Surveyor Trainee as much information as you believe will be helpful so there is every opportunity for success. Surveyor Trainee and Mentors should be sharing all information.
- Putting your instructions in writing back to the Surveyor Trainee is essential. That way if there is a misunderstanding it can be corrected quickly and/or your instructions can be referenced as needed.

## Classroom Training

- Be as supportive of your Surveyor Trainee as you can. Check in with them to be sure they are following what is being said and that they understand what is being conveyed in a way that they can use it during the Survey.
- If you think that your Surveyor Trainee does not understand the implications of what they are hearing, ask questions for them... others will be having the same problems so your questions will help.
- Make notes of areas that you would like to review with your Surveyor Trainee after the training just to be sure that expectations are clear.
- Encourage your Surveyor Trainee to mark and make a note of any areas reviewed during training that they don't understand or believe they would benefit from more information.

## After classroom Training

- Go over any topic areas your Surveyor Trainee has marked for additional information.
- Have your Surveyor Trainee repeat back requirements if you are unsure they really understand the details of expectations.
- Establish contact expectations; times and location to meet with the Surveyor Trainee.

- Confirm that your Surveyor Trainee has contact information so they know how to get in contact with people if they run into problems.
- Confirm that the Surveyor Trainee knows that s/he will be receiving an electronic class member's file in advance of the Survey and that they must read the entire file prior to the scheduled phone interviews and they must begin to fill out the protocol book.
- Fill out all of Section #1 of the Protocol based on the file review.
- Confirm that the Surveyor Trainee understands that all the interview Sections (#2, #3, #4, #5 and #6) have space for additional questions that the Surveyor Trainee may need to ask to clarify issues found as a part of the file review, interviews and/or observations.
- Confirm that the Surveyor Trainee understands that Protocol Sections #4 and #5 (CCS, employment, residential) have sections called "Items to Verify" which Surveyor Trainee should complete and use to identify what they need to look for when they are on site interviewing/observing. For example, if the person is to be at a 90-degree angle when s/he is eating they should write that down as a cue so they check the angle the class member is sitting at when they visit him/her. If the person is to have a VOCA, they should write that down to be sure they ask about it and check to be sure it is working, being used across all recommended environments and staff know how to support the person in its use, etc.
- Confirm that the Surveyor Trainee has the current version of the electronic protocol downloaded onto their computer.
- Confirm that the Surveyor Trainee knows they can go to the website and retrieve documents such as the Surveyors Guide, protocol sections, the calendar and so forth. The web site is <https://www.nmhealth.org/about/dhi/cbp/qmb/iqr/>
- Review the "Additional Information" and "Surveyor Checklist" at the end of the Surveyors Guide to be sure all questions are answered.
- Review the Report of Findings template and content probes to be sure new Surveyor Trainees are familiar with the expectations regarding content and timelines for submission to the Case Judge.

### Document Review: Week 1

- Provide feedback to the Surveyor Trainee as needed. Give clear and concise explanation and support training with written instruction. Give your Surveyor Trainee as much information as you believe will be helpful so that your Surveyor Trainee has every opportunity for success.
- Confirm that the Surveyor Trainee has and has reviewed the most current interview schedule from the Jackson drive with contact numbers and class member's addresses. They need to be sure they do not have conflicting interview times/double booking. Surveyor Trainee needs to confirm that interviews conducted during the on-site week allow enough time between interviews so that the Surveyor Trainee can travel and still be timely.
- Confirm that the Surveyor Trainee has received the class member's file on the date identified.
- Confirm that the Surveyor Trainee has read and has recorded information from the file prior to their scheduled phone interviews. If they are missing documents, the first **Additional Document Request Form (DRF)** should be submitted no later than Friday of the Document Review week (Week #1). Documents should be returned to the Surveyor by Tuesday of the phone interview week (week #2). Additional documents can be requested at any time during the review.
- Confirm that the Surveyor Trainee knows that copies of everything go to the IQR Supervisor and are copied into the Jackson Drive and into the correct file.
- Confirm that the Surveyor Trainee has copies of the Additional Document Request Form (DRF) and knows how to use it, along with when/where and how it is submitted.

- Be supportive. Ask the Surveyor Trainee questions to clarify any issues or instructions. Have the Surveyor Trainee write their questions down when possible; marking the protocol areas they need clarification on may clarify an area that needs further explanation.
- Confirm with the Surveyor Trainee that the schedule and expectations are clear. Establish contact expectations: when to meet with their Mentor, when protocol sections are due, and what the Surveyor Trainee is expected to have completed. Be clear.
- The Surveyor Trainee will receive an electronic file and records. The Surveyor Trainee will also be expected to review the electronic file including Therap documentation and enter and save information into the record.
  - Protocol Section #1 must be completed before the phone interview sections;
  - The DRF (Additional Document Request Form) and any additional interview questions will be utilized to gather additional information.
  - The DRF will be submitted to the Mentor and Case Judge and any issues discussed before it is submitted, per the instructions on the form.
  - The DRF will be utilized to request additional documents and then, when those documents are received, the Surveyor Trainee will add these additional documents into the record, and will document them as appropriate.
  - Protocol Section #1 will be turned in for review on Thursday by COB of the Document Review Week (week #1). Section #1 will be discussed with Surveyor Trainee and it will be completed by noon on Thursday of the Phone Interview Week (week #2).
- The Surveyor Trainee will be expected to use additional interview questions to clarify any issues discovered. They will be reviewed with the Mentor before the phone interviews.

### File Review and Phone Interviews:

#### **If a Surveyor Trainee is being Mentored for the first time:**

##### For Interviews:

- Make sure additional questions are discussed before the interviews.
- Ensure the Surveyor Trainee is introduced, so everyone on the call is aware there is another person on the line.
- The Surveyor Trainee should listen to all interviews and be on a conference line.
- Both the Mentor and Surveyor Trainee will type the answers given during interviews. The Surveyor Trainee will be expected to type the answers given during the interview for practice. The practice of typing by the Surveyor Trainee is valuable to ensure accuracy and to enable coaching.

##### After Interviews:

- After the interviews, use the +/- system to score based on the information acquired during the interview.
- Using the +/- system, add information to other relevant Protocol Sections/scored questions.
- Give prompt feedback on the documentation kept by the Surveyor Trainee during the interview.
- The Surveyor Trainee should sit in on the Case Judging of this protocol.
- The Surveyor Trainee should sit in on the Summary with the IQR Supervisor.

##### Completing All Sections of the Protocol

- Surveyor Trainee will complete all sections of the Protocol for practice.

- The Mentor will share his/her protocol sections with the Surveyor Trainee so that the Surveyor Trainee can compare and ask questions to help clarify differences.
- The IQR Supervisor will review those differences with the Surveyor Trainee to clarify available sources of information/improvements needed.

### **If a Surveyor Trainee is being mentored for the second time:**

#### For Interviews:

- Make sure additional questions are discussed before the interviews.
- Ensure the Surveyor Trainee is introduced, so everyone on the call is aware there is another person on the line.
- The Surveyor Trainee should listen to all interviews and should be on a conference line.
- Both the Mentor and Surveyor Trainee will type the answers given during interviews. The Surveyor Trainee will be expected to type the answers given during the interview for practice. The practice of typing by the Surveyor Trainee is valuable to ensure accuracy and to enable coaching.

#### After Interviews:

- After the interviews, use the +/- system to score based on the information acquired during the interview.
- Using the +/- system, add information to other relevant Protocol Sections/scored questions.
- Give prompt feedback on the documentation kept by the Surveyor Trainee during the interview.

#### Completing All Sections of the Protocol

- Surveyor Trainee will complete all sections of the Protocol, the Findings Letter and exchange them with their Mentor consistent with identified timelines and as agreed with the Mentor. Put these time deadline agreements in writing!
- The Mentor will provide the Surveyor Trainee with feedback on the strengths and remaining challenges of each protocol section completed by the Surveyor Trainee. This can be done via WebEx or in person. This session will work from and update the Mentor's Protocols and Findings Letter.
- The Surveyor Trainee should sit in on the Case Judging of this protocol.
- The Surveyor Trainee should sit in on the Summary with the IQR Supervisor.

#### **When the Surveyor Trainee is the lead: (and the Mentor is the shadow)**

- The Surveyor Trainee will conduct this survey in total.
- The Mentor will continue to participate in all aspects of the survey, providing feedback throughout.
- The Surveyor Trainee will continue to follow the Surveyor's Guide as the Lead Reviewer.
- The Surveyor Trainee will notify the Mentor in writing as protocol sections are completed. Mentor will provide feedback to Trainee to assist with clarity, accuracy, relevance and completeness of protocol scoring and justifications.
- The Mentor will also complete the survey as if s/he is the Surveyor to ensure the person surveyed is protected and the accuracy and integrity of the information.
- In every case, the Mentor must be sure that the Surveyor Trainee is completing the survey in line with the Mentor's guidance and instructions to ensure that the person being surveyed is protected and that the information surveyed and reported is accurate, has integrity, and is fair and complete.

## In general:

- Always remind your Surveyor Trainee to stay on time!
- The Surveyor Trainee should be filling out the ***Additional Document Request Form*** if they find the record is missing documents. The DRF should be shared with the Mentor and the Case Judge before it is submitted to be sure that all documents being sought are requested.
- Information from others: The Surveyor Trainee may find that s/he needs information from others as a result of interviews and/or record review. If you believe documents, assessments, recommendations are missing have the Surveyor Trainee complete the **DRF** and ask for them.
- Contact your Surveyor Trainee as frequently via phone and / or email to be sure that they have reviewed all the documents in the class member's files and filled out all sections in the Protocol in line with expectations and instructions with an eye towards timeliness, accuracy, and completion. Mentor should periodically review the Surveyor Trainee's protocol for timely progress.
- Provide regular and consistent feedback to Surveyor Trainee to assist Trainee in understanding expectations and completing protocols completely, accurately, and timely.
- Notify the IQR Supervisor with the details of any concerns. The IQR Supervisor will ensure needed support is provided.
- Do not hesitate to send the Surveyor Trainee back for more information. It is imperative that scores reflect all information that can be reasonably acquired during the survey.

## Phone Interviews: Week 2

**Case Management: (CM).** This interview will be by phone unless other arrangements have been made. If the CM is new (30 days or less) the CM Supervisor may sit in on the interview but the questions will be directed to, and answered by, the CM. The Supervisor may not answer for the CM. The Supervisor may offer additional information after the CM has answered. The answers from the CM and the Supervisor will be recorded separately. (Initials can be used to clarify each person's answers)

**Guardian Interview:** The Guardian of the class member will be interviewed on the phone if the Guardian is not a provider of Family Living Services. A Guardian may request an in-person interview, which should be accommodated. If the Guardian is also a provider of home-based services, the Surveyor Trainee must interview the Guardian in the class member's home.

**Nurse, Therapist and Behavior Service interviews:** There are specific interview questions for the nurse, therapists and the BSC identified in Protocol Section #2. In addition to the standard questions provided, additional questions may be asked. Review the Surveyor Trainee's questions prior to the interviews. These interviews give the Surveyor Trainee the opportunity to clarify questions/issues that have come up as part of the file review or through other interviews. Do not hesitate to send the Surveyor Trainee back for more information. It is imperative that scores reflect all information that can be reasonably acquired during the survey.

## On Site interviews and Observations: Week 3

The Surveyor Trainee must have reviewed the entire file before the interviews and on-site week begin. Confirm that the Surveyor Trainee has updated the list of missing documents, has reviewed the received documents and updated the protocol as applicable.

The interviews conducted should be with the direct support staff who know the class member best for all services including LCA, CCS, CIE. Providers are informed when scheduling that the interview must take place with the DSP who knows the class member best. If the DSP is new (30 days or less) the

supervisor may sit in but the questions will be directed to the direct care staff. The supervisor may not answer questions for the staff, however, may offer additional information after the DSP has answered. (Initials can be used to clarify each person's answers) If the person who works most closely with the individual is **not** present for the interview, be sure it is noted why on the protocol book. If the interview is completed with someone other than the DSP designated, the Surveyor Trainee should note on the appropriate interview section who they interviewed, how often they work with the class member and inform the IQR Supervisor.

When scoring the protocol book, the direct support staff answers should be given primary consideration unless it is obvious (through documentation and action of the Team) that the direct support staff are wrong. If this is an issue, contact IQR Supervisor for consultation regarding scoring.

If there are multiple community inclusion services (CCS-I and CCS-G, CIE, for example) the Surveyor Trainee may have to interview two or more direct support CCS staff. If that is the case, the Surveyor Trainee should fill out separate Community Inclusion (CI) interview sections and indicate who was interviewed. Confirm that the Surveyor Trainee knows the Employment and CCS Interviews are scored together and that (+) and (-) justifications from all interviews are listed in the Scored Question Justification and a total score is determined by looking at all responses. Each (+) or (-) should be noted as to whom it refers (e.g., CCS-I Staff, CCS-G Staff, CIE Staff etc.) Please be sure your Surveyor Trainee provides both scored sections.

- Make sure the Surveyor Trainee asks at the beginning of the CCS and Residential interviews if the person they are interviewing is the one who works with the class member daily and knows him/her the best. If NOT, coach the Surveyor Trainee to find out and document why the provider has not provided the direct support staff needed for the interview.
- Also, if the direct support staff is new (less than 30 days) a supervisor may sit in but may NOT answer the questions for the staff person.
- Remind the Surveyor Trainee that they are not to lead people to answers. They are to record, as best they can, exact answers to interview questions.
- If the person being interviewed does not understand the question, the Surveyor Trainee should reword it to make it simpler and understandable. You may need to do that periodically to show the Surveyor Trainee how to do this.
- Surveyor Trainees are not to change the wording of questions so much that they change the meaning.
- Surveyor Trainees may not re-word questions in advance of interviews for any reason.
- Staying on time is key so move the Surveyor Trainee along as needed.

### Class Member Interview

The Surveyor Trainee's schedule does include time to observe the class member wherever s/he receives CCS and residential service supports. The class member should be present in both settings... it serves little purpose for the Surveyor Trainee to observe where the class member spends his/her day, works, or where the class member lives if s/he is not there. If the class member receives a combination of community inclusion services, it would be good for the Surveyor Trainee to observe them both. If the class member works and if ***a visit is acceptable to the class member and to his/her employer***, the Surveyor Trainee will observe the class member at work. If it is not acceptable to the class member and/or his/her employer, then the Surveyor Trainee will not be scheduled to visit the work site. If the class member is unable or unwilling to respond to the Surveyor Trainee's questions, be sure the Surveyor Trainee notes that on the interview section of the profile document.



Individuals are to be observed during at least one meal time or snack if they need mealtime support, preferably one during CCS services and one at home. The Surveyor Trainee **MUST** have read the CARMP, if applicable, in advance of any mealtime/snack observation.

### Residential Interview and Observation

- An observation of the residential site is **required**. A scheduled time to observe the individual in their home should be on the Surveyor Trainee's schedule. If that was absolutely not possible, the site should still be observed even without the individual present. **Notify the IQR Supervisor ASAP if there is a problem with observing the class member at home.**
- When you are in the home, be sure the Surveyor Trainee looks for all adaptive equipment and assistive technology. The Surveyor Trainee needs to be sure to see each piece of required equipment/communication devices, know it works (ask the person and/or the staff to show you) and that it is being used as needed by the class member.
- Be sure to check the bathroom for accessibility and needed equipment. Also, check front and rear exits to be sure that they are accessible and safe based on the class member's needs.
- If you observe unsafe or unhealthy conditions, take pictures with your phone of the environment while avoiding the faces of individuals served who may not be class members. An ANE report may need to be filed with DHI.
- Information available on location should be complete with current Healthcare Plans, MERPS, the ISP, the CARMP, and all required/needed plans.
- You must be sure the Surveyor Trainee checks the medication that is on-site and fills out the information in the protocol.

### Community Inclusion Interview and Observation

- As indicated above, if there are multiple community inclusion (CI) services (CCS-I, CCS-G and CIE, for example), the Surveyor Trainee may have to interview two or more direct support staff. If that is the case, the Surveyor Trainee should fill out separate interview sections and indicate who was interviewed. Confirm that the Surveyor Trainee knows the CI Interviews are each scored (+) and (-) separately based on the interviews as listed in the Scored Question Justification and a total score is determined looking at all responses. Each (+) or (-) should be note as to whom it refers e.g., CIE, CCS-G, CCS-I staff, etc.
- Be sure the Surveyor Trainee looks for all necessary adaptive equipment and assistive technology. They need to be sure they see it, know it works (ask the person and/or the staff to show you) and that it is being used as needed by the class member and all relevant environments.
- If you observe unsafe or unhealthy conditions, take pictures with your phone of the environment while avoiding the faces of individuals served who may not be class members. An ANE report may need to be filed with DHI.
- The individual's book should be complete with current Healthcare Plans, MERPS, the ISP, the CARMP, and all plans.
- You must be sure the Surveyor Trainee checks the medication that is on-site and fills out the information in the protocol.

### Class Members with Immediate and Special Needs

Ensure that the Surveyor Trainee is advised of and indicates they understand the definitions relating to individuals identified with "Immediate" and/or "Special" needs. Those definitions follow.

**Immediate Attention:** Class Members identified as needing "*immediate attention*" are persons for whom urgent health, safety, environment and/or abuse/neglect/exploitation issues were identified which the team is not successfully addressing in a timely fashion.

If you believe that someone you are surveying may fall into this category CALL THE IQR SUPERVISOR AS SOON AS POSSIBLE but not later than the same day you discover these issues and provide the information and concerns you have. Some issues may require that you not leave the situation until it is addressed. For individuals found to have immediate needs where abuse, neglect or exploitation is suspected, you will be asked to call the DHI 1-800 ANE reporting number and file an incident report with DHI in addition to highlighting the class member's circumstances in the individual findings and recommendations.

**Special Attention:** Class Members identified as needing "*special attention*" are individuals for whom issues have been identified that, if not effectively addressed, are likely to become an urgent health and safety concern, in the near future. If you believe that someone you are surveying may fall into this category notify the IQR Supervisor as soon as possible but not later than 24 hours from when you discover these issues and provide the information and concerns you have.

### **Completing the protocol**

- Please ensure there are no blanks in the protocol.
- Please be sure that the Surveyor Trainee has reviewed all the material provided including, for example, both ISPs provided (most current and the previous ISP), knows and has documented the frequency of implementation and if that is consistent with instructions in the ISP.
- Do not allow your Surveyor Trainee to add scoring options. For example, if the options provided are 0, 1, 2 and 3 the Surveyor Trainee may **not** put CND or N/A, except when there are approved extenuating circumstances.
- You must be sure that your Surveyor Trainee uses the (+) (-) format for justifying scores. The justification for a score must be for that question and must make sense and be understandable.
- Do not let the Surveyor Trainee just put words like, "(-) *Speech Eval*" ... what does that mean? That the Speech Evaluation was not done, was inadequate, missing? Please be sure that anyone reading the protocol book would understand what your Surveyor Trainee found which contributed to that score by using the +/- designation.
- Do not let the Surveyor Trainee put their personal opinion regarding what has happened, e.g., "the Team tried their best"; the Surveyor Trainee must relay facts.
- Do not let the Surveyor Trainee justify scores just because someone "told them". They need to look for multiple sources of evidence (documents, observation, interviews) for verification and cite those as justifications for their responses.

There are several questions in the Protocol Book that depend on each other. Please check these with your Surveyor Trainee so they are consistent. For example,

- If #62 is scored No, then #63 and #85 are scored 0 or No.
- If #85 is scored a 0, 1, or 2 then #86 must be N/A.

When a score is changed – for any reason – (e.g., Mentoring, obtaining new documentation within 48 hours), be sure that the justification reflects the correct circumstances. For example, if there were assessments missing, and the justification notes read "*–no current dental, vision, H&P in file*" as justification, but the case manager acquires and provides some or all the missing pieces of information and

provides them before the deadline the score would be changed to a "3". In addition to changing the score the Surveyor Trainee must also change the justification to properly reflect the scoring

### Writing the Individual Summary and Findings

Your Surveyor Trainee should have a good understanding now of what is working well for this Class Member and what isn't. However, in some cases you may need to help your Surveyor Trainee move from the detail to the "big picture" view of what all this information really means in terms of the quality of life for this class member. It may be helpful to start by asking your Surveyor Trainee to summarize what s/he sees as the 5 most important issues for the class member, why, and what the Team could do to most effectively correct these issues. It is also critical to get a picture of what good things are happening, why they are important and if supports are in place to ensure they continue.

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- ***Teams should be thanked for the many things they have done to support the person well.*** Be sure that your Surveyor Trainee has an electronic version of the Findings letter on his/her computer so that you can use that shell as you write Findings.
  - Be sure your Surveyor Trainee uses the initials of the individual, not their name. The summaries are, overall, supposed to be non-identifying.
  - If at all possible, try to have some "good news" for the individual surveyed. If there is not a Finding in a given area, there should at least be a **'thank you'** for efforts on behalf of the individual and/or for participation in the survey. This goes at the beginning of the letter in the "thanks to our partners" section... not in the findings section.
  - If there is a time where there are multiple related Findings, they should be listed as one finding with a, b, c under it – not as separately numbered instances.
  - **Don't forget to look at old findings (from prior CPR/IQR reviews) so that things that weren't resolved or which come back up again get flagged as repeat findings.**
  - **Be sure that each finding is cited with a corresponding scored protocol question, and have specific documents referencing information, so that the finding can be substantiated by going back to that question in the protocol.**

The Individual Findings Letter has guidelines regarding what topics should be addressed where. Please help your Surveyor Trainee write with enough clarity and detail so that team members, regional office staff and others know:

- What was found and where; and
- Why it was a problem.
  - If an assessment was recommended but not attained, indicate who made the recommendation in what document (including date) so the Team can go back to the source document. For example, "*Jane's mental health assessment completed by Dr. Black on 9/25/18 indicates "she should spend every February in Hawaii to avoid her winter blues". This recommendation is not addressed in her 10/2018 ISP. Interviews with both the residential and day staff indicate that she does not spend every February in Hawaii.*
  - If the Surveyor Trainee notes a problem in community inclusion and/or residential services, please indicate which service so follow up can be done. For example, "*CCS staff were unable to identify Jane's preference for salads at lunch.*"

## Case Judging

Be sure that the Surveyor Trainee knows he/she is to have the completed Protocol and written Individual Findings provided to the Case Judge by the time agreed to with the Case Judge. If an issue arises with meeting the timeline, please negotiate a different time with your Case Judge as soon as possible and let him/her know when to expect the book. Be sure to copy this correspondence or agreement to IQR Supervisor so adjustments can be made to their schedules as well.

The purpose of Case Judging is to ensure that all facts and justifications are as clear, accurate and concise as possible. The Surveyor Trainee, Mentor and the Case Judge are a Team and jointly responsible for the product produced as a result of the Survey.

You should also indicate to your Surveyor Trainee that Case Judging may require the Surveyor Trainee to supply additional documentation to ensure Findings are clear and supported by documentation in the record. If a Finding does not have supportive evidence as written, the Surveyor Trainee will be required to supply the documentation, or rewrite the Finding. They should be prepared to be engaged with the Case Judge for whatever time is required. Often this is two hours or longer.

As a Mentor, please check with your Surveyor Trainee to see if s/he would like to have you participate in the Case Judging process. If the Case Judge would like to have you participate, remember not to answer questions for your Surveyor Trainee. If the Case Judge needs information s/he will ask you.

Once reconciled, the Mentor and Surveyor Trainee will send a secured email (State encrypted email system or S-Comm via Therap<sup>®</sup> to the IQR Supervisor stating they agree with the Case Judging results as reflected in the final Protocol Sections. If the Surveyor Trainee does not agree with the content of the Protocol and/or the Findings, instruct him/her to:

- #1. Identify specifically which scores, justifications, findings are in dispute;
- #2. Identify the evidence s/he has to justify his/her position; and
- #3. Send that information to the IQR Supervisor and the Case Judge as quickly as possible after Case Judging.

## Summarize with the IQR Supervisor

Please be sure that your Surveyor Trainee knows that they need to contact and schedule a time to summarize with the IQR Supervisor. If possible, the Surveyor Trainee should summarize with the IQR Supervisor soon after s/he has been Case Judged. The Surveyor Trainee should allow an hour for this debriefing session. Depending on the survey, the Surveyor Trainee and the IQR Supervisor may meet alone so you may not need to be present for this summary.

## Status Summary

Be sure that your Surveyor Trainee understands what will happen at the Regional Status Summary Meeting and what his/her responsibilities are during this meeting.

- Prior to the Regional Status Summary the Surveyor Trainee should ensure that s/he has access to documents which have been reviewed so questions can be quickly answered and documents referenced.
- In person or telephone participation in the Regional Status Summary for Surveyor Trainees and Mentors is mandatory so please be sure the Surveyor Trainee has the date, time and expected order in which class member findings will be reviewed.

- Those attending should know that the Regional Status Summary will go as late as needed to summarize all class members reviewed.
- Since the Regional Office will have typed copies of the draft Individual Findings, we will review these documents together. The Surveyor Trainee should be prepared to answer questions to clarify what they found and the background circumstances, if necessary.
- Draft Individual Findings will be available for review by Regional Office staff as early as possible during the review. The IQR Supervisor sends the Findings to the Regional Office.
- The IQR Supervisor and Mentor will support the Surveyor Trainee during the Regional Status Summary as needed.

### **Evaluation**

IQR Surveyors will be evaluated using the New Mexico State Personnel Employee Evaluation (EE) on an annual basis and / or on an interim basis as needed and information from mentoring may also be utilized in the performance evaluations.

The IQR Supervisor will meet with the Mentor and Surveyor Trainee to evaluate the performance of the Surveyor Trainee.