



Contact Information: Lyn Rucker: 785-366-6468; rpaltd@aol.com
Camille Jaramillo: 505-690-7230; Camille.Jaramillo1@State.nm.us
Carol Sena: 505-841-5500; Carol.Sena@state.nm.us

Thank you for agreeing to be a Mentor!

As a Mentor, you are an experienced and approved Reviewer. You are a part of a team of qualified and experienced professionals with the responsibility of evaluating services to persons who have Intellectual and Developmental Disabilities. We look forward to you applying your expertise and insights in a way that will result in a potential new Reviewer becoming competent in the use and application of the Review protocols.

We look to you to help the person you are going to mentor meet the Review Expectations for Reviewers and Case Judges which include: (See pages 3 to 8 in the 2014 CPR Protocol)

- Review individuals as assigned.
- Conduct an initial record review and fill out the General Information Section of the protocol book **prior to the review start date**. Comprehensive completion of the Review Protocol Book is required.
- Acquire and review additional records, as needed. The Document Request Form **MUST** be used.
- Conduct and document interviews with the class member, available guardians, case manager and appropriate (day, residential, therapy, nursing, etc.) providers.
- Observe the class member in day and residential services through informed (by the file and interviews) and knowledgeable eyes.
- Consider all provided evidence prior to rating and documenting conclusions clearly.
- Due professional care and sound professional judgment is used in conducting the review and in documenting the rationale for ratings.
- Ratings are completed in line with protocol rating instructions.
- Clear and understandable written communications.

Not everyone can and should be a Community Practice Reviewer. We will look to you and the Case Judge to provide feedback regarding the Reviewer's performance and ability to be a competent CPR Reviewer.

Okay, so let's get started. In an effort to ensure that all Reviewers get the same basic types of supports we recommend – at least – the following. If you have more and better ideas please let us (Lyn Rucker, Community Practice Court Monitor and Camille Jaramillo, Jackson Compliance Team Coordinator) know. We'll add your ideas and make this guide better.

Step 1. In advance of the Training, contact your Reviewer:

As soon as you know who your Reviewer is, please contact them. You will probably already know each other but this is the 'kick off' of a different and more formal relationship. Please contact them before the training which takes place on **January 15 & 16, 2014**. Your main job is to assist the Reviewer, as necessary, to help him/her complete training and the entire review process. Please be sure that:

- The Reviewer has received the **Agenda** for the Training which begins **January 15 & 16, 2014**. Please go through this Agenda with them and let them know what they can expect each day.
- The Reviewer has received the **Reviewer's Guide**. They need to read it in advance of receiving the class member's file. This Guide will also tell them what documents they should expect to find in their file – at a minimum.
- The Reviewer has received the summary of **Expectations of Reviewer's and Case Judges**. Again, they need to read this several times before they receive their class member's file.
- Make sure your Reviewer brings a **watch** so they can keep on time during the Review.
- Make sure your Reviewer has supplies such as: **laptop, power cord and flash/portable drive!** If they don't know how to use them they should arrange for someone to help them learn prior to Training week. They may also want to be sure they bring pencils, NOT PENS, highlighters, stickies, paper clips, etc. While we encourage the use of electronic documents to the extent possible, some reviewers will want hard copies or may receive hard copies of documents during the review. These 'tools' may be useful for organizing documents received.

Remember that You, your Reviewer and the Reviewer's Case Judge will constitute a "Training Team" so please sit together **at Training**, if possible. Remember what it's like the first time you go through a review... 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 Reviewer as much information as you believe will be helpful so that your Reviewer has every opportunity for success.

Step 2: Training

During Training

- Be as supportive of your Reviewer 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 Review.
- If you think that your Reviewer 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 Reviewer after the Training just to be sure that expectations are clear.
- Encourage your Reviewer to use stickies and ask them 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 Training

- Go over any topic areas your Reviewer has marked for additional information. If you need assistance in articulating expectations ask Lyn or Camille to join the conversation.
- If it is available Review the Reviewer's **specific schedule** to be sure they know what they MUST have at the end of each interview/observation.
- Be sure they know and understand what is expected.
- Establish contact expectations; times and location to meet with the Reviewer
- Be sure your Reviewer has **contact information** so they know how to get in contact with people if they run into problems.

- The Reviewer knows that he/she will be receiving a electronic **class member's file** in advance of the Review AND that they MUST begin reading the file prior to the scheduled phone interviews. They MUST read the entire file prior to the phone interviews and they MUST begin to fill out the protocol book. Specifically:
 - To the extent that they can, fill out the class member demographics which begin on page 10 of the protocol;
 - Begin to fill out the work pages (Assessments on page 16, Case Management is Page 22; Day is page 45/46; Residential is page 67/68. Be sure they understand that the work pages should identify what they will ask about/look for when they are interviewing/observing. For example, if the person is to be at a 90 degree angle when he/she 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 and staff know how to support the person in its use, etc.
- The Reviewer has the current version of the electronic protocol downloaded into their computer.
- The Reviewer has practiced transferring documents to their Case Judge BEFORE the review begins.
- The Reviewer knows they can go on the website and retrieve a guide for reviewers. The web site is jacksoncommunityreview.org.
- Review the write up expectations and be sure they know how to print and transmit their Individual Findings and Recommendations.

Step 3: The week before the Review, contact your Reviewer.

As always, when you note things that are missing or need to be done, give your Reviewer as much information as you believe will be helpful so that your Reviewer has every opportunity for success.

- Be sure that the Reviewer knows who they are reviewing and who their Case Judge is. They should receive their interview schedule with contact numbers and class members addresses
- Be sure that they have received the **class member's file**.
- Be sure that they know they are to begin reading the file prior to their scheduled phone interviews and that they know that they are to notify the Metro Office (Carol Sena at Carol.Sena@state.nm.us or 841-5500) by Wednesday of their file review week if there are missing documents.
- Be sure that they have copies of the Document Request Form and know how to use it.

Step 4: Week 1 – File Review & Interview

Before the Phone Interview Day 1 begins:

- They should also be filling out the **Document Request Form** if they find missing documents so that they can discuss that with the Case Manager at the scheduled Case Manager interview. This gives the case manager time to provide and acquire missing documents within the 24 hour time limit, or direct the review to the responsible party who can provide the document(s).
- Review your Reviewer's Protocol Book and determine if the book has been filled out in line with expectations (demographics, ISP, assessments, work sheets, etc.).
- Note your findings on the **Reviewer Evaluation Form**.
- If the Protocol Book has not been filled out in line with written and your verbal instructions please notify Lyn Rucker, Camille Jaramillo and the Case Judge.

- Review your Reviewer's **Document Request Form** to be sure that missing or needed information is listed. Remind your Reviewer that this information needs to be provided to the regional office and that he/she needs to review it with the Case Manager at the interview, so the Case Manager has time to look for the information.
- Be sure that your Reviewer has notified Carol Sena (Carol.Sena@state.nm.us or 841-5500) if documents that are missing.
- Contact your Reviewer as you think necessary to be sure that they have reviewed the file and filled out their Protocol Book to the extent that they can.
- If you are in close geographical proximity to your Reviewer, drop by and look at the book if you can **OR... ask them to send it to you electronically to check on their progress.**
- If your Reviewer does not fill out the book after instructions to do so (including the work sheets), note that information on your evaluation form and notify Lyn Rucker and Camille Jaramillo.
- If your Reviewer is not filling out the Document Request Form, and there is a need to, note that information on your evaluation form and notify Lyn Rucker and Camille Jaramillo.
- If your Reviewer is not reading the file after instructions to do so, note that information on your evaluation form and notify Lyn Rucker and Camille Jaramillo.
- Always remind your Reviewer to STAY ON TIME!
- Information from others:**
The reviewer may find that he/she needs information from others as a result of interviews and/or record reviews. If the reviewer needs to visit directly with the nurse, therapist, etc. in order to clarify questions/issues PLEASE BE SURE THE REVIEWER DOES SO. If you believe documents, assessments, recommendations are missing HAVE THE REVIEWER COMPLETE THE DOCUMENT REQUEST FORM AND ASK FOR THEM from the case manager, residential, day, therapist or nurse provider. Do not hesitate to send the reviewer back for more information. It is imperative that scores reflect all information we can reasonably acquire during the review.

Phone Interviews:

Case Management Interview:

The Reviewer will interview the case manager assigned to the class member by phone, unless other arrangements have been made through the regional office. If the case manager is new (30 days or less) the supervisor may sit in on the interview but the reviewer's 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 question asked. The answers of the case manager should be recorded separately from the answers from the supervisor so documentation is clear in terms of who said what. If it is not clear, ask your reviewer to indicate in the protocol book who said what, include the initials of each to indicate their responses..

Guardian Interview :

The reviewer is to interview the Guardian of the class member in person or on the phone if the Guardian is NOT a provider of Family Living Services. If the Guardian is also a provider of home-based services the reviewer MUST interview the guardian in the class member's home. Some guardians live out of town or out of state so phone calls are the only way to ensure an interview.

Nurse and other Therapist contacts:

The purpose of the interview with the nurse and contact with auxiliary therapy providers is to clarify questions/issues that have come up in file review or through conducted interviews. PLEASE BE SURE THE

REVIEWER DOES SO. Do not hesitate to send the reviewer back for more information. It is imperative that scores reflect all information we can reasonably acquire during the review.

Step 5: Week 2: Site Reviews & Observations

You will observe and go on interviews with your Reviewer, unless previous arrangements have been made with Camille Jaramillo. Meet with your Reviewer a little before your file review with the Case Manager so you can be sure everything is ready to go.

Prior to the Site Interviews:

The Reviewer is expected to have reviewed the file before the review week begins. **THE REVIEWER SHOULD HAVE COMPLETED THE DOCUMENT REQUEST FORM AND REVIEWED WITH THE CASE MANAGER** to provide him/her with that information. Remember, old information, which may directly influence the findings, may not be in the current records so the case manager may have to go to archived files. Be sure that the Reviewer has updated the list of missing documents and reviewed the received documents and updated the protocol as applicable.

During Interviews:

On Site Interviews: General

The reviewer should interview the direct support staff who work with the class member the most for both day and residential services. **PROVIDERS SHOULD HAVE BEEN INFORMED DURING SCHEDULING THAT THE INTERVIEW MUST TAKE PLACE WITH THE DIRECT CARE STAFF.** If the direct care staff is new (30 days or less) the supervisor may sit in but questions will be directed to the direct care staff. The supervisor may NOT answer questions for the direct care staff, however, they may offer additional information AFTER the direct care staff person has answered the questions asked. Be sure the reviewer notes answers that are given by the direct support staff vs. answers from supervisors or others. If the person who works most closely with the class member is not present for the interview BE SURE THE REVIEWER NOTES WHY on the protocol book. If the interview took place with someone other than the direct support staff, THE REVIEWER SHOULD NOTE ON THE APPROPRIATE INTERVIEW SECTION OF THE PROTOCOL BOOK who they interviewed, how often this person works with the class member DIRECTLY and then let the Community Monitor know.

NOTE: The reviewer should have informed the person interviewed that the results of the interview will be recorded but may not be considered as a part of the review report. If there are questions, call the Community Monitor.

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

If there are two day services (employment and community access, for example) the reviewer may have to interview two direct support day staff. If that is the case, the reviewer 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. The Reviewers have been provided with two electronic day sections of the protocol which can be filled out by the reviewer and forwarded to the Case Judge. Please be sure your reviewer provides BOTH scored sections to the Case Judge.

- Make sure they ask at the beginning of the Day 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, you know what to do and will need to coach the Reviewer so that we know why the provider has not provided the direct support staff needed for the interview.
- Also, if the direct support staff/case manager is new (less than 30 days) a supervisor may sit in but may NOT answer the questions for the staff person. Again, intervene as necessary.
- Remind them 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 Reviewer should reword it to make it simpler and understandable. You may need to do that periodically to show the Reviewer how to do this.
- Staying on time is key so move the Reviewer along as needed.

Class Member Interview

The Reviewers schedule does include time to observe the class member wherever he/she receives day and residential service supports. The class member should be present in BOTH settings... it serves little purpose for the Reviewer to observe where the class member works or where the class member lives if he/she is not there. If the class member receives a combination of day services it would be good for the Reviewer 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 Reviewer will observe the class member at work. If it is not acceptable to the class member and/or his/her employer then the Reviewer will not be scheduled to visit the work site. If the class member is unable or unwilling to respond to the reviewer's questions BE SURE THE REVIEWER NOTES that on the interview section of the profile document.

Residential Interview and Observation

- An observation of the residential site is REQUIRED. The regional office should have scheduled time to observe the individual in their home. If that was absolutely not possible, the site should still be observed even without the individual present. **Only the Community Monitor can provide an exception so please notify Lyn ASAP if there is a problem with observing the class member at home.**
- When you are in the home, be sure the Reviewer looks for all adaptive equipment and assistive technology. They need to be sure they see it, know it works 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.
- You MUST be sure the Reviewer checks the medication and fills out the information in the protocol book.

Day/Supported Employment

- If there are separate interviews of the Day and Employment staff, be sure the Reviewer scores and documents the scores separately based on the information provided. That means the Reviewer will have to fill out TWO separate scored sections for Day/Employment. Both of those sections will have to be sent to and discussed with the Case Judge.

Class Members with Immediate and Special Needs

- 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 reviewing may fall into this category CALL THE **COMMUNITY MONITOR 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 complete an incident report and file it with DOH in addition to highlighting the class member’s circumstances in the individual findings and recommendations.

“Special Attention Needs”: 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 reviewing may fall into this category notify the Community Monitor as soon as possible but not later than 24 hours from when you discover these issues and provide the information and concerns you have.

Step 6: Completing the Protocol

Completing the Protocol

- Please be SURE that there are no blanks in the protocol.
- Please be SURE that the Reviewer has reviewed all of the material provided including, for example, BOTH ISPs provided (most current and the previous ISP) and knows if they were implemented, modified as needed.
- DO NOT allow your Reviewer to add scoring options. For example, if the options provided are 0 1 and 2 the Reviewer **MAY NOT** put CND or N/A.
- You MUST be sure that your Reviewer 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 Reviewer 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 Reviewer found.
- Do NOT let the Reviewer put their personal opinion regarding what has happened, e.g., “the Team tried their best” the reviewers must relay facts.
- Do NOT let the Reviewer justify scores just because someone “told them”. They need to look for multiple sources 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 Reviewer so they are consistent.

- If #78 is scored 0, 1, or N/A, #79 is N/A, and the Reviewer should score #80.
- If #78 is scored 2, #79 is scored and #80 is N/A
- If any question (such as 39, 41, 49, 51, 130, etc) has an “a” or “b”, the overarching answer should reflect those scores; e.g., if 51a is “0” and 51b is “2”, then 51 cannot be “2”, it must be “1”.
- If #98 is No, then #99 MUST be N/A every single time.
- #78 and #146 must match – the ONLY exception is if #61 is a “no” (no ISP), then #78 is N/A and 146 is likely a “0”.
- Supported Employment: Here’s a basic guideline.
 - #124 = Yes; then 126, 127 and 128 are scored. (unless #125 = No, then 128 is N/A)
 - #125 = Yes; then 128 and 130a-d are scored

#125 = No; then 128-130d are N/A

#126 = Yes; then 124 was “yes”

WHEN A SCORE IS CHANGED – for any reason – (e.g., Case Judging, obtaining new documentation within 24 hours), **BE SURE that the justification reflects the correct circumstances.** For example, if there were assessments missing, and there the justification notes “*–no current dental, vision, H&P in file*” as justification, but the case manager acquires and provides some or all of these missing pieces of information and provides them before the 24 hour deadline the score will change to a “2”. In addition to changing the score the Reviewer must also change the justification to properly reflect the scoring.

Step 7: Writing the Individual Summary, Findings and Recommendations

Your Reviewer 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 Reviewer move from the detail to the “big picture” view of what all this information really means in terms of the quality of life this class member has. It may be helpful to start by asking your Reviewer to summarize what he/she sees as the 5 most important issues are for the class member, why and what the Team could do to most effectively correct these issues. It is also helpful to get a picture of what good things are happening, why they are important and if supports are in place to ensure they continue.

- Be sure that your Reviewer has an electronic version of the Findings and Recommendations format on his/her computer so that you can use that shell as you write findings and recommendations.
- Be sure your Reviewer 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 each individual reviewed. If there is no recommendation 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 review.
- If there is a time where there are multiple findings that all can be alleviated with the same recommendation, that should be listed as one finding with a, b, c under it – not as separately numbered instances. In other words, each finding should have a unique recommendation, and vice versa.
- Don't forget to look at old findings (from prior reviews) so that things that weren't resolved or came back up again get flagged as repeat findings/recommendations.**
- BE sure that each finding is cited with a corresponding scored protocol question, or have specific document reference information so that the finding/recommendation can be substantiated.
- Ensure that the electronic version of the Summary, Findings and Recommendations are sent to the Reviewer's Case Judge in advance of Case Judging.

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

- What was found and where;
- Why it was a problem;
- What has to be done to “fix” the problem.
 - The Recommendations must be written so that everyone knows how the recommendation is to be completed.
 - If a product needs to be developed or altered indicate when it needs to be done and why

- For example, *“Rewrite the Work/Learn Section of the ISP and related Action Plan so that it more accurately and completely identifies who is going to do what to ensure that her preferred outcomes are met.” WHY? Per Lyn’s vision and stated preferences (see ISP dated 2/23/12) Lyn loves to work with horses, which is not mentioned in either the 2011 or 2012 ISP.”*
- If an assessment was recommended but not attained, indicate **WHO** made the recommendation in **WHAT** document so the Team can go back to the source document.
For example, *Marti’s mental health assessment completed by Dr. Black on 9/25/12 indicates “she should spend every February in Hawaii to avoid her winter blues”. This recommendation is not addressed in her 10/2012 ISP. Interviews with both the residential and day staff indicate that she does not spend every February in Hawaii.*
 - If the reviewer notes a problem in day and/or residential services please indicate which one so follow up can be done. For example, *“day staff were unable to identify Lucy’s preference for salads at lunch.”*

Step 8: Case Judging

Be sure that the Reviewer knows he/she is to have the completed Protocol and written Individual Findings and Recommendations to the Case Judge by Noon the day following the site interviews and observations. If you are going to be late, please call your Case Judge as early as possible and let him/her know when to expect the book.

Also explain to your Reviewer that the purpose of Case Judging is to ensure that all facts and justifications are as clear, accurate and concise as possible. The Reviewer and the Case Judge are a Team and jointly responsible for the product produced as a result of the Review.

You should also indicate to your Reviewer that Case Judging may take a minimum of two hours but sometimes longer. They should be prepared to be Case Judged outside of normal work hours and commit whatever time is required.

As a Mentor, please check with your Reviewer’s Case Judge to see if he/she would like to have you participate in the Case Judging of your Reviewer. If the Case Judge would like to have you participate, remember NOT to answer questions for your Reviewer. If the Case Judge needs information he/she will ask you.

Step 9: Summarizing with the Community Monitor

Please be sure that your Reviewer knows that they need to contact and sign up to summarize with the Community Monitor. If possible, the Reviewer should summarize with the Community Monitor after he/she has been Case Judged. The Reviewer should allow an hour for this summation. The Reviewer and the Community Monitor will meet alone so you do not need to plan to be present for this summary.

If the review takes place during Early Bird week Case Judging and Summarizing with the Community Monitor should also take place during Early Bird week. The earlier your review summarizes with the Community Monitor the better.

Step 10: Status Summary

Be sure that your Reviewer understands what will happen at the Status Summary Meeting and what his/her responsibility is during this meeting.

- Prior to the regional status meeting the Reviewer should ensure:
 1. That COMPLETED (NO BLANKS!!!!) protocol books have been turned in/**electronically transferred** to Lyn Rucker/her designee;
 2. That any additional documents received for the class member's complete file have been turned in/**electronically transferred** to Camille Jaramillo or designee;
 3. That a note indicating that he/she agrees with the scores and content of the Protocol and Findings and Recommendations has been sent to Lyn Rucker with a copy to his/her Case Judge.
- Telephone participation in the Status Summary for reviewers and case judges will be arranged as needed, so please make sure the reviewer is aware to inform the Jackson Review Coordinator of their availability and contact information.
- Those attending should know that the Friday status review will go as late as needed to summarize all class members reviewed. We will try to have reviewers/case judges who have to travel home the greatest distances summarize first
 - The Friday status summary will begin promptly at 8:00 a.m. in an effort to complete all of the summations by 5:00 p.m.
 - Since the Regional Office will have typed copies of the DRAFT Individual Findings and Recommendations, we will review these documents together. Reviewers will be prepared to clarify what they found and answer questions.
- DRAFT individual written findings and recommendations will be available for review by Regional Office staff as early as possible during the review week. The Community Monitor sends the Findings and Recommendations to the Regional Office.
- The Reviewer should be prepared to answer questions regarding findings and recommendations.

Step 11: Evaluate the Reviewer

Using the attached evaluation form, please evaluate your Reviewer. You will also meet with the Community Monitor to summarize your view of the Reviewer's performance. Be prepared to indicate what additional supports you would recommend for your Reviewer if you feel he/she is not ready to conduct a Review on his/her own.

PLEASE NOTE: Some questions are weighted and are worth more than 5 points. Please be sure to score those appropriately.



2014 Community Practice Review

REVIEWER'S PERFORMANCE EFFECTIVENESS FEEDBACK

Jackson v. Ft. Stanton

Reviewer's Performance Effectiveness Feedback

(Ratings of effectiveness in applying knowledge, methods and techniques required of Reviewers and Case Judges)

This is an evaluation of (name): _____

The person completing this evaluation of the above named person is (name): _____ as a (circle one) Mentor or Case Judge
 (New Reviewers are rated by their Case Judge and their Mentor)

Date evaluated : _____

Rating Scale	Description of Performance
10 to 15 Points	Please note that some questions are weighted and are to receive MORE points. Be sure score these appropriately.
5 Very High	Performance consistently exceeds expectation or requirement; or Reviewer/Case Judge sets the standard for others, is a role model for others, and is sought out by others as a resource.
4 High	Performance consistently meets and usually exceeds expectation or requirement. Exhibits real strength and competency in the applicable area.
3 Good	Performance routinely meets expectation or requirement. Performance is solid in the applicable area with the occurrence of mistakes or errors being very rare or not critical to overall performance of the required task.
2 Needs Improvement	Performance is mixed or inconsistent in meeting the applicable requirement or expectation. Improvement is needed to fully meet expectation of required task.
1 Marginal/Unsatisfactory	Performance did not meet expectation or requirement. Is consistently weak or unable to meet expectations in applicable area. Immediate, substantial improvement/correction is required or continued use as Reviewer/Case Judge is in question.

Performance Expectations for Reviewers	Scored by Case Judge	Scored by Mentor	Reviewers Possible Score	Final Score
#1. Reviewed individuals as assigned.				
A. The Reviewer completed a review for the Class Member assigned to him/her by noon on Wednesday and passed their protocol book to their Case Judge.			5	
#2. Initial record review is conducted and General Information Section of the protocol book is completed. Comprehensive completion of the Audit Protocol Book is required.				
Question: I received copies of the most current ISP and Assessments the Monday preceding the Audit start date. ___ Yes ___ No If no, when did you receive these materials? _____				
A. The Reviewer completed the General Information Section of the protocol book prior to arriving for the Training Monday morning.			5	
B. The Reviewer conducted a thorough record review.			5	
C. If the Reviewer was unable to find the records needed, he/she notified the appropriate Regional Staff Manager of any missing information the Wednesday prior to the Training Review Start and appropriately completed the Document Request Form to be sure of complete information gathering.			5	
D. The Reviewer emphasized issues by notifying the Mentor/Case Judge and by highlighting issues in their Protocol Book.			5	
E. The Reviewer accurately and completely filled out the Protocol Book in line with directions.			5	
#3. Additional record reviews were conducted as needed.				
A. The Reviewer conducted additional record reviews, interviews or observations in order to ensure that he/she rendered informed and accurate ratings.			NOTE: 10 pts	

Performance Expectations For Reviewers	Scored by Case Judge	Scored by Mentor	Reviewers Possible Score	Final Score
#4. Interviews are conducted with the person, the direct support staff, available guardians, the case manager and appropriate providers.				
A. The Reviewer conducted interviews with the person, the person's case manager, available guardian and, if the person receives services, representatives of those service providers.			5	
B. If the person has special sensory and/or physical needs the Reviewer also interviewed other specialty providers (e.g., therapists, nurses) or consulted with the Clinical Advisor assigned to the Team, as needed.			5	
C. When needed, the Reviewer requested and participated in a consultation with available Clinical Advisors.			5	
#5. Observations are made of individuals in day and residential services.				
A. The Reviewer conducted an observation in each of the <u>day service</u> sites of the individuals reviewed, including Day Hab and Employment sites, where appropriate. The Reviewer requested copies of the Participant's actual daily schedule , and if that was not available, the Reviewer asked for a verbal and time sequenced outline of what a typical day is like for the Participant.			5	
B. The Reviewer conducted observations in the person's <u>home</u> . The Reviewer requested copies of the Participant's actual daily schedule , and if that was not available, asked for a verbal and time sequenced outline of what a typical weekday and weekend is like for the Participant.			5	
C. The Reviewer interviewed available direct support staff and others in an effort to get to know more about the individual's life, gather missing information and day-to-day practice information.			5	
#6. All evidence is considered prior to rating and conclusions are documented clearly.				
A. The Reviewer gathered enough information to render an opinion that was based on sufficient, competent, relevant information or evidence.			NOTE 10 pts	

Performance Expectations For Reviewers	Scored by Case Judge	Scored by Mentor	Reviewers Possible Score	Final Score
B. If there was reason to doubt, the Reviewer took measures to authenticate the evidence or to report possible limitations of the evidence.			NOTE 10 pts	
C. The Reviewer's working protocols reflect the details of the evidence relied upon and show how it was obtained or derived. The documentation for each rating the Reviewer provided contained sufficient information to promote an adequate understanding of matters reported and to provide a convincing, but fair, presentation in proper perspective.			NOTE 10 pts	
D. The Reviewer stated conclusions or concerns directly rather than leaving them to the inference of the reader.			NOTE 10 pts	
E. The information the Reviewer provided in the protocol book met the tests for sufficiency, relevance, conciseness, objectivity, adequate support, and was accurate, complete and fair.			NOTE 10 pts	
F. As a Mentor or Case Judge you would feel confident and assured to defend this protocol ratings, rationale and documentation.			NOTE 15 pts	
#7. Due professional care and sound professional judgment is used in conducting and documenting the rationale for ratings.				
A. The Reviewer was alert to and, if needed, reported situations or actions that could be indicative of abuse, neglect, insensitive care, unnecessary restriction, inefficiency, waste, or ineffective or harmful treatment.			NOTE 10	
B. The Reviewer reported and took action, if necessary, to remedy any situation observed or reported to me that posed an immediate threat to the health or safety of a person.			NOTE 15 or N/A	
C. Throughout the record and interviews, the Reviewer was mindful of whether culture and cultural competencies had implications in the life of this person. Any discrepancies found across records, observations, and/or interviews should be documented by noting clearly the sources and information that appears discrepant.			5	
D. The Reviewer tried to be sure that specific (clinical) decisions were made by a professional who is licensed, credentialed or otherwise recognized as qualified or who is experienced in the area of professional work identified.			5	

Performance Expectations For Reviewers	Scored by Case Judge	Scored by Mentor	Reviewers Possible Score	Final Score
E. The Reviewer tried to determine whether decisions made were within the realm of the professional's expertise and not invading the province of the treatment team as a whole.			5	
F. The Reviewer tried to determine whether decisions made were unrelated to administrative, fiscal or other non-clinical considerations.			5	
G. The Reviewer tried to determine whether decisions and services were based upon documented direct observation of persons served and accurate historical background information, except in emergency situations.			NOTE 10 pts	
H. The Reviewer tried to determine whether decisions and services were 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.			NOTE 10 pts	
#8. Ratings are completed in line with protocol rating instructions.				
A. The Reviewer thoroughly and completely scored the questions in the protocol book.			NOTE 10 pts	
#9. Written Communication				
A. The Reviewer's written skills show ability to effectively communicate in a clear, logical and detailed manner as can be seen in the justification notes and recommendations contained in the protocol books.			NOTE 10 pts	
B. The Reviewer utilized the <i>Document Request Form</i> , when applicable, the <i>Record Completion and Tracking Form</i> was completed appropriately and "checked out" with Lyn Rucker/her designee as required.			NOTE 15 pts	
Score summary				
Total Possible Score			235	
Score Received				
% Total				