Jackson Community Practice Review

Reviewer's Guide

Welcome! Benviendos, Aloha!

As a Community Practice Reviewer 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 roles and responsibilities as a Reviewer. In addition, this guide is intended to summarize some of the tasks and timelines that we collectively know need to happen in order to adequately support you and for the Review to be completed accurately and timely.

Please review this carefully and <u>bring a copy of this guide to training and to each review (the copy can be on your computer rather than hard copy)</u>.

As a reviewer, it is critical that you have read, understand, and remember the instructions in this guide BEFORE onsite training.
If you have any questions, please contact your assigned mentor, Lyn or Paula.

Community Monitor's Contact Information: Lyn Rucker, e-mail: RPALR@q.com

Paula Bigham, e-mail: paulathebigham1@yahoo.com

Office: 785-258-2214 (If she is not in, please leave your information with David or Paula.)
Cell: 785-366-6468

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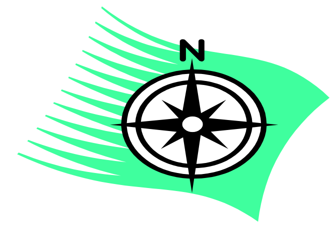
General Guidelines for Reviewers



This Guide will provide instructions on the review process, how to fill out the protocol and what you should consider when scoring each question. If you have questions during the training, please ask your mentor, Case Judge or the Community Monitor. If you are on an actual review, please call the Case Judge first. If it is something that you and your Case Judge 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 insure that you answer ALL questions in the scoring section. You must use one of the listed options. 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 Protocol Document:

- The **Class Member,**
- If the class member has a guardian, this person's **Legal Guardian,**
- 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, and
- The **direct support professional / support staff person from the residential agency** who best knows and works most closely with the person, and
- All Therapists who serve the class member as well as the individual's nurse.

You must observe each class member, in both the day and residential settings.

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

You must insure 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 insure that the protocol book reflects the details of the evidence that you have relied upon.

You must insure 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 prudent person to the same conclusion as the Reviewer. Determining sufficiency requires good judgment. There is no need to provide elaborate documentation to support non-controversial matters; however, you should provide sufficient evidence to support your conclusion(s).
- **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 the 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 you are reporting. Too much detail may conceal the primary message and 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. This aim is to produce a report that is fair, not misleading, and which places primary emphasis on the matters needing attention.
- **Accuracy, Completeness, Fairness.** Procedures should be applied to produce a document that contains no errors in fact or reasoning.

You must insure 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; this will be provided during training.

☐ You must have a ***laptop and power cord!!*** All seven sections of the Protocol must be filled out on your computer and saved to DropBox/Sookasa.

☐ A GPS is handy, if you have one, for the on-site visits. It is also recommended that you bring a thumb drive or a portable hard drive to back up your work.

- ☐ 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 and become comfortable with using WebEx, Therap, DropBox and Sookasa prior to the onsite training. If you need assistance, contact Paula Bigham in the Community Monitor’s office.
- ☐ You must insure that your current contact information is correctly included in the review contact list prior to each review. You must be able to contact your case judge for consultation and also know how to use Web-Ex for case judging and Therap for communication with the consultants, the region and your case judge. Again, training will be provided, but Paula Bigham is the contact person if you have any difficulties.

Step 2:
Organize and Thoroughly Review EACH Class Member’s File

1. **At least fourteen days** prior to the day your on site reviews begins, you should receive notification that the file for the class member you are reviewing is available in Sookasa. You may want to print a few documents such as the last two ISPs, CARMP, 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 Sookasa 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 an **ELECTRONIC PACKET** will be available to you in Dropbox and person’s file in Sookasa. It contains:
   a. A blank Document request form, (Dropbox)
   b. An electronic protocol (Dropbox)
   c. Contact information for case judges and reviewers (Dropbox)
   d. Previous CPR findings and Recommendations; (Sookasa)
   e. Any additional person-specific information DDSD has provided to the Community Monitor (Sookasa), and
   f. An electronic review schedule. (Dropbox)

As you access any blank form, please open it, rename it, and file it in the person’s file on Sookasa. That way, there will always be a clean, blank form available for everyone to use.

Organize the file

There is a document in the Resource File which identifies documents that DDSD is responsible for producing in preparation for the CPR. It is titled "List of Documents to be Provided." These documents are requested in advance and will be in the individuals file in Sookasa, where they will be available to both you and your Case Judge. This is also a guide in terms of who is responsible for having a copy of the identified document. This is important information for knowing who to ask for missing documents. The location of the document is detailed in a document entitled "CPR File Document Organization List…" and it is found in the Resources/Training files. If you use this document as a checklist, please copy and paste it into the Sookasa file for the class member.

Once you have access to files, it is IMPERATIVE that you begin reviewing them. The purpose of the review is threefold:

1. You must become familiar with the person you are assigned to review, including their preferences, personal circumstances, ISP, medical needs, etc. You need to determine questions that are unanswered by the documents alone, so you can ask them of the appropriate staff during interviews.
2. You must identify any relevant documents which are missing and which are needed to answer questions that arise.
3. You must begin adding information from the documents to the protocol.

If the review of the file is systematic, you need look at the document only one time, although you can always go back to it if you need further information.

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 the front of the protocol. (Section 1). Don't forget to note and add any diagnoses that are mentioned to the diagnosis table. To add lines to any table in the protocol, place your cursor to the far right of the last column, press enter and a new line will be added. (You may also begin to develop the Description of the Person and Findings and Recommendations based on your document review. These will not be completed until after the review, but a good deal 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. For Case Managers, Day Staff and Residential Staff add them to the section of the protocol where it asks for "Items to Verify or Request." For therapists, nurses, etc, add it to the matrix in Section 1 for the appropriate discipline.

- If there are any recommendations, list them in the first section of the protocol so that you can determine if they have been addressed or not as you go through the file.

- Add information (using the +/- system) to protocol questions in the related areas. For example, assessments are noted in Section 6, the ISP can be almost completely rated in Section 6, etc. Add only justifications. You cannot score until data is obtained from interviews and observations as well.

- Check it off your list.

- 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, located in the DropBox Resource file. HOWEVER, there may be documents you need that are NOT on this 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. You must also contact your Case Judge prior to sending in the Document Request to make sure that any documents they wish to receive are included.

- Arrange a tentative time with your Case Judge to review all of the protocol sections and the findings and recommendations. This time will be predicated on having the Protocol and Findings and Recommendations completed by noon Mountain Time the day following the on-site observations, and allowing time for the Case Judge to review completed files.

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).

Case Manager Interview **(This interview will be scheduled by the Regional Office and listed on your schedule):** You will interview the case manager assigned to the class member(s) you are reviewing. You will conduct this interview via telephone the week 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.

Guardian Interview **(This interview will be scheduled by the Regional Office and listed on your schedule, if applicable):** You will conduct this interview via telephone the week prior to the On-Site Review.

Nurse Interview: (**An interview with the nurse will be scheduled by the Regional Office and listed on your schedule.)** You will conduct this interview via telephone the week prior to the on-site review. "Core" questions have been developed as a guide for the reviewer; HOWEVER, it is more important for the Reviewer and Case Judge to discuss and for the reviewer to ask person-specific questions for the nurse and therapists. You are allowed to ask your specific, class member related questions in lieu of the "core" questions.

Therapist Interviews: You will be provided e-mail addresses and contact phone numbers therapists/ancillary providers that provide services to the individual. As you read the file and prepare for your phone interviews, prepare your list of questions for the therapists. Ensure that you have asked your Case Judge if they

have identified anything that needs to be asked. The Reviewer is responsible for scheduling the interviews with the therapists. It is suggested that you contact the therapists via email to set up the actual interview, but do NOT include any specific questions or confidential information in the e-mail. The purpose of these interviews is to clarify information or answer specific concerns regarding therapy and/or health issues, at minimum, ask the questions provided in Protocol #1.

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. 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 and residential staff as scheduled.
3) 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.
4) 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.
5) If you observe, or are told, about a situation which might place the class member in immediate jeopardy, please notify your case judge and the Community Monitor immediately! 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.

Direct Support Professional Interviews (**These interviews will be scheduled by the Regional Office and listed on your schedule)** and they will take place during the week of the onsite review*)*: You should interview the direct support staff who works with the class member the most for both 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. <u>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</u>. If the direct support staff is new (30 days or less) his/her supervisor may sit in during the interview 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 the Community Monitor know that you were unable to interview staff assigned to the class member.

<u>If there are two day services (customized integrated employment and customized community supports, for example) the reviewer will interview two direct support day staff. The reviewer should fill out two separate day interview sections and indicate who was interviewed</u>. The scores for day may also be different depending on what is discovered during the two interviews. <u>PLEASE be sure to send the additional interview and scoring sections to the case judge when the rest of the protocol is sent.</u>

Class Member Interview: 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.
FOLLOWING THE REVIEW

All sections of the protocol along with the Findings and Recommendations MUST be completed no later than 12 noon Mountain Time, the day following the actual on-site review. For example, if you do your on-site reviews on Monday, you must complete and pass to your Case Judge your protocol, Findings and Recommendations by Tuesday Noon.) As you complete EACH protocol section, please pass them to your Case Judge so he/she can begin reviewing each completed section well in advance of Case Judging.

1) Complete the scoring of each section:
   a) As you complete each section, assure that you are using the (+/-) system to justify your scores. Notify your case judge via Therap SComm as each section is completed.
   b) Once you have notified the CJ that it is complete, DO NOT REOPEN OR CHANGE THE FILE. If you think of something that should be revised, write it down and it can be changed during case judging.
2) Complete the Findings and Recommendations. These should be based on the scores in the Protocol. There does not need to be a Finding/ Recommendation for every score of "1" or "0", but all major issues should be addressed. Some may be combined. Be sure that you note in each Finding the number of the question in the protocol document that resulted in the Finding and its subsequent recommendation. There may be multiple questions noted.
3) Take a break until time to case judge! You will need it!
4) Connect to WebEx for your case judging session. If you are calling from a hotel, use the option to call in to WebEx on their toll-free number. WebEx cannot call you back on the hotel landline.

5) Once case judging is complete, your Case Judge will notify you to review all changes made and make certain that you are in agreement. Note: all major changes and most edits will be made during the actual WebEx session. However, there may be minor edits to the Findings and Recommendations by your Case Judge, Paula Bigham, and/or Lyn Rucker as the document goes through the review process. These may be made to clarify, correct spelling or grammar or reduce redundancy.
6) 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 for your e-mail source to assure confidentiality. DO NOT CHANGE THE FILE.
7) Schedule time to debrief with Lyn Rucker. You must fill out your "Monitor's Questions to Reviewers" form and return to the Community Monitor in advance of your debrief with her.
8) You will be asked to join a conference call during the Status Summary meeting with the Regional Office in case there are any questions about your Findings and Recommendations. The date and time of this call will be provided to you in advance.
9) You MAY be asked to sit in by telephone during the Community Monitor's meeting with the class members team. She will notify you if this is necessary.

JUST FYI

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 that you are responsible for.

- Once the Protocol and Findings and Recommendations have been agreed upon, your Case Judge will copy the scoring and justifications from the Supported Employment, Behavior Supports and Adaptive Equipment sections onto separate templates and send them to the designated experts in these areas for their consideration.
- You MAY receive a telephone call or Therap SComm from any of these experts to request further information or to recommend changes. This should be documented in Therap SComms, with copies to your Case Judge, Lyn and Paula. When agreement is achieved, notify Paula Bigham and the Community Monitor that you have reconciled any differences.
- Paula Bigham and the Community Monitor must review the documentation.
- You must complete the questions that go to the Community Monitor and send them to her as quickly as you are done with Case Judging. Obviously, you can fill those questions out in advance of Case Judging and send them once you are sure there are no changes.
- The Community Monitor will have a separate phone call with you to review the Monitor's Questions to Reviewers form and to debrief with you.
- Following that, the final edits must be made and a copy of the Findings and Recommendations submitted by the Community Monitor to the Regional Office for their review.

- The Regional Office will review the Findings and Recommendations and will seek to find additional information, if available, or will formulate questions to clarify the Recommendations.
- On the Thursday following the on-site review, the Community Monitor will meet with staff from the appropriate Regional Office to review the Findings and Recommendations. You will be notified of the schedule and will be asked to be on the phone to answer any questions.
- Changes may be made to the Findings and Recommendations based on review with the Regional Office.
- Once those changes are made, the Findings and Recommendations will be forwarded to the class member’s team.
- A meeting will be scheduled for the team to ask questions and provide the Community Monitor with information regarding what action has been taken since the on-site portion of the review. It is possible, but not probable, that you will be asked to participate by phone in these meetings. Changes may be made to the Findings and Recommendations. For example, the team may agree that the Finding is accurate but propose a different Recommendation to address the Finding. They may present additional information which would result in the deletion of the finding.
- Final changes, based on the team meeting, will be made to the Findings and Recommendations.
- Follow-up by the Regional Office will take place to assure that problems have been resolved.