Individual Quality Review

2018 Reviewer's Guide

Welcome!

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

As a reviewer, it is critical that you have read, understand, and remember the instructions in this guide BEFORE Class Room Training which is scheduled for January 30 and 31st, 2018. If you have any questions, please contact your assigned mentor or Lyn Rucker at rpaltd@aol.com, 785-258-2214 (office), 785-366-6468 (cell) or Paula Bigham at paulathebigham1@yahoo.com, 785-258-2214 (office), 785-258-0229 (cell).

You can use these links to navigate within this Reviewer's Guide as needed:

Expectations of Reviewers and Case Judges

To: Potential and Existing Reviewers and Case Judges

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

Expectations	Practice Details
1. Review individuals as assigned.	Each Reviewer will be scheduled to review an identified number of people during a given review. A "review" includes record review, interviews, observations, and completion of the protocol consistent with instruction and guidelines. All records and case specific information are confidential.
2. Initial record review is conducted and Section #1: General Information of the protocol book is completed, to the extent possible, prior to review start date. Comprehensive and timely completion of the Review Protocol is required.	For each assigned Class Member, the Reviewer will begin the process with a record review that focuses on the documentation for, at least, the past year. If a more extensive review is required, reviewers should request materials needed to be sure your conclusions are as accurate as possible. Each Reviewer should expect to receive copies of the last two Annual ISPs and related documents and assessments, at least, 14 days before the review start date. You are expected to read this material in advance of any interviews. You are also expected to complete the General Information Section of the protocol book based on the records you have received prior to starting your review. You should also complete the 'items to verify or request' made available for you in the Case Management, Day and Residential interview sections of your protocol book. You should have notified the appropriate Regional Staff Review Lead and Paula Bigham, Monitor's Office, of any missing information the Wednesday prior to your first interviews. BE SURE that you complete the Document Request Form on ALL missing documents or information for which you ask. All Reviewers have the responsibility to accurately and completely fill out the Protocol Book in line with instructions provided. Case Judges have the responsibility to discuss the information gathered with the Reviewer thoroughly in an effort to fairly, accurately and completely judge the Reviewer's findings.
3. Additional records reviews are conducted as needed.	If Reviewers/Case Judges have reason to believe that additional information is required in order to render an informed rating, it is your responsibility to ask for the information you are missing by completing and submitting the Document Request Form and request the additional information through the designated DDSD contacts. If you are requesting information over the phone with an IDT member directly, complete the Document Request Form and note the method of inquiry.
4. Interviews are conducted	The Reviewer will conduct an interview with the class member, direct support professionals who know the class member best, available guardians, the class member's case manager, Nurse, BSC and Therapists serving the individual. These interviews will be scheduled by the DHI IQR team administrative staff, and will be either via telephone prior to the on-site review, or be on-site in conjunction with observations.

Expectations	Practice Details
	Case Judges are expected to request information from Reviewers to ensure all appropriate information has been gathered and interviews have taken place. If information used to make scoring decisions is unclear, Case Judges are expected to ask Reviewers to seek additional information.
5. Informed by your file review and interviews, you observe the class member in day and residential services.	The Reviewer will observe the class member in his/her day service site(s) and in his/her home. During these observations the Reviewer will also interview direct support professionals as scheduled. Observations offer an opportunity to get to know more about the individual's life, perspective and needs. It allows you to seek out missing information, perspectives, outcomes, barriers and observe day-to-day practice. It enables the reviewer to observe whether or not: equipment is present and used as recommended; staff follow the CARMP, HCPs or Positive Behavioral Support Plans; and whether or not intervention strategies are effective. It also enables the individual and staff the opportunity to share what is working and what may be challenging. The interviews provide you an opportunity to ***request information about the class member's actual daily schedule.***
6. All provided evidence is considered prior to rating and conclusions are documented clearly.	Reviewers and Case Judges are selected because of their ability to render professional judgement in regard to the quality and adequacy of community programs for persons with I/DD. The Reviewer and the Case Judge are responsible for gathering enough information to render conclusions based on sufficient, competent, relevant information or evidence. The Reviewer and the Case Judge will make judgments as professionals qualified to participate and provide conclusions regarding the interdisciplinary process. **If there is reason to doubt**, the Reviewer and the Case Judge should take measures to authenticate the evidence or to report possible limitations of the evidence. Sufficient, relevant information is to be obtained and recorded as a basis for the Reviewer's and Case Judge's findings, conclusions, judgements and scoring. The Reviewer is responsible for accumulating and using evidence to provide a factual basis for reporting. Evidence to support a Reviewer's findings may be of four types: 1. **Physical evidence** obtained through direct observation, such as the Class Member's having needed equipment; 2. **Testimonial evidence** obtained through interview. For example, asking someone to explain how a person's preferences were determined; 3. **Documentary evidence** which consists of assessments, ISP's, schedules, records, physician's orders, etc.; 4. **Analytical evidence** secured by comparative or deductive analysis from several pieces of evidence the Reviewer has obtained. An example would be comparing or contrasting the same data secured from different sources. The Reviewer's working protocols must reflect the details of the evidence relied upon and must show how it was obtained or derived. Use the following guide as a part of your "test" to determine the adequacy of the evidence you have gathered/reviewed. **Sufficiency.** Sufficiency is the presence of enough factual, adequate, and convincing evidence to lead a person to the same conclusion as the Reviewer. Determining sufficiency requires good judgment. There is no need for elaborate documentation to support non-controversial matters; however, the Reviewer should provide sufficient evidence to support his/her conclusions. **Relevance.** Relevance refers to the relationship of evidence to its use. Facts or opinions used to prove or disprove an issue should have a logical, sensible relationship to that issue. Information that does not have this relationship is irrelevant and should not be used to prove or

Expectations	Practice Details
	disprove a point. **Conciseness**. A report should be no longer than necessary to communicate the information the Reviewer is reporting. Too much detail may conceal the primary message or discourage readers. **Objectivity**. Findings should be presented in an objective and unbiased manner and should include sufficient information to provide readers with a proper perspective. The aim is to produce a report that is fair, not misleading, and which places primary emphasis on matters needing attention. **Adequate Support**. All ratings in the Reviewer's report should be supported by enough objective evidence in the working protocols to demonstrate their accuracy and reasonableness. Reviewer's must use the + and – system of documenting the justification for their ratings. **Accuracy, Completeness, Fairness.** Procedures should be applied to produce a document that contains no errors in fact or reasoning. The need for accuracy is based on the need to be fair and impartial in reporting to insure report reliability. One inaccuracy can cast doubt on the validity of an entire report and divert attention from the substance of the report. The documentation for each rating should contain sufficient information to promote an adequate understanding of matters reported and to provide a convincing, but fair, presentation in proper perspective. If the Reviewer has conclusions or concerns he/she wants readers to know about, he/she should **state them directly** rather than leaving them to the inference of the reader.
7. Due professional care and sound professional judgment is used in conducting the review and in documenting the rationale for ratings.	**Professional Judgement Standard** This standard places upon a Reviewer and Case Judge the responsibility for employing high professional standards in performing the review. Exercising due professional care means using good judgment in applying review procedures, being accurate and factual in reporting and writing the rationales for each rating. The quality of review work is related to: procedures properly applied by competent persons; findings and conclusions based on objective use of pertinent facts; and critical supervisory review at every level of the work done; and of the judgment exercised by those participating in the review. Due professional care imposes on the Reviewer the requirement to be **alert to and report** situations or actions that could be indicative of abuse, neglect, exploitation, insensitive care, unnecessary restriction, ineffective or any harmful treatment. The Reviewer is not responsible for internal quality assurance. Due professional care also requires the Reviewer to be **alert to and report** any situation observed that poses an immediate threat to the health or safety of a class member. If possible, ensure that actions necessary to secure the safety of the class member have been taken. Throughout the record review and interviews, the Reviewer should consider whether culture and cultural competencies have implications in the life of this class member. Any discrepancies found across records, observations, and/or interviews should be ***documented by noting***

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

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

Experience and Qualifications

- Reviewers are required to have at least 10 years' experience working with people with intellectual and other developmental disabilities;
- Case Judges are required to have at least 15 years' experience working with people with intellectual and other developmental disabilities;
- Reviewers and/or Case Judges with clinical licenses/certifications can exchange experience post license year-for-year including work with other populations;
- Extensive knowledge and experience regarding the philosophical foundation of these services, quality of life indicators, comprehensive supports and services needed by people with intellectual and other developmental disabilities is required, as well as very strong attention to accuracy and detail;
- Exceptions to these requirements could be approved by the Community Monitor.

General Guidelines for Reviewers

This Guide provides instructions on the review process, how to fill out the protocol and what you should consider when scoring identified questions. If you 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. For DHI Reviewers, after you contact Lyn Rucker or Paula Bigham, please also inform your supervisor.

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

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

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

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

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

You must observe each class member eating a meal or snack at both day and residential locations.

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 workbook reflects the details of the evidence that you have relied upon.

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

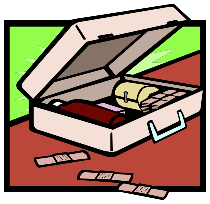
- **Sufficiency.** Sufficiency is the presence of enough factual, adequate, and convincing evidence to lead a person to the same conclusion as the Reviewer. Determining sufficiency requires good judgment. There is no need for elaborate documentation to support non-controversial matters; however, the Reviewer should provide sufficient evidence to support his/her conclusions.

- **Relevance.** Relevance refers to the relationship of evidence to its use. Facts or opinions used to prove or disprove an issue should have a logical, sensible relationship to that issue. Information that does not have this relationship is irrelevant and should not be used to prove or disprove a point.
- **Conciseness**. A report should be no longer than necessary to communicate the information the Reviewer is reporting. Too much detail may conceal the primary message or discourage readers.
- **Objectivity**. Findings should be presented in an objective and unbiased manner and should include sufficient information to provide readers with a proper perspective. The aim is to produce a report that is fair, not misleading, and which places primary emphasis on matters needing attention.
- **Adequate Support**. All ratings in the Reviewer's report should be supported by enough objective evidence in the working protocols to demonstrate their accuracy and reasonableness. <u>Reviewer's must use the + and – system of documenting the justification for their ratings.</u>
- **Accuracy, Completeness, Fairness.** Procedures should be applied to produce a document that contains no errors in fact or reasoning. The need for accuracy is based on the need to be fair and impartial in reporting to insure report reliability. One inaccuracy can cast doubt on the validity of an entire report and divert attention from the substance of the report.

You must 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 <u>state them directly</u> rather than leaving them to the inference of the reader.

Step 1: Organize Your Tool Kit

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



☐ You must have a ***laptop and power cord!!*** All sections of the Protocol must be filled out on your computer and saved to Sookasa (rpa reviewers) or your I: Drive if a DHI Reviewer.

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

☐ It is critical that you be able to <u>*receive and transmit files electronically*</u>. Please test to be sure you can receive and transmit files BEFORE you begin a review or come to training. This means that you need to have downloaded, are comfortable with using WebEx, Word, Therap SComm, (<u>DropBox and Sookasa</u> for rpa reviewers) prior to the onsite training. If you need assistance, contact Paula Bigham in the Community Monitor's office. DHI Reviewers should contact their supervisor for guidance

☐ You must insure that your current contact information is correctly provided 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, Word for the IQR Protocol and SComm 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. When you experience problems, call her right away, at any time. Do NOT wait, she will help you get the problem resolved quickly.

Step 2: Thoroughly Review EACH Class Member's File

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

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

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

File Organization

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

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

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

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

  You may also begin to develop Findings 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. Protocol Section #2 includes Nurse, PT, OT, SLP, BSC interviews; Section #3 includes Case Manager interview; Section #4 includes Employment/Day staff interviews; Section #5: includes Residential staff interview; and Section #6 includes Individual and Guardian interviews.

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

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

- If you are missing any of the listed documents, assuming that they are applicable to the person you review, you MUST complete a Document Request Form. There may be documents you need that are NOT on the original document production list. It is acceptable to request those as well. For example, there may be references to an important assessment that took place prior to the dates usually requested. You can request ANY document you feel would make your review more complete and accurate. 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.

- Contact your Case Judge and agree to a time when you plan to send your protocol and/or protocol section(s) to him/her. Also, arrange a tentative time when you are going to Case Judge and let Paula/Lyn know. There are assigned dates on the calendar when Case Judging MUST be done but sooner is always welcome!

Step 3: Phone Interviews

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

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

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

Nurse Interview: You will conduct this interview via telephone prior to the on-site review. Interview questions have been developed as a guide for the reviewer; HOWEVER, it is 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 to ask your specific, class member related questions in addition to the listed questions.

NOTE: the definition of Health Care Coordination as well as expected Roles and Responsibilities are provided in the Reviewers and Case Judges folder in Sookasa. In some cases there will be two nurse interviews, the Employment/Day Provider nurse and the Residential Provider nurse. If needed, an additional copy of the nurse interview questions has been provided to rpa and DHI reviewers with the protocol templates.

Therapist/BSC Interviews: You will conduct this interview as scheduled. Interview questions have been developed as a guide for the reviewer; HOWEVER, it is 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 to ask your specific, class member related questions in addition to the listed questions.

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. If you believe documents, assessments or recommendations are missing, note it on the Document Request Form and **ASK FOR THEM**.

Step 4. ON-SITE INTERVIEWS/OBSERVATIONS

1) There will be a schedule that identifies the times and locations of observations and interviews in the file of the individual you are reviewing. Please note these and be prepared to travel to the locations. Please check travel times so that you are respectful of others' time and are not late.
2) Conduct on-site interviews with day, residential and supported employment (if indicated) staff as scheduled. There are times when the direct support professional listed on the schedule, is not available when you arrive on-site. You will need to be flexible and interview the direct support professional made available by the provider agency.
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. If you request documents directly during your interviews, you must provide a copy of the received documents to Paula Bigham.
5) If you observe, or are told, about a situation which might place the class member in immediate jeopardy, please be sure the individual is safe first, then notify your case judge and the Community Monitor! If you are on site and the class member is in immediate jeopardy, do NOT leave until a supervisor is called and the class member protected.

Abuse, Neglect and Exploitation Reporting

- If you observe, read about or are told about a situation which should have been reported but was not, you must notify the agency that a report should have been filed and invite them to do so. Regardless of whether they report or not, you are required to report and should do so by calling: 1-800-445-6242. If you have any questions, call the Community Monitor (785-366-6468).

- The New Mexico Administrative Code (NMAC 7.1.14) addresses specific regulations for Community Providers. If you look to see if providers are following the ANE Reporting rule, NMAC requires providers to submit the Incident Report (IR) and Immediate Action and Safety Plan within 24 hours of their report to the hotline.
- For more information regarding Abuse, Neglect and Exploitation reporting go to: https://nmhealth.org/publication/view/guide/2188/

Direct Support Professional Interviews: These interviews will be scheduled by the DHI and listed on your schedule. They will take place during the onsite review. You should be interviewing the direct support staff who works with the class member the most and knows them best for each of the day and residential services. Be sure to ask the person you interview if they are the person ASSIGNED to work with the class member DAILY. PROVIDERS SHOULD HAVE BEEN INFORMED DURING SCHEDULING THAT THE INTERVIEW MUST TAKE PLACE WITH THE DIRECT SUPPORT STAFF ASSIGNED TO AND WHO WORKS MOST CLOSELY WITH THE CLASS MEMBER. If the direct support staff wishes to have his/her supervisor sit in during the interview, they can but questions will be directed to the direct support staff. The supervisor may NOT answer questions for the direct support staff; however, they may offer additional information AFTER the direct support staff person has answered the questions. Be sure to note answers from the direct support staff vs. answers from supervisor or others. If the person who works most closely with the class member is not present for the interview **FIND OUT and record WHY in the protocol book.** Conduct the interview with the person the provider has assigned, find out who they are, how often they work with the class member DIRECTLY. Then, let the Community Monitor know that you were unable to interview staff assigned to the class member.

If there are two day services (supported employment and adult day habilitation, for example) the reviewer will interview two direct support day staff. 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. There will only be one score for each question related to day services; scores for the appropriate questions will be determined by considering both interviews. PLEASE be sure to send the additional interview sections to the case judge when the rest of the protocol is sent. (A second copy of the Day interview questions can be provided, if it isn't already in your protocol folder.

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

Step 5. FINISHING THE REVIEW

All sections of the protocol along with the Findings and Recommendations letter MUST be completed and submitted to your Case Judge at a time agreed by the two of you – but – Case Judging MUST be completed and the final Protocol sent to the Community Monitor by the date indicated on the Calendar. For example, if you do your on-site reviews on Tuesday May 15, 2018, the entire Protocol and Findings and Recommendations must go through Case Judging and be sent to the Community Monitor by Friday, May 18th.

Until the Reviewer is done with each protocol section and sends it to his/her Case Judge NO ONE can enter anything into the protocol section but the Reviewer.
Once the reviewer passes a protocol section to the Case Judge NO ONE but the Case Judge can enter anything into that protocol section. The Case Judge can "look" at the protocol sections at any time prior to case judging in an effort to see what information has been gathered and recorded. However, NO information can be entered by anyone but the reviewer until the reviewer is done entering information and passes the Protocol to the Case Judge.

Once the Case Judge passes all the protocol sections to the Community Monitor NO ONE but the Community Monitor can enter anything into the protocol.

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

1) Complete the protocol by filling in every blank in EVERY section of the IQR Protocol or by checking the N/A box if a section of the protocol is not relevant to this person's specific IQR:
   a) As you complete the scoring section, be sure that you have used the (+/-) system to indicate where you have facts which provide positive or negative evidence of meeting the Outcome/Indicator. Notify your case judge as each section is completed.
   b) Once you have notified the CJ that a section is complete, DO NOT REOPEN OR CHANGE THE DOCUMENT. If you think of something that should be revised, write it down and it can be changed during case judging. For DHI Reviewers, you will send that section of the protocol to your case judge via SCOMM.
2) Complete the Findings and Recommendations. These should be based on the findings from information/scores you have documented in your Protocol. There does not need to be a Finding/ Recommendation for every score of "No", "3", "2", "1" or "0", but all major issues should be addressed. Some may be combined. Be sure that you note in each finding the related **SCORED** question in the protocol document that resulted in the Finding and its subsequent recommendation. There may be multiple questions noted.
3) Your Case Judge will send you an invitation to WebEx which will identify the time and date of your case judging session.
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) Watch your SCOMM frequently … for feedback and/or questions from Ruby Moore, Supported Employment Expert and questions from your Case Judge/Lyn/Paula.
6) 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 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 information, correct spelling or grammar or reduce redundancy.
7) Once you and your Case Judge have agreed on all changes, send a Therap SComm message to Paula Bigham, your Case Judge and Lyn Rucker that you are in agreement. When communicating specific class member information, be sure to use Therap SComm for your e-mail source to assure confidentiality.
8) Schedule time to debrief with Lyn Rucker.
9) You will be asked to join a conference call during the Regional Status Summary meeting with the Regional Office in case there are any questions about your Findings and Recommendations. The date and time of this call will be provided to you in advance. DHI Reviewers may be expected to participate in the Regional Status Summary meeting in person.

ADDITIONAL INFORMATION

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

- Once the Protocol and Findings and Recommendations have been agreed upon, your Case Judge will copy the scoring and justifications from the Supported Employment section onto a separate template and send them to the designated expert for Employment (Ruby Moore).
- You MAY receive a telephone call or Therap/SComm from the Supported Employment Expert, Ruby Moore, 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 and what changes, if any, need to be made to the document.
- Paula Bigham and the Community Monitor must review the documentation.
- Let the Community Monitor know when you are scheduled to Case Judge so that you can set a time to summarize with her.
- The Community Monitor will have a separate phone call with you to summarize your findings once Case Judging is completed and obtain your feedback regarding the Review.
- Following that, the final edits will be made, and a copy of the Findings 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 additional information, if available, or will formulate questions to clarify the Recommendations.
- After 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. The dates for these meetings are on the Review Calendar. Specifics will be sent to you via e-mail. Be sure you reserve time that day to be on the call.
- Changes may be made to the Findings 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 with the team to give them an opportunity to ask questions and provide information regarding what action has been or will be taken to resolve the finding. Changes may be made to the Findings 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.
- Follow-up on the Findings and Recommendations by the Regional Office and/or DDSD will occur as necessary, to assure that identified issues have been resolved.

Attachment A: Reviewer Checklist			
√	Deadline	Task	Comments
1. File Review and Documents Management			
	At least 14 days prior to the review.	Check for notification that files have been placed in Sookasa.	
	Date files are received.	Note date files are received and notify Paula Bigham that they have been received.	
	ASAP	Copy the blank Electronic Protocol into the Class Members' Folder in Sookasa.	
	ASAP	Copy a blank document request form into the Class Members' folder in Sookasa.	
	Prior to 1st telephone interview.	Review Section #1 and the documents which are required. Assure those documents are in the appropriate folder, that you can open and read them.	If you have trouble, notify Paula Bigham as soon as possible.
	Prior to 1st telephone interview.	Review the interview sections (Section #2, #3, #4, #5 and #6) to be familiar with the questions you are going to ask.	
	Prior to 1st telephone interview.	Read the file, take notes, identify missing information and questions that you need to ask the appropriate person. Also, identify missing documents.	
	Prior to 1st telephone interview.	Complete a Document Request Form for any missing or needed documents.	
	Prior to 1st telephone interview.	Contact your Case Judge to compare your list of missing items (noted on your Document Request Form) with his/hers and add any additional documents to the form.	
	Prior to 1st telephone interview, but no later than Wed prior to the on-site review week.	Submit Document Request form.	Be sure you cc Paula Bigham and Sally Karingada when you send this list.
2. Interviews			
	Prior to 1st telephone interview.	Consult with Case Judge regarding person-specific interview questions to be included in interviews.	
	As scheduled prior to the on-site review.	Interview Case Manager (required)	*If you are unsuccessful in reaching the interviewee of a scheduled call, immediately notify Paula Bigham, and also keep trying, up to 3 times. If you were not able to connect, Paula will work with the Regional Office/DDSD to get the interview rescheduled.*
	As scheduled prior to the on-site review.	Interview Guardian (required, if the Guardian is willing). *If you attempt an interview with the Guardian and are unsuccessful, be SURE that you note the date and type of contact attempt in your protocol.*	

Attachment A: Reviewer Checklist			
√	Deadline	Task	Comments
	As scheduled prior to the on-site review.	Interview therapists (as scheduled)	
	During the week before the on-site review.	Based on information gathered during these interviews, add information/justifications using the + / - system as much as you can.	
	During the week before the on-site review.	Set a tentative time for case judging.	
3. On site Review			
	Per schedule	Follow the schedule of interviews and observations provided for each class member.	
	Per schedule	Interview Direct Support Staff (Day, required)	There may be two day services. You need to interview and observe both. Day services are required for both interview and observation. Work interview is required but the observation may not, based on circumstances and respect for the privacy of the individual in the work place.
	Per schedule	Interview/observe Class Member (Observation is required, the Interview is if the class member is willing)	
	Per schedule	Interview Direct Support Staff Residential (required)	
	ASAP, but prior to Case Judging. Your Case Judge needs time to review.	If you receive additional documents on-site, these need to be scanned and placed into the Class Member's folder in Sookasa, or faxed to the Community Monitor's office for scanning there.	You will already have an "Additional Documents" file in the individual's folder. Please put ANY NEW documents that you receive during the review in this folder. This will make them easier to review and it will make it clear when they were received.
4. After the Review			
		Remember! All correspondence regarding the review must be copied to the Community Monitor and Paula Bigham.	
	ASAP	Pass the completed Protocol to your Case Judge.	BE SURE that there are NO blanks in your protocol. Once the Protocol is passed to your Case Judge ONLY the CJ can make changes and enter information.
	ASAP	Complete the Findings and Recommendations. Notify the Case Judge.	
	As scheduled	Case Judging	The Case Judge will send you an invitation to join WebEx session.
	ASAP	The Case Judge sends the Supported Employment sections to Ruby Moore.	Reconciliation between the reviewer and Ruby takes place in writing via Therap with copies to Lyn and Paula.

Attachment A: Reviewer Checklist			
√	Deadline	Task	Comments
	ASAP after being notified by the Case Judge	Review the final document and send notification that you are in agreement.	Contact your Case Judge if you have any questions. Do not send notification until you are in agreement.
	ASAP	Set a time for debriefing with the Community Monitor.	Preferably, the debriefing should take place after the final document is Case Judged. However, this is not always possible. Lyn will advise you.
	Per schedule	Please set aside time to participate by phone in the Regional Status Conference (review of findings and recommendations). This will generally take no more than 30 minutes.	