

Standard of Care	Surveyor Notes	MET	NOT MET	NA
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Administrator Interview

Agency/Region:

Administrative Personnel Interviewed and Title:

Surveyor:

Date/Time of Interview:

Interview Format: Telephone In-Person

Services (Circle those that the Agency provides):

- 2007 Community Living: Supported - Family – Independent
- 2012 Living Supports: Supported Living – Family Living - Intensive Medical Living Supports; Other: Customized In-Home Supports
- 2018 Living Care Arrangement: Supported Living – Family Living - Intensive Medical Living Supports - Customized In-Home Supports
- 2007 Community Inclusion: Adult Hab.– Community Access – Supported Employment
- 2012 Inclusion Supports: Customized Community Supports – Community Integrated Employment Services
- 2018 Community Inclusion: Customized Community Supports – Community Integrated Employment Services

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General

Does the Agency use General Events Reporting in Therap as required by standards?

Tag #1A43

Surveyor Instruction: The purpose of General Events Reporting (GER) is to report, track and analyze events, which pose a risk to adults in the DD Waiver program, but do not meet criteria for ANE or other reportable incidents as defined by the IMB. DD Waiver Provider Agencies who provide Customized In- Home Supports, Family Living, IMLS, Supported Living, Customized Community Supports, Community Integrated Employment, Adult Nursing and Case Management must use GER in the Therap system. You must ensure the Agency is using GER in the Therap system. You are to ask the administrator to show you how the system is utilized and how they track and analyze events. This will be met if the agency can explain and show how GER and how is being used.

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<p>What is your Agency's back-up or on-call policy and procedure? <i>(this is for the agency's general backup and on-call system. On-call specific to nursing is asked below)</i></p> <p>Surveyor Instructions: <i>The Agency must have an on-call policy. The interviewee should be able to describe the processes. This cannot be met if they cannot describe the process or if process described does not match the procedure reviewed.</i></p>	Tag #1A05 (CoP)			
<p>What is your Agency's policy and procedures regarding the safe transportation of individuals in the community?</p> <p>Surveyor Instructions: <i>As part of the Provider Agreement, the Agency must have policy and procedures regarding the safe transportation of individuals in the community that comply with the New Mexico regulations governing the operation of motor vehicles. This cannot be met if they cannot describe the process or if process described does not match the procedure reviewed.</i></p>	Tag #1A05 (CoP)			
<p>Does your agency have Incident Management Procedures that comply with the current NM Department of Health Incident Management Guide?</p> <p>Surveyor Instructions: <i>This question only needs to be asked if you have not seen evidence of Incident Management Procedures. As part of the Provider Agreement, the Agency must have Incident Management Procedures that comply with the current NM Department of Health Improvement Incident Management Guide. This cannot be met if they cannot describe the process or if process described does not match the procedure reviewed.</i></p>	Tag #1A05 (CoP)			
<p>Does your agency have policy and procedures regarding Medication Assessment and Delivery?</p> <p>Surveyor Instructions: <i>This question only needs to be asked if you have not seen evidence of the policy and procedure. As part of the Provider Agreement, the Agency must have Incident Management Procedures that comply with the current NM Department of Health Improvement Incident Management Guide. This cannot be met if they cannot describe the process or if process described does not match the procedure reviewed.</i></p>	Tag #1A05 (CoP)			

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Nursing Oversight				
<p>Does your Agency have an RN on staff or contracted?</p> <p>If Yes, what are their names:</p> <p><i>Surveyor Instruction: You are to ask the interviewee if the agency has an RN and the names of the nurses. You will verify their response based on personnel records and license. For this to be met their response needs to match what was found at the agency.</i></p>	<p>Tag #1A15 (CoP)</p>	<p> </p>	<p> </p>	<p> </p>
<p>How does your Agency provide nursing over-site for all individuals served, including after hours and the on-call process?</p> <p><i>Surveyor Instructions: The Agency must have an on-call and health oversight procedure. The interviewee should be about to describe the procedure. This cannot be met if they cannot describe the process or if process described do not match the procedure reviewed.</i></p>	<p>Tag #1A15 (CoP)</p>	<p> </p>	<p> </p>	<p> </p>
<p>Does your agency have policy and procedures regarding delegation of specific nursing functions?</p> <p><i>Surveyor Instructions: This question only needs to be asked if you have not seen evidence of the policy and procedure. As part of the Provider Agreement, If the agency nurse delegates any of her primary functions to Direct Support Personnel the agency should have a policy and procedure. This cannot be met if there is no policy and procedure regarding the delegation of specific nursing functions when needed.</i></p>	<p>Tag #1A05 (CoP)</p>	<p> </p>	<p> </p>	<p> </p>

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Client Rights				
<p>Does your Agency have a Human Rights Committee? If yes, who makes up the HRC Committee?</p> <p><i>Surveyor Instructions: HRCs are required for all Living Supports (Supported Living, Family Living, Intensive Medical Living Services), Customized Community Supports (CCS) and Community Integrated Employment (CIE) Provider Agencies. The HRC committee must include: at least one member with a diagnosis of I/DD; a parent or guardian of a person with I/DD; or a member from the community at large that is not associated with DD Waiver services. If the agency has an HRC and at least one member is identified above this is met.</i></p>	<p>Tag #1A31.2</p> <p>List Committee Members: </p>			
<p>How do you verify you have current HRC approvals for the individuals who require Human Rights Approval?</p> <p><i>Surveyor Instructions: HRCs are required for all Living Supports (Supported Living, Family Living, Intensive Medical Living Services), Customized Community Supports (CCS) and Community Integrated Employment (CIE) Provider Agencies. This will be met if they are able to describe the HRC approval process.</i></p>	<p>Tag #1A31 (CoP)</p>			
Quality Assurance / Quality Improvement				
<p>Does your Agency have a Quality Improvement System (QIS) which follows the four key principles:</p> <ol style="list-style-type: none"> 1. quality improvement work in systems and processes; 2. focus on participants; 3. focus on being part of the team; and 4. focus on use of the data. <p><i>Surveyor Instructions: The Interviewee should be able to discuss the four principles and how they are integrated into the QI plan. You are to ask the interviewee to explain the Agency's QIS and show documentation of this. This is met if the agency can explain the process and how these principals work within their organization.</i></p>	<p>Tag #1A03</p>			

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<p>Does your Agency have a Quality Improvement Plan, which includes the Key Performance Indicators outlined by DDSD?</p> <p>Surveyor Instructions: The Agency must have a QI plan to continually determine whether the agency is performing within program requirements, achieving goals, and identifying opportunities for improvement. The interviewee should be about to discuss the QI plan describe the processes used in each phase of the QIS: discovery, remediation, and sustained improvement. This cannot be met if they cannot describe the processes or if process described do not match the plan reviewed.</p> <p>KPI applies to the following provider types: Living Supports service providers (SL, FL and IMLS), CIHS and Case Management</p> <ol style="list-style-type: none"> 1. % of Individuals whose Individual Support Plans (ISP) are implemented as written. 2. % of appointments attended as recommended by medical professionals (physician, nurse practitioner or specialist). <p>CCS and Case Management agencies: % of people accessing Customized Community Supports in a non-disability specific setting.</p>	<p>Tag #1A03</p>	<p> </p>	<p> </p>	<p> </p>
<p>Does your Agency have a Quality Improvement Committee? If yes, can you please tell me who is a part of it and the dates of the meetings?</p> <p>Surveyor Instructions: (Review 4 Quarters) The QI committee must convene at least once a quarterly basis and more frequently if needed. The QI Committee convenes to review data; to identify any deficiencies, trends, patterns, or concerns; to remedy deficiencies; and to identify opportunities for QI. For this to be met the committee must meet quarterly and have evidence of review of data and remediation.</p>	<p>Tag #1A03</p> <p>List Committee Members:</p> <p>List Meeting Dates:</p>	<p> </p>	<p> </p>	<p> </p>
<p>Based on the questions already asked, are there any other systems you have in place, that you would like us to be aware of?</p> <p>Surveyor Instructions: This question is used as a wrap up, if the interviewee would like to share more information or show documents that outline how the agency functions it would be captured here.</p>		<p> </p>	<p> </p>	<p> </p>

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Administrative Interview: <i>Incident Management Coordinator</i>				
Interviewee & Title:				
Surveyor: _____ Date/Time: _____				
General				
<p>What is your Agency's policy and procedure for training staff to report Abuse, Neglect & Exploitation; (including who trains and the timelines involved)?</p> <p><u>Surveyor Instructions:</u> Refer to NMAC 7.1.14 for ANE requirements: The Agency must have a policy for reporting ANE and training agency personnel. The interviewee should be about to describe the processes. This cannot be met if they cannot describe the process or if process described do not match the procedure reviewed.</p>	Tag #1A05 (CoP)			
<p>What is the Agency's process for completing State Incident Reports as it relates to Abuse, Neglect, Exploitation and other reportable incidents?</p> <p><u>Surveyor Instructions:</u> Refer to NMAC 7.1.14 for ANE requirements: The Agency must have a policy for reporting ANE and training agency personnel. The interviewee should be able to describe the processes. This cannot be met if they cannot describe the process or if process described do not match the procedure reviewed.</p>	Tag #1A05 (CoP)			