

NEW MEXICO DOH/DHI/QMB SUPPORTS WAIVER: ADMINISTRATOR INTERVIEW AND REQUIREMENTS SURVEY TOOL

Standard of Care	Surveyor Notes	MET	NOT MET	NA
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Administrator Interview and Administrative Requirements

Agency/Region: | |

Administrative Personnel Interviewed and Title: | |

Surveyor: | |

Date/Time of Interview: | |

Interview Format: Telephone In-Person Video

Administrative Processes

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1) What is your Agency’s system for tracking key steps and timelines for the following:

- **establishing medical eligibility and annual recertification**
- **monitoring financial eligibility and annual recertification**

***Surveyor Instructions:** Community Support Coordinators assist the participant during two distinct phases: initial waiver eligibility and waiver enrollment activities and ongoing services. Initial Waiver Eligibility and Waiver Enrollment Services are intended to provide information, support, guidance, assistance, and monitoring to individuals during the Supports Waiver initial enrollment and Medicaid eligibility process. This includes both financial and medical components. The level of support provided is based upon the unique needs of the individual for the sole purpose of helping them navigate the Medicaid eligibility and enrollment processes. The CSC educates the participant regarding the required documentation and submission process to establish Medical Eligibility and monitors the status of the submission of the required documentation to ISD. The Agency is required to have a system in place that covers this area (Supports Waiver Standards Chapter 16). You are to ensure there is a system in place and each area is addressed. You will ask to see documents of how this is tracked. For this to be MET, the agency must be able to show a formal system for tracking these areas.*

Tag #SW1A11

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<p>2) What is your Agency’s system for tracking key steps and timelines in service planning and budget submission?</p> <p><i>Surveyor Instructions: Initial ISP/budget requests should be completed and submitted so that it will be in effect within ninety (90) calendar days of eligibility determination. Annual ISP/budget requests shall be submitted to the TPA no later than thirty (30) days prior to the end of the current ISP / budget year. (Supports Waiver Standards Chapter 8.3). You are to ensure there is a system in place and each area is addressed. You will ask to see documents of how this is tracked. For this to be MET, the agency must be able to show a formal system for tracking these areas.</i></p>	<p>Tag #SW1A11</p>			
<p>3) What is your Agency’s system for ensuring distribution of the ISP once approved?</p> <p><i>Surveyor Instructions: For Agency Based services the CSC is required to assure all elements of the approved ISP, budget and companion documents are complete and distributed to service providers. The CSC also distributes the ISP and budget to the DDSD Regional Office. The CSC will work to identify any resolve and barriers to the participant accessing the services approved in the ISP. For Participant Directed services the CSC is required to distribute the approved ISP, budget and companion document to the participant and EOR within 5 business days of approval. (Supports Waiver Standards Chapter 11.1). You will ask to see documents of how this is tracked. The agency must be able to show a formal system for tracking these areas and provide evidence that the final approved ISP were provided to the participant for this to be met.</i></p>	<p>Tag #SW1A11</p>			

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Community Support Coordinator Supervision

<p>4) How does your Agency evaluate the quality of monitoring conducted by the Community Support Coordinator, including ISP implementation and the health and safety of the Participant served?</p> <p><i>Surveyor Instructions: (Chapter 16.3.7) The CSC is required to complete a formal, ongoing monitoring process to evaluate the quality, effectiveness, and appropriateness of services and supports provided to the person as specified in the ISP. This monitoring will also capture any issue the participant is experiencing that is unique to either agency-based or participant- based services. The CSC is also responsible for monitoring the health and safety of the person. This includes providing, reviewing and completing annual, quarterly and monthly documents identified by DOH/DDSD. The CSC is required to complete a formal, ongoing monitoring process to evaluate the quality, effectiveness, and appropriateness of services and supports provided to the Participant as specified in the ISP. The CSC is also responsible for monitoring the health and safety of the person. For this to be met, the agency must be able to show how monitoring is completed to include calls, visits, and review of documentation.</i></p>	<p>Tag #SW1A11</p>			
<p>5) How does your Agency ensure coverage to Participant's Served when a Community Support Coordinator is on Leave (i.e., illness, vacation, etc.)?</p> <p><i>Surveyor Instructions: The agency is required to ensure a colleague or supervisor performs essential duties during the CSC's absence, including mandated face-to-face visits. The CSC provider must assure that CSC and other staff will respond to participant and/or participant representative communications within three (3) working days except in emergency situations where a response is needed within twenty-four (24) hours during the work week. For this to be met the interviewee must describe how this is done.</i></p>	<p>Tag #SW1A16</p>			

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<p>6) How does your Agency ensure there is no conflict of interest for Community Support Coordinator working for your agency?</p> <p><i>Surveyor Instructions: Per Support Waiver Standards Chapter 7.4 CSC Agencies are required to mitigate real or perceived conflict of interest issues. CSC Agency owners and their employed or contracted CSCs may not:</i></p> <ul style="list-style-type: none"> <i>a. The CSC agency may not provide any other direct services for Supports Waiver participants and</i> <i>b. The CSC Agency may not provide any direct support services through the DD Waiver or Mi Via Waivers or through any affiliated agency.</i> <i>c. The CSC agency may not employ a CSC who is an immediate family member of a participant served by the agency and</i> <i>d. The CSC Agency may not provide guardianship services to a participant receiving CSC services from the agency.</i> <i>e. The CSC agency may not employ a CSC who also is the EOR or legal representative for an eligible participant served by agency;</i> <p><i>For this to be met the interviewee must be able to explain how to mitigate real or perceived conflict of interest issues.</i></p>	<p>Tag #SW1A13</p>			
Additional Processes				
<p>7) Does the Agency have a Quality Improvement Committee that meets quarterly?</p> <p><i>Surveyor Instructions: (Review 4 Quarters) A QI committee must convene on at least 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. QI Committee meetings must be documented and include a review of atleast the following:</i></p> <ul style="list-style-type: none"> <i>1) Activities or processes related to discovery, i.e., monitoring and recording the findings;</i> <i>2) The entities or individuals responsible for conducting the discovery/monitoring process;</i> <i>3) The types of information used to measure performance;</i> <i>4) The frequency with which performance is measured; and</i> <i>5) The activities implemented to improve performance.</i> <p><i>This will be met if there is evidence of four (4) quarterly meetings and there is evidence of review of data and remediation, as identified in 1 – 5 above.</i></p>	<p>Tag #SW1A03</p>			

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<p>8) Based on the questions already asked, are there any other systems you have in place to ensure the quality of CSC services, that you would like us to be aware of?</p> <p><i><u>Surveyor Instructions:</u> This question is used as a wrap up. If the interviewee would like to share more information or show documents that outlines what the agency is tracking or monitoring.</i></p>				
<p>Additional Notes:</p>				