

**New Mexico DOH / DHI / QMB: CCS / CIES Delivery Site - Individual Record Review Survey Tool**

Standard of Care (TAG)	Surveyor Notes	MET	NOT MET	NA
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**Agency/Region:**

**Surveyor:**

**Date/Time**

**Individual Name and Identifier:**

**CCS – CIES Service Delivery Site** (For provider owned and operated onsite service delivery only. DSP do not need to carry these to off-site locations per 2018 Client File Matrix, unless otherwise noted)

• **2018 Community Inclusion:** Customized Community Supports – Community Integrated Employment Services

Other Services: PT - OT - SLP - BSC - Adult Nursing Services – Other: \_\_\_\_\_

**Surveyor Instruction:** Item(s) which are required in THERAP system, must be in Therap and will be accessed via Therap, unless specified to be a printed copy. Other items that are required, may be accessed via the Agency's electronic system or hardcopy file.

Standard of Care Questions	(Tag #) Surveyor Notes / Deficiency Description	MET	NOT MET	NA
<b>ISP Requirements</b>				
<p><b>Annual ISP</b></p> <p><b>Surveyor Instruction:</b> You are to ensure the Individual has a current ISP. The surveyor is to review the cover sheet of the ISP to determine if information related to the individual is current, i.e. address, phone number, services, etc.. For this to be met, there must be a current and complete (all pages) ISP. If ISP is not current or incomplete, then this is not met and a potential CoP.</p>	<p>Tag #IS14 (CoP) CCS / CIES service delivery site</p> <p>Term of ISP: _____</p> <p>ISP Meeting Date: _____</p>			
<p><b>Teaching &amp; Support Strategies (TSS)</b></p> <p><b>Surveyor Instruction:</b> You are to look for required TSS which are only those applicable to CI services being provided by the agency being surveyed. You will review the ISP "action plan for desired outcome in the ...." section and look to determine if the box is checked under strategies / WDSIs needed. If checked "yes" this indicates a TSS is required. If the box is checked "yes" and there is no separate TSS document, then this is not met and a potential CoP. Surveyors must list complete Outcome and then Action Plans which require Teaching &amp; Support Strategies, circle ones deficient, you must ensure that the TSS are only related to the delivery site for which you are reviewing.</p>	<p>Tag #IS14 (CoP) CCS / CIES service delivery site</p>			

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**Therapy Plans**

<p><b>Positive Behavior Support Plan</b></p> <p><i>Date(s) of Plan:</i></p> <p><b>Surveyor Instruction:</b> <i>If the individual receives BSC services, you must ensure the plan is current for the ISP year and it is a plan developed by the BSC provider listed in the MAD 046 / Budget Worksheet. You must ensure the plan at the service delivery is current for the ISP year and is developed by the BSC provider listed on the budget. If it is current and staff are aware of the location of the plan this would be met.</i></p>	<p><i>Tag #IS14.1 CCS / CIES service delivery site</i></p>			
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<p><b>Behavior Crisis Intervention Plan</b> <i>(Note: this may not always be required, it is based on PBP)</i></p> <p><i>Date(s) of Plan:</i></p> <p><b>Surveyor Instruction:</b> <i>If the individual receives BSC services, you must ensure the plan is current for the ISP year and it is a plan developed by the BSC provider listed in the MAD 046 / Budget Worksheet. You must ensure the BCIP at the service delivery is current for the ISP year and is developed by the BSC provider listed on the budget. If it is current and present this would be met.</i></p>	<p><i>Tag #IS14.1 CCS / CIES service delivery site</i></p>			
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**Nursing & Medical**

<p><b>Health Passport</b></p> <p><b>Surveyor Instruction:</b> <i>Review Therap to determine if there is a Health Passport. The Health Passport must be updated annually and if e-CHAT or contact information changes. This document must contain the individual, physician and emergency contact information, a complete list of current medical diagnoses, health and safety risk factors, allergies, and information regarding insurance, guardianship, and advance directives. This would be met if it there is a <b>printed copy</b>, current copy in the file. If there is no printed copy this cannot not met.</i></p>	<p><i>Tag #IS14 (CoP) CCS / CIES service delivery site</i></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Individual's Name</li> <li><input type="checkbox"/> Name of Physician</li> <li><input type="checkbox"/> Emergency Contact Information</li> <li><input type="checkbox"/> Medical Diagnosis</li> <li><input type="checkbox"/> Health and Safety risk factors</li> <li><input type="checkbox"/> Allergies</li> <li><input type="checkbox"/> Information regarding Insurance</li> <li><input type="checkbox"/> Guardianship</li> <li><input type="checkbox"/> Advanced Directives</li> </ul>			
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<p><b>Comprehensive Aspiration Risk Management Plan (CARMP)</b></p> <p>Date of CARMP: _____</p> <p><b>Surveyor Instruction:</b> A CARMP is required for any adult or young adult with moderate to high risk of aspiration. Within 60 days following ARST result a CARMP must be developed, however if the IDT does not want to implement a CARMP the following must occur:</p> <ul style="list-style-type: none"> <li>• CM holds a meeting for DCP to assure informed decision-making.</li> <li>• The individual &amp; guardian may accept all, part or none of the CARMP.</li> <li>• This process and final decisions are reflected on the DCP</li> <li>• Team edits CARMP per DCP and finalize.</li> </ul> <p>If the CARMP is to be implemented it must be done with 90-days following ARST result. In, order for this to be met a current CARMP in the file or a DCF in the file.</p>	<p>Tag #IS14 (CoP) CCS / CIES service delivery site</p>			
<p><b>Health Care Plans (HCP)</b></p> <p><b>Surveyor Instruction:</b> Review of HCP are dependent on required HCP listed in the eCHAT summary and IST section of the ISP. Surveyors must review required HCPs and determine if all required plans are in place and current (must be reviewed semi-annually). If an individual has a CAMRP separate HCPs are not required as these will be covered in the CARMP. If, the person has a CARMP ensure required HCP identified in the eCHAT are in the CARMP and this would become N/A. If the Individual does not require a CARMP the you must ensure required HCPs are in place. If no plan exists or is not current, you must document on the tool which plan does not exist or is not current. HCPs may be combined at the discretion of nurse when clinically appropriate and must be signed by the author. If combined, you may ask the nurse to show you where items are addressed within the plan. For this to be met, surveyor must determine if there is an individualized current plan in place as required.</p>	<p>Tag #IS14 (CoP) CCS / CIES service delivery site</p> <p>Required per IST:</p> <p>Required per e-CHAT:</p>			

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<p><b>Medical Emergency Response Plans (MERP)</b></p> <p><i><b>Surveyor Instruction:</b> MERPs are required for persons who have one or more conditions or illnesses that present a likely potential to become a life-threatening situation. You must ensure that required MERPs listed in the eCHAT summary and IST section of the ISP are in place and current (annual review prior to ISP meeting). MERPs must be individualized and cannot be combined with other MERPs. If an individual has a CAMRP, there will still be MERPs if required in eCHAT. If no MERP is in place as required by eCHAT or is not current, you must document on the tool which plan does not exist or what plan is not current. For this to be met, there must be a current individualized plan in place as required and a MERP for each required plan in eCHAT.</i></p>	<p><i>Tag #IS14 (CoP) CCS / CIES service delivery site</i></p> <p><i>Required per IST:</i></p> <p><i>Required per e-CHAT:</i></p>			
<b>Progress Notes &amp; Data Tracking</b>				
<p><b>Community Inclusion (CCS): Progress Notes/Daily Contact Logs:</b></p> <p><i><b>Surveyor Instruction:</b> If the Individual receives Community Inclusion services you must review daily notes for the current month of your visit to ensure they contain the name of the individual, date, time in/out, description of service and signature of staff providing the service. This cannot be met if there is no documentation found for the period reviewed (1<sup>st</sup> day of the month to the day prior to your visit) or if documentation found is completed in advance, e.g. you conduct a visit on the 5<sup>th</sup> of the month, yet documentation has already been completed for the entire month. In this circumstance you would document what is found.</i></p>	<p><i>Tag #1A08.1</i></p> <p><i>List dates if any are not found</i></p>			

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**Community Inclusion (CCS): Data Collection/Data Tracking:**  
*(i.e. Outcomes/Action Steps Implementation Tracking)*

**Surveyor Instruction:** You are to review data tracking for the current month of your visit to ensure to determine if outcomes / action steps are being completed as called for in the ISP. This include being completed at frequency. If the agencies have none or is not completing the tracking as required (i.e. frequency), tracking outcomes/action steps that do not match the current ISP then this cannot be met. Surveyors are to determine the frequency at which the outcome is to be completed. You will document from the 1<sup>st</sup> day of the month to the Friday prior to your visits to determine if they are completed as required (e.g. action step frequency is 1 time weekly, your visit is completed on a Wednesday, technically the agency has the remainder of the week to implement the AS, more record review would be needed to determine compliance).

*Tag #1A32.3 CCS / CIES service delivery site*

*List specific outcome/action plan which is not met and list time frame if any are not found / Must document frequency if not completed as required.*

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<p><b>Community Inclusion (CIES): Progress Notes/Daily Contact Logs:</b></p> <p><i><b>Surveyor Instruction:</b> If the Individual receives Community Inclusion services you must review daily notes for the current month of your visit to ensure they contain the name of the individual, date, time in/out, description of service and signature of staff providing the service. This cannot be met if there is no documentation found for the period reviewed (1<sup>st</sup> day of the month to the day prior to your visit) or if documentation found is completed in advance, e.g. you conduct a visit on the 5<sup>th</sup> of the month, yet documentation has already been completed for the entire month. In this circumstance you would document what is found.</i></p>	<p><i>Tag #1A08.1 List dates if any are not found</i></p>			
<p><b>Community Inclusion (CCS / CIES): Data Collection/Data Tracking:</b> <i>(i.e. Outcomes/Action Steps Implementation Tracking)</i></p> <p><i><b>Surveyor Instruction:</b> You are to review data tracking for the current month of your visit to ensure to determine if outcomes / action steps are being completed as called for in the ISP. This include being completed at frequency. If the agencies have none or is not completing the tracking as required (i.e. frequency), tracking outcomes/action steps that do not match the current ISP then this cannot be met. Surveyors are to determine the frequency at which the outcome is to be completed. You will document from the 1<sup>st</sup> day of the month to the Friday prior to your visits to determine if they are completed as required (e.g. action step frequency is 1 time weekly, your visit is completed on a Wednesday, technically the agency has the remainder of the week to implement the AS, more record review would be needed to determine compliance).</i></p>	<p><i>Tag #1A32.3 CCS / CIES service delivery site</i></p> <p><i>List specific outcome/action plan which is not met and list time frame if any are not found / Must document frequency if not completed as required.</i></p>			

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**Medication Administration Record & Observation**

<p><b>Medication Administration Records: ROUTINE MEDICATIONS</b> <i>(only applicable if meds are given during CI services)</i></p> <p><b><u>Surveyor Instruction:</u></b> <i>You are to review the current month (from 1<sup>st</sup> day of month to date of visit). You are to determine if the MAR is being completed correctly and if all requirements are in place.</i></p> <ul style="list-style-type: none"> <li>• Name of resident;</li> <li>• Date given (administered or assisted);</li> <li>• Diagnosis for which the medication is prescribed</li> <li>• Drug product name;</li> <li>• Dosage and form (Liquid, tablet, capsule, injection, suppository)</li> <li>• Strength of drug;</li> <li>• Route of administration;</li> <li>• How often the medication is to be taken;</li> <li>• The name (initials) of the staff administering or assisting with the self-administration of the medication.</li> </ul> <p><b><u>Findings in this area are considered standard level (1A09.0), unless the following are cited then a potential CoP level finding (1A09):</u></b></p> <ul style="list-style-type: none"> <li>• <i>MAR contains missing entries</i></li> <li>• <i>MAR does not indicate exact dosage each time med was given;</i></li> <li>• <i>MAR and Physician Orders do not match;</i></li> <li>• <i>Physician Orders indicate med is to be given, med is not on MAR;</i></li> <li>• <i>Med is to be given, yet not documented on MAR;</i></li> <li>• <i>No physician orders were found for medication listed in MAR</i></li> </ul>	<p><i>Tag #1A09 (CoP) / 1A09.0</i></p> <p><i>Include specific details, including dates, time, medication name, dosage, etc., for any deficiencies noted.</i></p>			
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**Medication Administration Records: PRN MEDICATIONS**  
*(only applicable if meds are given during CI services)*

**Surveyor Instruction:** You are to review the current month (from 1<sup>st</sup> day of month to date of visit). You are to determine if the MAR is being completed correctly and if all requirements are in place.

All **PRN** (as needed) medications shall have complete detailed instructions regarding the administration of the medication. This shall include:

- symptoms that indicate the use of the medication,
- exact dosage to be used, and
- the exact amount to be used in a 24-hour period.
- Anyone assisting with meds must obtain verbal authorization from the Agency nurse prior to each administration of PRN medications; Unless related and in a Family Living situation.
- Documentation describing the effect of the PRN Medication.

**Findings in this area are considered standard level (1A09.1.0), unless the following are cited then a potential CoP level finding (1A09.1):**

- *MAR does not contain the documented sign/symptoms to why med was given;*
- *MAR does not contain effectiveness of medication;*
- *MAR does not contain time PRN was assisted with / administered;*
- *MAR and Physician Orders do not match;*
- *Physician Orders indicate med is to be given, med is not on MAR;*
- *No physician orders were found for medication listed in MAR;*

*Tag #1A09.1 (CoP) / 1A09.1.0*  
*Include specific details, including dates, time, medication name, dosage, etc., for any deficiencies noted.*



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**Medication Administration Records – Nurse Approval for PRN MEDICATIONS**

**Surveyor Instruction:** You are to review the current month (1<sup>st</sup> day of month to date of visit). You are to determine if the PRN medication which was assisted with had nurse approval for individuals in SL or FL with a non-related FLP. If no documentation of prior authorization is found for medication given this cannot be met. Surveyor will review MAR for information, if it is not found the surveyor must verify with Nursing staff that approval was sought, prior to medication being delivered.

Surveyor must document medication name, date and time if no authorization is found.

Tag #1A09.2 (CoP)  
 Include specific details, including dates, time, medication name, dosage, etc., for any deficiencies noted.

*I affirm that missing documents requested by the QMB Survey Team were not located in the home or could not be found by myself when asked to produce them during the on-site home visit on:*

**Date:** \_\_\_\_\_ **Time:** \_\_\_\_\_  
**DSP Name (Print and Signature) and Title:** \_\_\_\_\_  
**Surveyor Initials:** \_\_\_\_\_