

New Mexico DOH / DHI / QMB Case Manager Interview – Job Knowledge Interview Survey Tool

Standard of Care	Surveyor Notes	MET	NOT MET	NA
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Agency/Region:	Service: DD Waiver Case Management
Surveyor:	Date/Time:
Case Manager Interviewed / title (Identifier):	Interview Format: <input type="checkbox"/> Telephone <input type="checkbox"/> In-Person
Years of DDW Case Mgt:	What Individuals is the CM being interviewed for (document initials):

Surveyor Instruction: During the interview you must directly quote what is said by the CM and document it in the surveyor notes.

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GENERAL				
<p>What is your current DDW caseload?</p> <p>Surveyor Instruction: The Case Management Provider Agency shall assign caseloads in such a way as to assure adequate coverage for each person in services, using an average of 30 cases per CM across the agency. Caseloads with children may be weighted proportionally, based upon the number of months of service provided per year (e.g., 4 months of Case Management service = 1/3 case; 6 months of Case Management service = 1/2 case). You must determine if the Case Manager has an average of 30 cases using the calculation above. If the case manager maintains an average of 30 this is met. If case load is higher you must document to cases by adults and children, note the excess and go back to the administrator to determine if this is a deficiency for the agency.</p>	<p>Tag #4C19</p> <p># DDW Adults:</p> <p># Children:</p> <p>Caseload total, based on calculation:</p>			
<p>Do you have a caseload as a DDW Case Manager and a Mi Via Consultant?</p> <p>Surveyor Instruction: Case Management Agency owners and their employed or contracted CMs may not carry a caseload on Mi Via and DD Waiver simultaneously. If the case manager states they only have a DDW caseload this is met, if they report they provide services in DDW and Mi Via this would not be met.</p>	<p>Tag #4C19</p>			
<p>What is the Agency's process to ensure coverage when you take leave for the Individuals you serve?</p> <p>Surveyor Instruction: During the interview you must directly quote what is said by the CM. The Case Management Provider Agency must ensure a colleague or supervisor performs essential duties during the CM's absence, including mandated face-to-face visits. For this to be met the CM must explain the process and it must match the procedure of the agency. If not met you must indicate what aspect of the procedure was not met.</p>	<p>Tag #4C19)</p>			

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<p>What is your Agency’s system to ensure timelines are met for meeting Eligibility requirements?</p> <p><i>Surveyor Instruction: Each Case Management Provider Agency shall have an established system for tracking key steps and timelines in establishing medical eligibility, monitoring financial eligibility, service planning, budget approval...for this to be met the CM must describe the agency’s procedure. The Surveyor is required to have the agency’s process to refer to determine the CM knows the Agency process (reference chapter 7 of DDW 2018 standards). The CM may refer to the agency’s process. This cannot be met if they cannot describe process or does not know where to reference the process.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			
<p>What is your Agency’s system to ensure timelines are met for Budget approval?</p> <p><i>Surveyor Instruction: Each Case Management Provider Agency shall have an established system for tracking key steps and timelines in establishing medical eligibility, monitoring financial eligibility, service planning, budget approval, etc. For this to be met the CM must describe the agency’s procedure. The Surveyor is required to have the agency’s process to refer to determine the CM knows the Agency process. (reference chapter 7 of DDW 2018 standards). The CM may refer to the agency’s process. This cannot be met if they cannot describe process or does not know where to reference the process.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			
Interdisciplinary Team Process (IDT)				
<p>What do you do when an Individual has a significant life change? (such as the death of a loved one; transition to a new agency, or a substantiated ANE etc.)</p> <p><i>Surveyor Instruction: The Case Manager shall convene the IDT to discuss and modify the ISP, as needed, to address a significant life change, including a change in medical condition or medication that affects the individual’s behavior or emotional state; situations where an individual is at risk of significant harm. In this case the team shall convene within one working day, in person or by teleconference; if necessary, the ISP shall be modified accordingly within seventy-two (72) hours; situations where it has been determined the individual is a victim of abuse, neglect or exploitation...see NMAC7.26.5.12.9 for complete list. The Case manager response must include that they convened a meeting in person or via phone within required time frame for this to be met. If they do not state convene a meeting this would be not met and a potential CoP.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			

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<p>What are the steps of the Employment 1st Principle and how do you ensure this occurs?</p> <p><u>Surveyor Instruction:</u> <i>The case manager should discuss that the IDT must work together to determine and provide opportunities for activities that support making an informed choice about employment and clearly document the person’s decision- making process in the ISP. The CM should state the first step in making an informed choice about employment starts with the assessment process, The Person-Centered Assessment (PCA), 2nd determine the person’s experience and 3rd provide an opportunity for trial work or volunteering. Once these 3 steps are completed then the individual, in conjunction with a legal guardian, if appropriate, can determine whether employment shall be pursued. The Case manager response must include items above for this to be met. If they do not discuss the needed steps that would be not met and a potential CoP.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			
<p>How do you ensure and monitor Community Life Engagement for individuals in CCS?</p> <p><u>Surveyor Instruction:</u> <i>Community Life Engagement (CLE) is also sometimes used to refer to “Meaningful Day” or “Adult Habilitation” activities. CLE refers to supporting people in their communities, in non-work activities. CLE is: individualized supports for each person; promotion of community membership and contribution; use of human and social capital to decrease dependence on paid supports; and provision of supports that are outcome-oriented and regularly monitored. CCS for adults are designed to assist a person to increase his/her independence and potentially reduce the amount of paid supports, to establish or strengthen interpersonal relationships, to join social networks, and to participate in typical community life. CCS are based upon the preferences and choices of each person and designed to measure progress toward Desired Outcomes specified in the ISP. Activities include adaptive skill development, adult educational supports, citizenship skills, communication, social skills, self-advocacy, informed choice, community integration, and relationship building. For this to be met, the case manager would need discuss that there would be documentation of an individualized schedule indicating what individualize activities the person choses to participate in, which they monitor during visit.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			

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<p>How do you ensure the IDT explored the least restrictive Living setting appropriate for the Individual?</p> <p><i>Surveyor Instruction: Per NMAC 7.26.5 Supports and services shall be the least restrictive, not unduly intrusive and not excessive in light of the individual's needs. For this to be met the Case Manager should be able to explain how they ensure this is completed including using the informed choice process. If the informed choice process is not discussed this cannot be met and would be a potential CoP.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			
Service Monitoring				
<p>How do you monitor the Implementation of the ISP?</p> <p><i>Surveyor Instruction: The CM is responsible for monitoring by conducting visits, review of documentation, calls, emails, etc from IDT members. For this to be met the Case Manager must be able to discuss how visits and documentation review is conducted. If the CM does not visit (as required) or review documents according to the CM Site Visit Review Tool, this cannot be met and would be a potential CoP.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			
<p>How do you monitor the Healthcare/Medical and Therapy Services Needed by an Individual are Received?</p> <p><i>Surveyor Instruction: The CM is responsible for monitoring by conducting visits, reviewing documentation, calls, emails, etc from IDT members, as well as health tracker in THERAP. For this to be met the Case Manager must be able to discuss how visits and documentation review is conducted and what is done when they find follow-up which needs to be completed. If the CM does not visit (as required) or review documents according to the CM Site Visit Review Tool, this cannot be met and would be a potential CoP.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			
<p>How do you monitor the Living and Inclusion Services are being provided to the Individual, as required?</p> <p><i>Surveyor Instruction: The CM is responsible for monitoring by conducting visits, reviewing documentation, calls, emails, etc from IDT members. For this to be met the Case Manager must be able to discuss how visits and documentation review is conducted and what is done when they find follow-up which needs to be completed. If the CM does not visit (as required) or review documents according to the CM Site Visit Review Tool, this cannot be met and would be a potential CoP.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			

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<p>How do you monitor an Individual’s Health & Safety?</p> <p><i>Surveyor Instruction: The CM is responsible for monitoring by conducting visits, reviewing documentation, calls, emails, etc from IDT members. For this to be met the Case Manager must be able to discuss how visits and documentation review is conducted and what is done when they find follow-up which needs to be completed. If the CM does not visit (as required) or review documents according to the CM Site Visit Review Tool, this cannot be met and would be a potential CoP.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			
<p>What steps do you take when you identify an issue or concern regarding an Individual’s health and safety / healthcare needs?</p> <p><i>Surveyor Instruction: The CM is responsible for monitoring by conducting visits, reviewing documentation, calls, emails, etc from IDT members. The CM should be contacting the responsible provider and addressing this issue. For this to be met the Case Manager must be able to discuss steps taken, DCP, TJP, up to and including DDSD involvement. If CM does not address issue or concern and / or follow-up cannot be met and would be a potential CoP.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			
<p>What steps do you take when the provider agency does not resolve the issue or does not provide you with the needed documents (i.e. appointment results, etc.)?</p> <p><i>Surveyor Instruction: The CM should be able to discuss attempts made by requests (via document or phone calls). If no results they should be able to discuss the action of using a RORA. For this to be met the Case Manager must be able to discuss steps taken, up to and including DDSD involvement.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			
<p>How do you monitor GER reported in Therap for Individuals you serve?</p> <p><i>Surveyor Instruction: The CM must use all available data sources to monitor for trends and issues and to determine appropriate follow up action, including prior monthly site visit forms, IQR Findings and Recommendations (if JCM), annual QMB Surveys, GER in Therap, DDSD quality assurance (QA) activities including ISP QA, and any other data provided by DOH. For this to be met the CM must be able to describe their process for monitoring GER. Ask for documentation to determine how they track monitoring is being completed.</i></p>	<p>Tag #1A43.2</p>			

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<p>How do you monitor an Individual’s Utilization of Services (Is the Individual using the services identified in the budget)?</p> <p><i>Surveyor Instruction: The CM must monitor utilization of budgets by reviewing in the Medicaid Web Portal on a monthly basis in preparation for site visits. For this to be met the Case Manager must discuss they review the Medicaid Portal for utilization of services.</i></p>	<p>Tag #4C01.1</p>			
<p>What steps do you take when the Individual is not utilizing the services identified in the budget or is not able to access the services? Who do you contact,?</p> <p><i>Surveyor Instruction: The CM is responsible for monitoring the utilization of services. The CM uses the information to have informed discussions with the person/guardian about high or low utilization and to follow up with any action that may be needed to assure services are provided as outlined in the ISP with respect to: quantity, frequency and duration. For this to be met the Case Manager must be aware of how to monitor utilization of services on the budget. If CM not aware this would not be met.</i></p>	<p>Tag #4C01.4</p>			
<p>ANE Requirements</p>				
<p>What State agency do you report to if you suspect Abuse, Neglect and/or Exploitation?</p> <p><i>Surveyor Instruction: CM must identify DHI or DHI/IMB for this to be met. If CM does not know the agency name or number, they can show you the ANE card, poster, or another document which contains the information 1-800-445-6242.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			
<p>Can you give an example of each of the following?</p> <p><input type="checkbox"/> Abuse <input type="checkbox"/> Neglect <input type="checkbox"/> Exploitation</p> <p><i>Surveyor Instruction: CM only need to give one example of each for this to be met. If they are unable to give an example of each this cannot be met.</i></p>	<p>Tag #1A22.1 / 4C02.1 (CoP)</p>			

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<p>Can you report an ANE incident to the State without fear any type of retaliation from your agency or other DDW agencies?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "No" then <u>Not Met</u></i></p> <p><i>Surveyor Instruction:</i> <i>If CM reports that they cannot report without fear of retaliation or have been retaliated against you must document the specific details as to why this may have happened, and CM should be able to provide an example of when this has occurred. You must follow up to confirm validity of the accusation.</i></p>	<p><i>Tag #1A22.1 / 4C02.1 (CoP)</i></p>			
<p>What steps are you required to take if there is a substantiated allegation of ANE?</p> <p><i>Surveyor Instruction:</i> <i>In situations where DHI substantiates the ANE report, the CM must:</i></p> <ol style="list-style-type: none"> <i>a. Convene the DD Waiver participant's IDT to review the DHI findings detailed in the DHI issued Decision Letter: Substantiated;</i> <i>b. Modify the person's ISP, if necessary, to address any concerns identified in the investigation; and</i> <i>c. Submit the IDT meeting minutes with a signature page to DHI within 10 business days of receiving the DHI IMB letter.</i> <ol style="list-style-type: none"> <i>i. The IDT meeting minutes must address all the concerns identified in the IMB decision letter.</i> <i>ii. If the IDT already met and addressed all the concerns identified in the letter, there is no need to hold another meeting. If the IDT meeting did not address all concerns identified, then the CM may need to hold another IDT meeting.</i> <p><i>For this to be met the CM must be able to describe the steps taken.</i></p>	<p><i>Tag #1A28.4</i></p>			
<p><i>Additional Notes:</i></p>				