

## **Missouri Division of Developmental Disabilities Quality Enhancement Review Companion Guide - Certification**

The Quality Enhancement (QE) Review Guide is used by the Regional QE staff to conduct the QE Review as described in Division Directive **3.100 Quality Enhancement Review - Basic Health and Safety**. This is intended to be a guide to ensure that **SYSTEMS** are in place in the following areas and not simply to identify non-compliance with any single area. Visits to observe residential and day settings, chart reviews of individual consumers, and interaction with staff and consumers are done to assess the effectiveness of the health and safety systems described by the organization. The companion guide is offered as a menu of potential questions, observations, and information from documents to keep the review on track. This is **not** a checklist that must be completed in its every detail. Each area should have a comment and those that are not applicable should be noted as such. For example, having consumer physical exams in the record would not apply to day habilitation providers. Findings and recommendations are discussed and problem solving done mutually. Only if a finding would present an immediate danger to an individual(s) would an immediate written safety plan need to be completed and implemented before the regional staff would exit the premises.

**AGENCY:**

**DATE:**

**REVIEWERS:** (List the Quality Enhancement or other Regional or State Staff conducting the review.)

**PARTICIPANTS:** (List participants from the agency, any other participants who are not actual reviewers)

**Missouri Quality Outcome:** People are supported to attain physical wellness.

**Related National Core Indicators:** People secure needed health services. Medications are managed effectively and appropriately.

**Related Certification Principle:** Individuals maintain good health.

Areas Reviewed	Comments
<p>Individuals obtain medical care at intervals recommended for other persons of similar health status. <i>(Group Home / ISL)</i></p>	<p><b>Discussion:</b> Describe how people in different age groups or genders are supported in receiving routine medical care. (How do you identify what medical care is needed for individual's health and how often they need this care? What are your systems for knowing when to schedule annual physicals, PSA, dental exams, etc.?) Also describe how those with specialized medical needs, including diets, are supported; how specialty care is obtained. Explain your process for tracking and follow up -- who does, how, how often, where/how recorded, is it trended? How do you know it is working?</p> <p><b>Staff interaction:</b> Explain a time when you had to take someone to the doctor. Tell me about your individuals who have special diets and how you accommodate them.</p> <p><b>Individual interaction:</b> Have you been to the doctor? What for? What did the doctor tell you to do – did you do it?</p> <p><b>Observation:</b> General appearance of individuals; any symptoms of colds, flu, etc; individual use of adaptive equipment (see also outcome on repair of equipment); if there at meal or snack time, what was served, did it look like diets were taken into consideration.</p> <p><b>Consumer record review:</b> Look for documentation of the outcomes - patterns and trends to support that the system(s) is present and achieving the outcomes.</p> <p><b>Data:</b> APTS data under health – may direct other questions around this data. For example if data showed numerous issues around preventative care and examinations, may want to pursue this with your questions.</p>
<p>Individuals requiring specialized medical services have access to specialists. <i>(Group Home / ISL)</i></p>	
<p>Recommendations of health care providers show follow-up. <i>(Group Home / ISL)</i></p>	
<p>Individuals who have special dietary needs have those needs reviewed by a dietary consultant. <i>(Group Home / ISL)</i></p>	
<p>Individuals' health is protected through measures typically taken to prevent communicable diseases for persons with similar health status. <i>(Group Home / ISL/ Day Services)</i></p>	<p><b>Discussion:</b> Describe the actions you take if someone is suspected or diagnosed with a communicable disease. (Protection of ill individuals as well as housemates and staff. Informing staff of measures.) What is your system to ensure that people are immunized? How are staff trained in these measures and what is your system for assuring that training?</p> <p><b>Staff Interaction:</b> Tell us about a time when a consumer had the flu. What measures do you take? How do you know what symptoms to report and to whom? (You may vary the example; if the agency has someone w/ Hepatitis C or MSRA, for instance)</p>

	<p><b>Individual Interaction:</b> Did you get a flu shot this year? What would you do if you had a cold? How does staff help you when you are sick?</p> <p><b>Observation:</b> Are there supplies for hand washing; antibacterial gels; gloves and other protective equipment? Do you see staff and individuals using any of this?</p> <p><b>Individual Record:</b> Immunization records up to date; declination forms if no immunization; follow-up documentation of doctor contact/visits/labs for illness.</p> <p><b>Data:</b> APTS data under health; EMT – incident types medical emergency, hospitalization.</p>
Individuals take medications as prescribed. ( <i>Group Home / ISL/ and Day Services if administering medications</i> )	<p><b>Discussion:</b> Describe your medication management system. (Administration; renewal; doctor’s orders; training; reporting/tracking/trending and addressing; medication errors). Explain the process for determining if medications are effective.</p> <p><b>Staff Interaction:</b> Explain how you administer medications. What do you watch for when people take medication? How do you know if the medication is working? What do you do if someone reacts to a medication? How do you normally get meds? If meds change, how do you know? Show me what you do when someone self-administers medications.</p> <p><b>Individual Interaction:</b> Tell me how you get your medications. How you ever been out of your meds – what did you or your staff do?</p> <p><b>Observation:</b> Review the current MAR from which staff is passing meds. If there are at med time pass, observe the process. How meds are stored/secured.</p> <p><b>Individual Record:</b> Review previous MARS. Review doctor’s orders – are changes identified.</p> <p><b>Data:</b> APTS – health procedures, staff training, medications; EMT – med errors.</p>
Individuals are supported in safely managing their medications. ( <i>Group Home / ISL/ and Day Services if administering medications</i> )	
Individuals’ medications are regularly evaluated to determine their continued effectiveness. ( <i>Group Home / ISL</i> )	
Individuals who take medications are supported by people who are knowledgeable about accepted standards of practice in medication management. ( <i>Group Home / ISL/ Day Services if administering medications</i> )	

**Missouri Quality Outcome:** People feel safe and experience emotional well-being. People are supported in managing their home.

**Related National Core Indicator:** People are safe from abuse, neglect and injury.

**Related Certification Principle:** Assuring individual safety/Individuals’ environments are safe while assuring choices and freedoms.

Areas Reviewed	Comments
Individuals receive the degree of supervision consistent with personal ability and the nature of the environment. ( <i>Group Home / ISL/ Day Services</i> )	<b>Discussion:</b> How do you support individuals who require altered levels of supervision? Everyone has different support needs – how do you ensure that you are meeting each individual need? What is your process for advocating for someone who, due to changes in health/behavior may require a higher level of support/supervision?

	<p><b>Staff Interaction:</b> How do you know what level of supervision to provide? Have you encountered barriers to providing the required levels of supervision?</p> <p><b>Individual Interaction:</b> How does staff help you in your home? How does staff help you in the community? Is staff available when you need them?</p> <p><b>Observation:</b> Are people waiting for support/assistance? Is staff responsive to individuals' requests for assistance/support? If an individual has an altered level of supervision, can you see if it is being implemented?</p> <p><b>Individual Record:</b> The identified level of supervision is in the record.</p> <p><b>Data:</b> EMT – supervision level not followed; APTS – Services and staff/personal plan implementation and staff empowerment.</p>
<p>Individuals' homes and other environments are clean, safe, and well maintained. (<i>Group Home / ISL</i>)</p>	<p><b>Discussion:</b> Describe your system(s) to assure that homes, buildings, and vehicles are clean, safe and well-maintained. Describe how individual's preferences are taken into consideration in maintaining a safe comfortable environment, including air and water temperatures. What is your process if there are issues discovered in these areas? Discuss some of the adaptations/modifications that have been made to ensure safety. Have you had to use the tenant's rights process and what was the resolution?</p>
<p>The temperature of individuals' homes is comfortable, usually within an accepted comfort range of 68 to 78 degrees, unless otherwise indicated per person's preference. (<i>Group Home / ISL</i>)</p>	
<p>Individuals' homes and other environments have modifications or adaptations to ensure safety. (<i>Group Home / ISL/ Day Services</i>)</p>	<p><b>Staff Interaction:</b> How do you report maintenance problems that might occur? How quickly are repairs made when needed? Have you encountered barriers in addressing maintenance issues? Some questions for staff may arise from observations of the environment. Explain your knowledge of renters/tenant's rights?</p>
<p>Individuals' safety is assured through preventive maintenance of vehicles, equipment, and buildings. (<i>Group Home / ISL/ Day Services</i>)</p>	<p><b>Individual Interaction:</b> What happens when something breaks in your home (setting)? Who fixes things when they break? How long do you have to wait? How do you report things that need fixing? Do you help fix things in your home? Do you use seat belts in the car?</p>
<p>Individuals are transported safely. (<i>Group Home / ISL/ Day Services</i>)</p>	
<p>Individuals use adaptive, corrective, mobility, orthotic, and prosthetic equipment which is in good repair. (<i>Group Home / ISL/ Day Services</i>)</p>	<p><b>Observation:</b> Observe the condition of the environment using your senses: sight, sound, smell, and touch. Notice any modifications of the environment/vehicle to support the consumers.</p> <p><b>Individual Record:</b> Are environmental adaptations/modifications to support people noted in their record? Are there strategies in the record that identify the supports the individual needs to manage their home/setting according to their ability?</p> <p><b>Data:</b> EMT – evidence of injuries due to environmental factors, such as burns, falls, etc. –may have to read some descriptions; vehicular accidents. APTS – Environment and safety.</p>

<p>Individuals' homes and other environments have passed externally conducted health, safety, and mechanical inspections as required. (<i>Group Home / ISL/ Day Services</i>)</p>	<p><b>Discussion:</b> What environmental inspections are required and conducted to ensure the health and safety of individuals? If recommendations are included, what do you do?</p> <p><b>Observation:</b> Review the reports of external inspections.</p>
<p>Individuals are supported in responding to emergencies in a safe manner. (<i>Group Home / ISL/ Day Services</i>)</p>	<p><b>Discussion:</b> Describe how you ensure that your staff knows what to do and support people in emergency situations. Where are the written procedures/directions kept? How are they updated? What is your process for assuring adequate working emergency equipment, such as fire extinguishers, smoke detectors, etc.?</p>
<p>Individuals participate in emergency drills occurring during daytime, evening, and nighttime hours at least four times annually.</p>	<p><b>Staff Interaction:</b> What supports do people need in responding to emergencies? Describe the training you received about responding to emergency situations? If a tornado (or use any emergency) happened, what would you do? Tell me what happened during the most recent drill that was done?</p>
<ul style="list-style-type: none"> <li>• <i>On-site Day Services</i>– At least one fire drill per month and a disaster drill twice per year are conducted.</li> </ul>	<p><b>Individual Interaction:</b> What would you do in case of a fire (or use any emergency)? When did you last participate in a drill?</p>
<ul style="list-style-type: none"> <li>• <i>Group Home</i> for 4 to 9 People At least one fire drill per quarter and one disaster/weather drill per quarter are conducted.</li> </ul>	<p><b>Observation:</b> Review fire/emergency drills over the last year and any follow-up needed to those. Emergency response numbers readily available. Exits are accessible, not blocked. Look for location of smoke detectors/fire extinguishers.</p>
<ul style="list-style-type: none"> <li>• <i>Group Home</i> for 10 to 16 People At least one fire drill per month and one disaster/weather drill per month are conducted.</li> </ul>	<p><b>Data:</b> APTS – Environment and safety.</p>
<ul style="list-style-type: none"> <li>• <i>Group Home</i> for 17 or More People At least one fire drill and one disaster/weather drill per month are conducted.</li> </ul>	
<p>Individuals are supported or served by staff that is knowledgeable about emergency procedures. (<i>Group Home / ISL/ Day Services</i>)</p>	
<p>Individuals have access to adequate evacuation exits. (<i>Group Home / ISL/ Day Services</i>)</p>	
<p>Individuals have properly marked and easily accessible firefighting equipment in their homes. (<i>Group Home / ISL</i>)</p>	
<p>Individuals are supported or served by staff who have pertinent information to facilitate ordinary or emergency notification of family, guardians, and other interested parties. (<i>Group Home / ISL/ Day Services</i>)</p>	<p><b>Discussion:</b> How do you ensure that notification information for individuals is current and available? Who contacts family/guardian or interested parties in an emergency?</p> <p><b>Staff Interaction:</b> Where is contact information for the individual located? How is it updated? How do you know who to call for what situations?</p> <p><b>Individual Interaction:</b> Have you ever had an accident; who did staff contact? Who would you want contacted?</p>

	<p><b>Observation:</b> View individual contact information.</p> <p><b>Data:</b> APTS – Services and staff, staff empowerment; if concerns arise, look at a sample of EMT data for notifications.</p>
<p>Individuals incurring injuries or experiencing unusual incidents have this documented in their files. <i>(Group Home / ISL/ Day Services)</i></p>	<p><b>Discussion:</b> When an individual has incurred an injury or experiences an unusual incident how is this recorded?</p> <p><b>Staff interaction:</b> If an individual had an injury what is the process for follow up? Where are observation/progress notes located? What are included in these notes?</p> <p><b>Individual interaction:</b></p> <p><b>Observation:</b> View observation/progress notes and EMTs. Ensure EMTs are filed separately from consumer record. View agency’s written procedures.</p> <p><b>Individual record review:</b> This refers to having the situation described in observation notes/progress notes. The event report should be filed separately from the individual’s record.</p> <p><b>Data:</b> CIMOR and Report Manager EMT reports; quarterly summary of progress in individual’s file.</p>
<p>Individuals and staff use safe and sanitary practices in all phases of food preparation and clean up. <i>(Group Home / ISL/ Day Services)</i></p>	<p><b>Discussion:</b> What are the expectations in regards to safe and sanitary practices of food preparation and clean up? What training does staff receive?</p> <p><b>Staff interaction:</b> Explain the process of preparing meals and clean up? What training has been received on safe and sanitary practices?</p> <p><b>Individual interaction:</b></p> <p><b>Observation:</b> Observe meal and/or snacks being prepared, served, and cleaned up. Does kitchen and dining area appear sanitary?</p> <p><b>Data:</b> APTS – Environment &amp; Safety, Comfort</p>

**Missouri Quality Outcomes:** People feel safe and experience emotional well-being.  
 People advocate for themselves, for others and for causes they believe in.

**Related National Core Indicator:** People are safe from abuse, neglect, and injury  
 People receive the same respect and protections as others in the community.

**Related Certification Principle:** Individuals are treated with respect in an environment that promotes dignity.

Areas Reviewed	Comments
<p>Reporting of complaints of abuse, neglect, or misuse of funds or property is done as required by 9 CSR 10-5.200.  <a href="http://www.sos.mo.gov/adrules/csr/current/9csr/9csr.asp#9-10">http://www.sos.mo.gov/adrules/csr/current/9csr/9csr.asp#9-10</a>            (Group Home / ISL/ Day Services)</p>	<p><b>Discussion:</b> What is the process for reporting of complaints of abuse, neglect or misuse of funds or property – both staff and individuals? What training does staff, individuals and family receive on this? How often?</p> <p><b>Staff interaction:</b> If you observed abuse or neglect what would you do (may use an example of actual incident)? What training did you receive on abuse, neglect and misuse of funds or property? What are your recommendations for improvement on this training?</p> <p><b>Individual interaction:</b> What is abuse and neglect? If you were abused, neglected or if there was a misuse of money or personal items what would you do? If you were involved in a complaint, were you satisfied with the outcome? Why or why not?</p> <p><b>Observation:</b> Agency written complaint procedures including individual formal complaint process. Documentation showing all complaints are reviewed and analyzed to identify trends and conflict resolution information. Documentation showing annual review of complaints. External and internal, if applicable, investigation reports and related corrective action plans.</p> <p><b>Individual record review:</b></p> <p><b>Data:</b> CIMOR and Report Manager Investigation reports; quarterly trend reports.</p>

<p>Event reporting is done as required by 9 CSR 10-5.206  <a href="http://www.sos.mo.gov/adrules/csr/current/9csr/9csr.asp#9-10">http://www.sos.mo.gov/adrules/csr/current/9csr/9csr.asp#9-10</a>          (Group Home / ISL/ Day Services)</p>	<p><b>Discussion:</b> What is the process for event reporting? What training does staff, individuals and family receive on this? How often? What trends have been discovered and action taken as a result of those trends?</p> <p><b>Staff interaction:</b> What is the process for reporting individual falls and medication errors? What training have you received on completing EMTs? Was the training adequate? Why or why not?</p> <p><b>Individual interaction:</b></p> <p><b>Observation:</b> View EMTs for accuracy and completion; cannot be filed in individual record. Documentation showing all incidents are reviewed and analyzed to identify trends and an action plan established to reduce risks.</p> <p><b>Individual record review:</b> Do you read any documentation in the record that appears to be a reportable event that does not have a corresponding event report?</p> <p><b>Data:</b> CIMOR and Report Manager EMT reports; quarterly trend reports.</p>
<p>Due process occurs when limitations are imposed.          (Group Home / ISL/ Day Services)</p>	<p><b>Discussion:</b> How do you assure that an individual has due process if certain rights are being limited? Have you made any referrals to the Human Rights Committee, if so what were the outcomes? How do you facilitate the use of external advocates? What policies and procedures do you have in place to ensure the rights of individuals?</p> <p><b>Staff interaction:</b> What training have you received on supporting people to exercise their rights?</p> <p><b>Individual interaction:</b> If you are not able to do something you want to do, who do you go to? Ask question about the results.</p> <p><b>Observation:</b> Written policies and procedures address individual's rights;</p> <p><b>Individual record review:</b> Do you see any referrals or responses from Human Rights Committee in the individual's record. : Do you read any documentation in the record that appears to be a rights limitation? If so did they follow their agency policy to address the limitation?</p> <p><b>Data:</b> CIMOR and Report Manager EMT reports; APTS, quarterly trend reports.</p>

**Comments:** (Additional comments not contained in the sections above regarding information found in the review, positive aspects/outcomes achieved, information that may have been clarified, etc.)

**Conclusion:** (Evaluative comments regarding the outcome of the review, the need for follow-up, etc)

**Recommendations:** (Any specific recommendations for the agency or the regional office to follow-up)

**Signature:** (Of individual leading/conducting the review)