

Conduct Your Own Mock Survey: Tracer Methodology



Julia Finken, RN, BSN, MBA, CPHQ, Executive Director Behavioral Health Care, The Joint Commission
Emily Wells, CSW, MSW, Project Director & Behavioral Health Care Surveyor, The Joint Commission
September 17, 2019



Survey Tracer Methodology

- Methodology used by surveyors conducting on-site surveys
- Key part of the on-site survey process
- Uses information from the organization to follow the experience of care, treatment or services for a number of individuals served
- Allows surveyors to identify performance issues



Tracer Methodology

- Traces the continuum of care, treatment or services provided
- Usually at least 60% of the on-site survey
- Directly involves staff who provide care, treatment or services
- Follows care, treatment or services provided throughout the organization
- Individual served/family is involved as appropriate
- Samples from all programs/services operated by organization
- Surveyors attempt to minimize disruptions to the organization



Tracer Methodology

- Information gathered through our online application (E-App) informs tracers
- Three types of tracers:
 - Individual tracers
 - Accreditation program specific tracers
 - System tracers



Tracer Methodology

Individual Tracer

- Follows a selected individual served throughout the individuals' care, treatment or services with your agency while reviewing standards compliance
- Reviews system-wide interface with the individual being served
- Interviewing of staff involved in the care, treatment or services for the individual being served
- Interactions between various programs/services (if provided) as a result of the care, treatment or services provided

Tracer Methodology

Accreditation Program Specific Tracer

- Goal: Identify quality, safety and risk concerns within the organization
- Pre-determined tracer activity based upon literature review and relevant topics in the field

Tracer Methodology

Four Behavioral Health Program-Specific Tracers:

1. Continuity of Foster / Therapeutic Foster Care
2. Elopement
3. Suicide Prevention*
4. Violence Prevention



*See attached handout for example of a suicide tracer

Tracer Methodology

Example of Tracer Methodology for Suicide Prevention

- Screening and assessment of patients to determine suicide risk
- Reassessment process
- Removing risks that can be removed from the environment
- Monitoring
- Care, treatment and services for the individual being served
- Continuum of care and coordination of care
- Education to family and patient
- Evaluation of NPSG 15.01.01
- Human Resources and Staff Education
- Establishing an overall Suicide risk Reduction Program

Tracer Methodology

System Tracers

- Evaluation of system processes – differs from an individual tracer
- Interactive process with staff
- Evaluated flow of the process, communication within the process and integration of key activities



Tracer Methodology

Three System Tracers within Behavioral Health Care Accreditation:

1. Data Management
2. Infection Control
3. Medication Management

*Special Consideration: Tailored surveys



Tracer Methodology

What is the end goal of Tracer Methodology?

Identification of RISK as it impacts quality and safety



Conducting Your Own Mock Tracer

Tracer Methodology

How can you use the tracer methodology to identify risk and prepare for your initial or triennial survey?

- E-dition / CAMBHC – Accreditation Process Chapter
- Conducting mock tracers or mock surveys
- Random selection of clinical/case records
- Use information to identify need for improvement or congratulate on the wins!
- Focus on the **BIG** picture –



Conducting a Mock Tracer

Plan a “mock survey” training day

- Let staff know expectations in advance
- Choose which tracers to conduct
- Choose the records randomly to trace
- Talk to the staff involved with that individual’s care, treatment or services
- Ask questions from the mock tracer resources
- Evaluate your staff and provide feedback for improvement

Conducting a Mock Tracer

Tracing a Record:

- Start from the point of admission for that patient and move throughout the course of care
- Choose patients who have moved between various areas of the organizations or different levels of care
- High Risk Areas
- Choose various age ranges and populations served
- Review all activity that occurs through discharge

Tips for selecting High Risk Area tracers

Areas that are potential high risk include:

- Screening Assessment
- Suicide (or suicide self-harm potential)
- Restraint
- Flow of Individuals across continuum of care
- Management of Medication

Tips for Selecting Tracers in a Mock Survey

- Cover the highs and lows -- focus on high-volume, low volume, and high risk areas
 - Target time-sensitive tasks
 - Target known areas of non-compliance
 - Examine vulnerable populations
 - Look at specialized programs or services



Tips for Conducting Mock Tracers

- Consider having staff trade off surveyor and interviewee positions
- Remind them “I don’t know” is a valid answer in many cases, so long as they know where to go to find the answer
- Be sure you have completed all your required written documentation prior to running your first tracers
- Know where to find information in the record

Questions?



Free Webinars

BEHAVIORAL HEALTH WEBINAR OFFERINGS PUT THE POWER TO BECOME ACCREDITED IN YOUR HANDS

Feb 12	The Business Case for Quality: How Accreditation Strengthens Addiction Treatment Facilities
Mar 12	Accreditation Preparation: Five Strategies for Success in Behavioral Health
May 21	Joint Commission Accreditation: A Framework for Integrated Care & CCBHC Success
Jun 11	The Business Case for Quality: How Accreditation Improves Multi-Site Behavioral Health Systems
Jul 16	Strategies for a Successful Behavioral Health Survey
Aug 13	Conquering Challenging Behavioral Health Standards
Sep 17	Conduct Your Own Behavioral Health Mock Tracers
Oct 8	QRTP Accreditation with The Joint Commission: One Agency's Journey
Nov 5	Five Ways Accreditation Drives Quality Improvement in Behavioral Health Care



Register at:

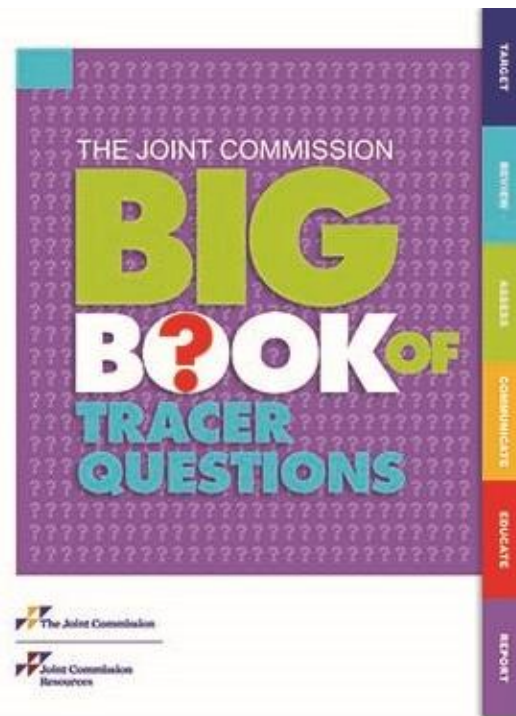
[pages.jointcommission.org/
BHC2019](https://pages.jointcommission.org/BHC2019)

View previous webinars/slides at:

[www.jointcommission.org/
BHCS](https://www.jointcommission.org/BHCS)

Assistance and Resources:

Joint Commission Big Book of Tracer Questions



The Joint Commission Big Book of Tracer Questions

Get access to thousands of downloadable, customizable tracer questions!

Release Date: May 2017. 160 pages.

- An *individual license* is intended for single users only. This ebook cannot be shared, disseminated, downloaded, or posted for widespread or public use.
- A *site license* allows this ebook to be shared among unlimited users but only within one facility or site, either by posting to a secure intranet site or by providing other means of secure access.
- A *system license* allows this ebook to be shared among unlimited users within all facilities or sites within a health care system, either by posting to a secure intranet site or by providing other means of secure access. Please contact JCR Customer Service (877.223.6866 option 1) for pricing of a system license.

[Download 'Sample Pages'](#)



		Accreditation Programs/Settings							
		AHC	BHC	CAH	HPK	LAB	NCC	ONS	ONE
INTRODUCTION.....									1
MOCK TRACER FORM.....									4
TRACERS.....									7
MOCK TRACERS.....									10
SECTION 1: PERFORMANCE IMPROVEMENT.....									17
1.1: Performance Improvement Data.....									19
1.2: Implementing Performance Initiatives.....									21
1.3: Performance Improvement Management.....									25
SECTION 2: LEADERSHIP.....									26
2.1: Leadership in Performance Improvement.....									27
2.2: Safety Culture.....									28
2.3: Patient Flow.....									29
2.4: Contracted Services.....									31
SECTION 3: STAFFING AND MEDICAL STAFF.....									32
3.1: Staff Orientation, Training, and Education.....									32
3.2: Credentialing and Privileging.....									34
3.3: Competency Assessment.....									39
SECTION 4: CARE OF THE PATIENT.....									42
4.1: Admission, Discharge, and Transitions of Care.....									42
4.2: Assessment and Plan of Care.....									45
4.3: Emergency Department Processes.....									47
4.4: Suicide Risk Assessment.....									48
4.5: Pain Management.....									50
4.6: Abuse and Neglect.....									51
4.7: Nutrition.....									52
4.8: Skin and Pressure Ulcers.....									53
4.9: Falls Risk.....									55
4.10: Operative and High-Risk Procedures.....									58
4.11: Radiology Processes.....									60
4.12: Transfusions and Blood Products.....									62
4.13: Physical Therapy.....									62

<https://www.jcrinc.com/the-joint-commission-big-book-of-tracer-questions/>

Assistance and Resources:

Tracers with AMP software



Tracers with AMP™ Behavioral Health Care Site License

SKU# ATBHSB

All with just a few clicks, this cost-effective tool provides a mechanism to jump start or revive your tracer program, reinvent your patient safety activities, automate your PI process, and print reports for senior leaders and frontline staff.

Enjoy pre-built, customizable tracers plus new and updated tracer templates added continuously throughout the year.

Tracers is only available as a site license. An unlimited number of users within your organization can access this product. For large system orders, please [contact us](#).

<https://www.jcrinc.com/tracers-with-amp-sup-/sup-/>

Assistance and Resources



Joint Commission
Behavioral Health Care
Annual Conference
October 23-24, 2019
Rosemont, IL

<https://www.jcrinc.com/2019-behavioral-health-care-conference-october-23-24-2019/>

“An opportunity for a deep dive into the accreditation experience with our experts”

Behavioral Health Care Accreditation

Business Development Team – We're here to help!



Julia Finken, BSN, MBA, CPHQ, CSSBB
Executive Director
Jfinken@jointcommission.org
630-792-5790

Eastern Region

Yvonne Rockwood
MBA, MHA, CPHQ
Associate Director - BHC
630-792-5792
Yrockwood@jointcommission.org



Darrell Anderson
Manager- BHC
630-792-5866
Danderson@jointcommission.org



Western Region

Colette Bukowski, LPCC-S
Associate Director -BHC
630-792-6684
Cbukowski@jointcommission.org



Tiffany Holloway, MS, QMHP
Manager - BHC
630-792-5165
Tholloway@jointcommission.org

