Conduct Your Own Mock Survey
(Tracer Methodology)

Joint Commission Accreditation

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Conduct Your Own Mock Survey
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This webinar contains basic and intermediate accreditation information
TRACER METHODOLOGY

- Methodology used by surveyors conducting on-site surveys
- Key part of the on-site survey process
- Uses information from the agency 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
Information gathered through our online application (E-App) informs tracers

3 types of tracers:

- Individual tracers
- Accreditation Program specific tracers
- System Tracers
**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

- Example
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
5 Behavioral Health Care Accreditation Program Specific Tracers:

1. Continuity of Foster / Therapeutic Foster Care
2. Elopement
3. Suicide Prevention*
4. Violence Prevention
5. Continuity of care for individuals being treated for Eating Disorders
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
3 System Tracers within Behavioral Health Care Accreditation:

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

**Special Consideration: Tailored surveys**
What is the end goal of Tracer Methodology?

Identification of **RISK as it impacts quality and safety**
How can you use the tracer methodology to identify risk and prepare for your initial or triennial survey?

- E-dition / CAMBHC – Accreditation Process Chapter Pages ACC 39 – ACC 45
- Conducting Mock Tracers
- Random selection of clinical/case records
- Use information to identify need for improvement or congratulate on the wins!
Using Tracers and Mock Surveys to prepare for a Joint Commission Survey and improve services

Tammy Wilson, LMFT, CEO

Oak Grove Center
Tracers at a Glance

Adapted from *Mock Tracers for Behavioral Health Care*

During the Survey, the Surveyor will evaluate:

- Compliance with Joint Commission standards and National Patient Safety Goals
- Consistent adherence to organization policy and consistent implementation of procedures (*tips on what to avoid*)
- Communication within and between units/departments/programs/services
- Staff competency for assignments and workload capacity
- The physical environment as it relates to safety of individuals served, visitors and staff
Mock Tracer Activities that can lead to a successful Survey

- Peer Review utilizing Mock Tracer Methodology
- Management Team using Mock System Tracers
- Program Readiness Inspections
Mock Survey Tracers

Used to evaluate the care of an individual OR to evaluate a specific care process as part of a larger system. USE BOTH

- **Individual Tracers** —usually includes observing care, treatment or services provided to the individual and associated processes

- **System Tracers** used to analyze how well a high risk system or the processes that make up that system function. Big ticket items are

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

Since the Survey will include a Group Session, practice with your Management or Leadership Team
Clinical Peer Review adopting the “Tracer” approach

- A way to analyze and evaluate the assessment, treatment planning process, course of treatment, and discharge planning

- Used to evaluate the care of an individual OR to evaluate a specific care process as part of a larger system. USE BOTH

- Also helps provide clinical peer feedback as a training and supervision tool

- How?
The Clinical Director chooses an unknown case assigned to a Clinician who is scheduled for Peer Review.

The Clinician then presents all relevant case information which includes:

- Pertinent history
- Presenting problems and symptoms
- Rationale and justification for diagnosis
- Treatment Plan
- Course of treatment including interventions and rationale for implementation
- Discharge planning process.
- Any risk management issues, safety concerns, health problems
- Barriers to treatment
- Unusual circumstances impacting treatment.
The Clinician’s peers are encouraged to ask questions, provide feedback and suggestions. These are designed to evaluate:

- the Clinician’s expertise,
- appropriateness of course of treatment
- risk management issues
- But MOST importantly to also to build the Clinician’s skill set and knowledge

What other questions are good for the clinicians to ask?
The Tracer process may also include a more in-depth review of any medical records, if there are ongoing questions or concerns.

The medical record review may include the Psychosocial, Treatment Plan and Case notes in evaluating the Clinician in individual supervision.
Suggestions:

- Use clinicians from several departments or areas to participate in the discussion.

- This process mimics an objective “outside” evaluation similar to the Joint Commission survey process.

- For example, an outpatient clinician may have a unique perspective and questions for a residential case.

- This process has assisted the clinical team in not only preparing for a Joint Commission Survey, but more importantly ensures that the requirements for high level of clinical practice are consistently maintained.
Types of System Tracers

- The Management Team can respond to Data collection tracer see p 39 of *Mock Tracers for Behavioral Health Care* (Joint Commission Resources)

- Excellent resource: Appendix A Sample Tracer Worksheets (Joint Commission)

- Covers areas such as:
  - Correct process observed
  - Areas of concern
  - Follow up needed
  - Required documentation present?
Tips for Selecting Tracers

- Cover the highs and lows -- focus on high-volume/high-risk and low volume/low risk
- Target time-sensitive tasks
  - Frequency of staff performance evaluations
  - Signing dating timing of Physician Orders. Are they present and complete?
- Examine vulnerable populations
Areas that are potential high risk include:

- Screening Assessment
- Suicide (or suicide self-harm potential)
- Restraint
- Flow of Individuals across continuum of care
- Treatment and Services
Key elements that led to a successful survey

- Incorporating Mock Survey Tracer activity into Peer Review and Performance Evaluations
- Action Teams
- Multi-disciplinary review of areas
What worked? What could be better?
Based on our last survey

In looking at “What worked well and what you would do differently to more effectively prepare for survey?”:

• Digital versions of Accreditation Manual

• Use a quarterly review and report cycle

• Any Joint Commission resources you utilized to conduct your Mock Survey.

• Mock Tracers for Behavioral Health Care book

• Involve direct care staff early in the process

• Identify Action Teams at beginning of year and plan ahead
Questions
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(If your question concerns the Life Safety Chapter, please call 630/792-5900 and ask for a Joint Commission engineer or email engineer@jointcommission.org)
Mock Tracers for Behavioral Health Care book from Joint Commission Resources:

http://www.jcrinc.com/mock-tracers-for-behavioral-health-care-revi/
Behavioral Health Care Accreditation
Other Resources

Toolkit for New Accreditation Professionals from Joint Commission Resources:

Tracers with Accreditation Manager Plus (AMP) software from Joint Commission Resources:

http://www.jcrinc.com/tracers-with-amp-sup-/sup-/
# Assistance and Resources

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*Note: Register for webinars or view previously conducted webinars at [www.jointcommission.org/BHCS](http://www.jointcommission.org/BHCS)*

All webinars will be held:
- 10-11 AM Pacific
- 11-12 PM Mountain
- 12-1 PM Central
- 1-2 PM Eastern
Assistance and Resources

BHC Annual Conference
October 12-13, 2017, Rosemont, IL

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See you soon on the accreditation road!