Conduct Your Own Mock Survey: Tracer Methodology

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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
Example of Tracer Methodology for Suicide Prevention

- Screening and assessment of patients to determine suicide risk
- Reassessment process
- Care, treatment and services for the individual being served in addition to an assessment of the environment
- Continuum of care and coordination of care
- Education to family and patient
- Evaluation of NPSG 15.01.01
- Human Resources and Staff Education
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
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
- Random selection of clinical/case records
- Use information to identify need for improvement or congratulate on the wins!
Preparing for a successful survey

Chelsea Collins, RN, Certified Master Black Belt

*Director of Performance Improvement & Accreditation*
When you fail to plan, you plan to fail!
Activities that lead to a successful survey
Forms & Tools

- Forms
- Spreadsheets
- Tracers with AMP software
- Integrated into your EHR
Forms & Tools – Individual Tracer Example

Document Review/Individual Tracer Worksheet

Client Name: [红acted]
ID#: [红acted]
Date: [红acted]

Affiliated: ☐ RBC ☐ RNW ☐ RHIC ☐ RHC ☐ RICL ☐ RCL
☐ RMD ☐ RNB ☐ CCLA ☐ RDP ☐ Tiltum ☐ Mathews
☐ RBC ☐ RNW ☐ RJC

Program/Offering:

Reviewers:

Start Interviewed/Reviewed:

Communication/Physical Condition:

Evidence of collab with client's external resources/other sources:

Evidence of communication and collaboration within the client's team/unit:

Information Management/Documentation:

- The emergency contact number is complete.
- There is no contradictory information in the chart.
- There is evidence of transfer of information for one level of care to another (discharge summary complete).

Outcomes:

10. Care goals completed, signed.
11. All treatments are up to date.
12. Staff knows how to respond to codes.
13. Staff knows how to locate SOGs.
14. NCPAA as indicated.

Areas of Improvement:

15. Objectives/measurements are specific enough to indicate progression (measurable).
16. Documentation that the client was given a copy of the Treatment Plan (MF only).
17. All documentation is complete in a timely manner with no gaps in the client record.
18. The records reflect the client's treatment plan and the behavioral effects of pharmacologic medication and changes are addressed and documented in the Treatment Plan.
19. Progress notes are individualized, not "cookie cutter," and quality reflects duration of service (Jiffy billing).
20. Documentation reflects treatment plan review (summarizes level of care treatment services).
21. Progress notes directly link to specific goals/objectives.
22. Progress notes reflect progress, not process.
23. Progress notes state where appropriate.
24. Progress notes state the plan.
25. The documentation reflects use of evidence-based practices.

Strengths:

Final Score:

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Types of Tracer Activities

- Mock Surveys
- Tracers
  - System
  - Individual
  - Targeted
- Walkthroughs
Mock Surveys

A full Mock Joint Commission Survey:
- Does not have to be in a typical survey period – just important to complete all parts in a realistic manner
- Determine desired frequency
- Determine who your “mock surveyors” will be
- Decide unannounced or scheduled
- Communicate the plan to all staff
- Emphasize the importance of Mock Survey activities to everyone
Tracers

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

- **System Tracers** used to analyze how well a high risk system or the processes that make up that system function. Most surveys include:
  1. Data Management
  2. Infection Control
  3. Medication Management
  4. Competency
  5. Environment of Care
  6. Leadership

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

- 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 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
- Treatment and Services
Targeted Tracers

- Smaller in scope than a full Mock Survey
- Focus in on one or two particular areas and programs.
- Still need to figure out the same logistics as with Mock Surveys
- Determine frequency
- Determine who
- Consider a team approach and building your bench
- Decide unannounced or scheduled
- Communicate the plan to all staff
Walkthroughs

- Very narrowly focused
- One specific topic
- Related to EC, EM, IC, & MM chapters
- Take very little time to complete
- Limited staff involved
Results

- Corrective Action Plans
  - Responsibility
  - Accountability
  - Due dates

- Make sure feedback makes it to all parties including the direct care staff involved.

- Communicate the strengths along with the areas for improvement
Results

Document Review/Individual Tracer Worksheet

1. FINDINGS REQUIRING CORRECTIVE ACTIONS

2. CORRECTIVE ACTION PLAN(S) (with due dates)

Team Leader/Coordinator: __________________________ Date: ________________
Director/Administrator: __________________________ Date: ________________
(Use for internal use only)
Tracer Team Leader: __________________________ Date: ________________
Tracer Chair: __________________________ Date: ________________
Results

Tracer Results July
n=64

% Compliant
% Non-Compliant
Trainings

- Important part of the feedback loop
- Need aggregated results interpreted in order to incorporate them into trainings
  - Variety: Power Points, Handouts & Videos.
  - Emails
  - In person trainings
  - Webinars
  - Online trainings
  - Intranet postings/links
What worked? What could be better?

- Be sure to ask these questions at the end of a cycle
- Don’t be afraid to change up the tracer process and make improvements to it
- Start the cycle over again. Revise your tools and forms based on the newest results and trainings provided.
- With each completion of the cycle you will bring your organization closer to continuous survey readiness.
Questions?
## Assistance and Resources: 2018 Free Webinars

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**Webinars held:** 10 - 11 AM Pacific, 11 AM – 12 PM Mountain, 12 - 1 PM Central, 1 - 2 PM Eastern


View previous webinars/slides at [www.jointcommission.org/BHCS](http://www.jointcommission.org/BHCS)
Assistance and Resources:
Mock Tracers in Behavioral Health Care Book

[Image of Mock Tracers for Behavioral Health Care]

Mock Tracers for Behavioral Health Care, Revised Edition

ISBN# 9781599408934

A targeted way for your staff to learn about and practice mock tracers in a behavioral health care setting.


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[Link](https://www.jcrinc.com/mock-tracers-for-behavioral-health-care-revi/)
Assistance and Resources:
Tracers with AMP software

Tracers with AMP™
Behavioral Health Care Site License

SKU# ATBHSH

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:

2018 Annual Conference

Joint Commission
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Annual Conference

October 10-11, 2018
Rosemont, IL


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