Date:  December 31, 2014

To:  Sandra Woodward, State Director
Provider:  New Mexico Consumer Direct Personal Care
Address:  3311 Candelaria NE Suite K
State/Zip:  Albuquerque, New Mexico  87107

E-mail Address:  sandraw@consumerdirectonline.net

Region:  Statewide
Survey Date:  November 14-20, 2014

Program Surveyed:  Mi Via Waiver
Service Surveyed:  Mi Via Consultation Services
Survey Type:  Initial

Team Leader:  Erica Nilsen, BA, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau
Team Members:  Amanda Castaneda, MPA, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Florence Mulheron, BA, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Crystal Lopez-Beck, BA, Deputy Bureau Chief, Division of Health Improvement/Quality Management Bureau; Valerie Valdez, M.S, Bureau Chief, Division of Health Improvement/Quality Management Bureau;

Dear Ms. Woodward;

The Division of Health Improvement/Quality Management Bureau Mi Via Survey Unit has completed a compliance survey of the services identified above. The purpose of the survey was to determine compliance with federal and state standards; to assure the health, safety, and welfare of individuals receiving services through the Mi Via Waiver; and to identify opportunities for improvement. This Report of Findings will be shared with the Developmental Disabilities Supports Division for their use in determining your current and future provider agreements. Upon receipt of this letter and Report of Findings your agency must immediately correct all deficiencies which place Individuals served at risk of harm.

**Plan of Correction:**

The attached Report of Findings identifies the deficiencies found during your agency’s compliance review. You are required to complete and implement a Plan of Correction. Your agency has a total of 45 business days (10 business days to submit your POC for approval and 35 days to implement your approved Plan of Correction) from the receipt of this letter.

**Submission of your Plan of Correction:**

Please submit your agency’s Plan of Correction in the space on the right-hand column of the Report of Findings. (See attachment “A” for additional guidance in completing the Plan of Correction).

Within 10 business days of receipt of this letter your agency Plan of Correction must be submitted to the parties below:

1. Quality Management Bureau
   Attention: Plan of Correction Coordinator
   5301 Central Ave. NE Suite 400 Albuquerque, NM 87108

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Survey Report #: Q.15.2.MVV.55821065.1/2/3/4/5.INT.01.14.365
Upon notification that your Plan of Correction has been approved, you must implement all remedies and corrective actions to come into compliance. If your Plan of Correction is denied, you must resubmit a revised plan as soon as possible for approval, as your POC approval and all remedies must be completed within 45 business days of the receipt of this letter.

Failure to submit your POC within the allotted 10 business days or complete and implement your Plan of Correction within the total 45 business days allowed may result in the imposition of a $200 per day Civil Monetary Penalty until it is received, completed and/or implemented.

**Request for Informal Reconsideration of Findings (IRF):**
If you disagree with a finding of deficient practice, you have 10 business days upon receipt of this notice to request an IRF. Submit your request for an IRF in writing to:

QMB Deputy Bureau Chief  
5301 Central Ave NE Suite #400  
Albuquerque, NM  87108  
Attention: IRF request

See Attachment "C" for additional guidance in completing the request for Informal Reconsideration of Findings. The request for an IRF will not delay the implementation of your Plan of Correction which must be completed within 45 total business days (10 business days to submit your POC for approval and 35 days to implement your approved Plan of Correction). Providers may not appeal the nature or interpretation of the standard or regulation, the team composition or sampling methodology. If the IRF approves the modification or removal of a finding, you will be advised of any changes.

Please call the QMB Plan of Correction Coordinator at 505-231-7436 if you have questions about the Report of Findings or Plan of Correction. Thank you for your cooperation and for the work you perform.

Sincerely,

_Erica Nilsen, BA_
Erica Nilsen, BA  
Team Lead/Healthcare Surveyor  
Division of Health Improvement  
Quality Management Bureau
Survey Process Employed:

Entrance Conference Date: November 17, 2014

Present: New Mexico Consumer Direct Personal Care
Sandra Woodward, State Director
Jacob Patterson, Regional Coordinator

DOH/DHI/QMB
Erica Nilsen, BA, Team Lead/Healthcare Surveyor
Amanda Castaneda, MPA, Healthcare Surveyor
Florence Mulheron, BA, Healthcare Surveyor
Crystal Lopez-Beck, BA, Deputy Bureau Chief
Valerie Valdez, MS, Bureau Chief

DDSD – Mi Via Program
Christine Wester, Mi Via Program Manager
Regina Lewis, Mi Via Program Coordinator

Exit Conference Date: November 20, 2014

Present: New Mexico Consumer Direct Personal Care
Sandra Woodward, State Director
Jacob Patterson, Regional Coordinator

DOH/DHI/QMB
Erica Nilsen, BA, Team Lead/Healthcare Surveyor
Amanda Castaneda, MPA, Healthcare Surveyor
Florence Mulheron, BA, Healthcare Surveyor
Crystal Lopez-Beck, BA, Deputy Bureau Chief
Valerie Valdez, MS, Bureau Chief

DDSD – Mi Via Program
Regina Lewis, Mi Via Program Coordinator

Administrative Locations Visited
Number: 1 (3311 Candeleria NE Suite K, Albuquerque, NM 87107)

Total Sample Size
Number: 39

Participant Records Reviewed
Number: 39

Consultant Staff Records Reviewed
Number: 19

Service Coordinator Records Reviewed
Number: 1

Administrative Processes and Records Reviewed:

- Medicaid Billing/Reimbursement Records for all Services Provided
- Accreditation Records
- Oversight of Individual Funds
- Participant Program Case Files
- Personnel Files
- Agency Policy and Procedure Manual
- Caregiver Criminal History Screening Records
- Consolidated Online Registry/Employee Abuse Registry
• Quality Assurance / Improvement Plan

CC: Distribution List:
DOH - Division of Health Improvement
DOH - Developmental Disabilities Supports Division
DOH - Office of Internal Audit
HSD - Medical Assistance Division
Provider Instructions for Completing the QMB Plan of Correction (POC) Process

**Introduction:**
After a QMB Compliance Survey, your QMB Report of Findings will be sent to you via e-mail.

Each provider must develop and implement a Plan of Correction (POC) that identifies specific quality assurance and quality improvement activities the agency will implement to correct deficiencies and prevent continued deficiencies and non-compliance.

Agencies must submit their Plan of Correction within ten (10) business days from the date you receive the QMB Report of Findings. (Providers who do not submit a POC within 10 business days may be referred to the Internal Review Committee [IRC] for possible actions or sanctions).

Agencies must fully implement their approved Plan of Correction within 45 business days (10 business days to submit your POC for approval and 35 days to implement your approved Plan of Correction) from the date they receive the QMB Report of Findings (Providers who fail to complete a POC within the 45 business days allowed will be referred to the IRC for possible actions or sanctions.)

If you have questions about the Plan of Correction process, call the Plan of Correction Coordinator at 505-231-7436 or email at Anthony.Fragua@state.nm.us. Requests for technical assistance must be requested through your Regional DDSD Office.

The POC process cannot resolve disputes regarding findings. If you wish to dispute a finding on the official Report of Findings, you must file an Informal Reconsideration of Findings (IRF) request within ten (10) business days of receiving your report. Please note that you must still submit a POC for findings that are in question (see Attachment “C”).

**Instructions for Completing Agency POC:**

**Required Content**
Your Plan of Correction should provide a step-by-step description of the methods to correct each deficient practice to prevent recurrence and information that ensures the regulation cited is in compliance. The remedies noted in your POC are expected to be added to your Agency’s required, annual Quality Assurance Plan.

If a deficiency has already been corrected, the plan should state how it was corrected, the completion date (date the correction was accomplished), and how possible recurrence of the deficiency will be prevented.

**The Plan of Correction must address the six required Center for Medicare and Medicaid Services (CMS) core elements to address each deficiency cited in the Report of Findings:**

1. How the specific and realistic corrective action will be accomplished for individuals found to have been affected by the deficient practice.
2. How the agency will identify other individuals who have the potential to be affected by the same deficient practice, and how the agency will act to protect individuals in similar situations.
3. What QA measures will be put into place or systemic changes made to ensure that the deficient practice will not recur.
4. Indicate how the agency plans to monitor its performance to make sure that solutions are sustained. The agency must develop a QA plan for ensuring that correction is achieved and sustained. This QA plan
must be implemented, and the corrective action evaluated for its effectiveness. The plan of correction is integrated into the agency quality assurance system; and

5. Include dates when corrective action will be completed. The corrective action completion dates must be acceptable to the State.

6. The POC must be signed and dated by the agency director or other authorized official.

Note: Instruction or in-service of staff alone may not be a sufficient plan of correction. This is a good first step toward correction, but additional steps should be taken to ensure the deficiency is corrected and will not recur.

Completion Dates
- The plan of correction must include a completion date for each finding. Be sure the date is realistic in the amount of time your Agency will need to correct the deficiency; not to exceed 45 total business days.

- Some deficiencies may require a staged plan to accomplish total correction.
- Deficiencies requiring replacement of equipment, etc., may require more time to accomplish correction but should show reasonable time frames.

Initial Submission of the Plan of Correction Requirements
1. The Plan of Correction must be completed on the official QMB Survey Report of Findings/Plan of Correction Form and received by QMB within ten (10) business days from the date you received the report of findings.

2. For questions about the POC process, call the POC Coordinator, Anthony Fragua at 505-231-7436 for assistance.

3. For Technical Assistance (TA) in developing or implementing your POC, contact your Mi Via Liaison at the Regional DDS Office.

4. Submit your POC to Anthony Fragua, POC Coordinator in any of the following ways:
   a. Electronically at Anthony.Fragua@state.nm.us (preferred method)
   b. Fax to 505-222-8661, or
   c. Mail to POC Coordinator, 5301 Central Avenue NE, Suite 400, Albuquerque, NM 87108

5. Do not submit supporting documentation (evidence of compliance) to QMB until after your POC has been approved by the QMB.

6. QMB will notify you when your POC has been “approved” or “denied.”
   a. During this time, whether your POC is “approved,” or “denied,” you will have a maximum of 45 business days from the date of receipt of your Report of Findings to correct all survey deficiencies.
   b. If your POC is denied, it must be revised and resubmitted as soon as possible, as the 45-business day limit is in effect.
   c. If your POC is denied a second time your agency may be referred to the Internal Review Committee.
   d. You will receive written confirmation when your POC has been approved by QMB and a final deadline for completion of your POC.
   e. Please note that all POC correspondence will be sent electronically unless otherwise requested.

7. Failure to submit your POC within 10 business days without prior approval of an extension by QMB will result in a referral to the Internal Review Committee and the possible implementation of monetary penalties and/or sanctions.

POC Document Submission Requirements
Once your POC has been approved by the QMB Plan of Correction Coordinator you must submit copies of documents as evidence that all deficiencies have been corrected, as follows.

1. Your internal documents are due within a maximum of 45 business days of receipt of your Report of Findings.
2. It is preferred that you submit your documents via USPS or other carrier (scanned and saved to CD/DVD disc, flash drive, etc.). If the documents do not contain protected Health information (PHI), the preferred method is that you submit your documents electronically.

3. All submitted documents must be annotated; please be sure the tag numbers and Identification numbers are indicated on each document submitted. Documents which are not annotated with the Tag number and Identification number may not be accepted.

4. Do not submit original documents; Please provide copies or scanned electronic files for evidence. Originals must be maintained in the agency file(s) per DDSD Standards.

5. In lieu of some documents, you may submit copies of file audit forms that clearly indicate cited deficiencies have been corrected, other attestations of correction must be approved by the Plan of Correction Coordinator prior to their submission.

6. When billing deficiencies are cited, you must provide documentation to justify billing and/or void and adjust forms submitted to Xerox State Healthcare, LLC. for the deficiencies cited in the Report of Findings. In addition to this, we ask that you submit:
   a. Evidence of an internal audit of billing/reimbursement conducted for a sample of individuals and timeframes of your choosing to verify POC implementation;
   b. Copies of “void and adjust” forms submitted to Xerox State Healthcare, LLC. to correct all unjustified units identified and submitted for payment during your internal audit.

Revisions, Modifications or Extensions to your Plan of Correction (post QMB approval) must be made in writing and submitted to the Deputy Chief at QMB, prior to the due date and are approved on a case-by-case basis. No changes may be made to your POC or the timeframes for implementation without written approval of the POC Coordinator.
Guidelines for the Provider
Informal Reconsideration of Finding (IRF) Process

Introduction:
Throughout the QMB Survey process, surveyors are openly communicating with providers. Open communication means surveyors have clarified issues and/or requested missing information before completing the review through the use of the signed/dated “Document Request,” or “Administrative Needs,” etc. forms. Regardless, there may still be instances where the provider disagrees with a specific finding. Providers may use the following process to informally dispute a finding.

Instructions:
1. The Informal Reconsideration of the Finding (IRF) request must be received in writing to the QMB Deputy Bureau Chief within 10 business days of receipt of the final Report of Findings.
2. The written request for an IRF must be completed on the QMB Request for Informal Reconsideration of Finding form available on the QMB website: http://dhi.health.state.nm.us/qmb
3. The written request for an IRF must specify in detail the request for reconsideration and why the finding is inaccurate.
4. The IRF request must include all supporting documentation or evidence.
5. If you have questions about the IRF process, email the IRF Chairperson, Crystal Lopez-Beck at crystal.lopez-beck@state.nm.us for assistance.

The following limitations apply to the IRF process:
- The written request for an IRF and all supporting evidence must be received within 10 business days.
- Findings based on evidence requested during the survey and not provided may not be subject to reconsideration.
- The supporting documentation must be new evidence not previously reviewed or requested by the survey team.
- Providers must continue to complete their Plan of Correction during the IRF process.
- Providers may not request an IRF to challenge the sampling methodology.
- Providers may not request an IRF based on disagreement with the nature of the standard or regulation.
- Providers may not request an IRF to challenge the team composition.
- Providers may not request an IRF to challenge the DHI/QMB determination of compliance or the length of their DDSD provider contract.

A Provider forfeits the right to an IRF if the request is not received within 10 business days of receiving the report and/or does not include all supporting documentation or evidence to show compliance with the standards and regulations.

The IRF Committee will review the request, the Provider will be notified in writing of the ruling; no face-to-face meeting will be conducted.

When a Provider requests that a finding be reconsidered, it does not stop or delay the Plan of Correction process. Providers must continue to complete the Plan of Correction, including the finding in dispute regardless of the IRF status. If a finding is removed or modified, it will be noted and removed or modified from the Report of Findings. It should be noted that in some cases a Plan of Correction may be completed prior to the IRF process being completed. The provider will be notified in writing on the decisions of the IRF committee.
The Citations in the following Report of Findings are based on the Mi Via Self-Directed Waiver Program Service Standards, effective 2/2012, the New Mexico Administrative Code (NMAC) 8.314.6 among other noted standards and regulations.

<table>
<thead>
<tr>
<th>Tag</th>
<th>Standard of Care</th>
<th>Deficiencies</th>
<th>Agency Plan of Correction, On-going QA/QI, Responsible Party and Date Due</th>
</tr>
</thead>
</table>
| 4.5   | **Pre-Eligibility and Enrollment Services**                                      | Based on record review the Agency did not maintain a complete and confidential case file at the administrative office for 19 of 39 participants.  
Review of the Agency’s participant case files revealed the following items were not found, incomplete, and/or not current:  
- Evidence the consultant explained to the participant what goods and services are covered in the Mia Via Program was not found. (1, 4, 10, 11, 14, 16, 19, 21, 23, 26, 27, 29, 32, 34, 35, 36, 37, 38, 40) | **Provider:**  
State your Plan of Correction for the deficiencies cited in this tag here: →  
**Provider:**  
Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here: → |

**Agency:** New Mexico Consumer Direct Personal Care - Statewide  
**Program:** Mi Via Waiver  
**Service:** Consultant Services  
**Monitoring Type:** Initial Survey  
**Survey Date:** November 14 - 20, 2014
Appendix A:

Service Descriptions in Detail 2009 Waiver Renewal

CONSULTANT/SUPPORT GUIDE

PRE-ELIGIBILITY/ENROLLMENT SERVICES

II. Scope of Service
Consultant pre-eligibility/enrollment services are delivered in accordance with the individual's identified needs. Based upon those needs, the consultant provider selected by the individual shall:

A. Assign a consultant and contact the individual within five (5) working days after receiving the PFOC to schedule an initial orientation and enrollment meeting;

B. The actual enrollment meeting should be conducted within 30 days. Enrollment activities include but are not limited to:

1. General program overview including key agencies and contact information;

2. Discuss medical and financial eligibility requirements and offer assistance in completing these requirements as needed;

3. Provide information on Mi Via participant roles and responsibilities;

4. Discussion of Employer of Record (EOR) including discussion and possible identification of an EOR and completion of the EOR information form;

5. Review the processes for hiring employees and contractors and required paperwork;
<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>6.</td>
<td>Review the process and paperwork for hiring Legally Responsible Individuals (LRI) as employees;</td>
</tr>
<tr>
<td>7.</td>
<td>Discuss the background check and other credentialing requirements for employees and contractors;</td>
</tr>
<tr>
<td>8.</td>
<td>Referral for accessing training for the GCESonline system; and to obtain information on the Financial Management Agency (FMA); and</td>
</tr>
<tr>
<td>9.</td>
<td>Provide information on the Service and Support Plan (SSP) including covered goods and services, planning tools and community resources available.</td>
</tr>
</tbody>
</table>

Mi Via Consultant Guide (4/12) pg. 16  
Mi Via Consultant Guide (4/12) pg. 31  
Mi Via Consultant Guide (4/12) pg. 33
### 4.6 On-going Consultant Functions

<table>
<thead>
<tr>
<th>Consultant Functions</th>
<th>Review of the Agency’s participant case files revealed the following items were not found, incomplete, and/or not current:</th>
</tr>
</thead>
<tbody>
<tr>
<td>After eligibility has been verified, consultants assist the participant with virtually every aspect of the Mi Via program. The extent of assistance is based upon individual participant needs, and may include (but is not limited to) help and guidance related to:</td>
<td>• Understanding participant and EOR roles and responsibilities;</td>
</tr>
<tr>
<td>• Identifying resources outside the Mi Via program, including natural and informal supports, that may assist in meeting the participant’s needs;</td>
<td>• Identifying resources outside the Mi Via program, including natural and informal supports, that may assist in meeting the participant’s needs;</td>
</tr>
<tr>
<td>• Understanding the array of Mi Via covered supports, services, and goods;</td>
<td>• Developing, documenting and submitting an appropriate SSP/budget request to implement the SSP/budget;</td>
</tr>
<tr>
<td>• Developing a thoughtful and comprehensive SSP/budget that includes services and supports, covered by the Mi Via program, to address the needs of the participant;</td>
<td>• Employer-related activities such as identifying an EOR, finding and hiring employees and contractors, and completing all documentation required by the FMA;</td>
</tr>
<tr>
<td>• Developing, documenting and submitting an appropriate SSP/budget request to implement the SSP/budget;</td>
<td>• Identifying and resolving issues related to the implementation of the SSP/budget;</td>
</tr>
<tr>
<td>• Employer-related activities such as identifying an EOR, finding and hiring employees and contractors, and completing all documentation required by the FMA;</td>
<td>• Assist the participant with quality assurance activities to ensure implementation of the participant’s SSP/budget, and utilization of the authorized budget; and</td>
</tr>
<tr>
<td>• Identifying and resolving issues related to the implementation of the SSP/budget;</td>
<td>• Recognizing and reporting critical incidents, including abuse, neglect, exploitation, emergency services, law enforcement involvement, and environmental hazards.</td>
</tr>
<tr>
<td>• Assist the participant with quality assurance activities to ensure implementation of the participant’s SSP/budget, and utilization of the authorized budget; and</td>
<td>Consultants will contact the participant at least once a month for a ‘check-in’ and meet face-to-face with the participant at least once every three (3) months to</td>
</tr>
<tr>
<td>• Recognizing and reporting critical incidents, including abuse, neglect, exploitation, emergency services, law enforcement involvement, and environmental hazards.</td>
<td>Based on record review the Agency did not maintain a complete and confidential case file at the administrative office for 10 of 39 participants.</td>
</tr>
</tbody>
</table>

**Provider:**

*State your Plan of Correction for the deficiencies cited in this tag here: →*

**Provider:**

*Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here: →*
• Review spending patterns;
• Review and document progress of SSP/budget implementation;
• Document the usage and effectiveness of the 24 hour Emergency Backup Plan;
• Document the purchase of goods;
• Review and document the progress of the SSP/budget implementation; and
• Document the usage and effectiveness of the 24 hour emergency backup plan.
• revisions.

NMAC 8.314.6.12, Record Keeping and Documentation Responsibilities

NMAC 8.302.1.17 NMAC - Record Keeping and Documentation Requirements

NMAC 8.302.1 NMAC - General Provider Policies

New Mexico Human Services Register Vol. 34, No 10 March 14, 2011 Pg. 8

Mi Via Consultant Guide (4/12) pg. 31

Mi Via Consultant Guide (4/12) pg. 63 – Incident Management Process for Aged & Disabled and Brain Injury

NMAC 7.1.14, Abuse, Neglect, Exploitation, Suspicious Injury and Unexpected Death Reporting, Intake, Processing and Training Requirements for Community Based Service Providers

Mi Via Consultant Guide (4/12) – Appendix L, Pg. 107 – Documentation of Services Policy

State of NM, DOH, DDSD Terms of the Provider Agreement
<table>
<thead>
<tr>
<th>5.2 Eligibility Reevaluation Process</th>
<th>Based on record review the Agency did not maintain a complete and confidential case file at the administrative office for 1 of 39 participants. Review of the Agency’s participant case files revealed the following items were not found, incomplete, and/or not current:</th>
</tr>
</thead>
</table>
| Annual Medical Eligibility Process | • Approval Letter from the Third Party Assessor (TPA) indicating medical eligibility (#19)  
• Long Term Care Assessment Abstract (LTCAA) (#19) |
<p>| Provider: | State your Plan of Correction for the deficiencies cited in this tag here: → |
| Provider: | Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here: → |</p>
<table>
<thead>
<tr>
<th>6.0</th>
<th>Planning and Budgeting for Services and Goods Support and Service Plan (SSP) Development Process</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The Service and Support Plan (SSP) development process starts with person-centered planning. In person-centered planning, the SSP must revolve around the individual participant and reflect his or her chosen lifestyle, cultural, functional, and social needs for successful community living. The goal of the planning process is for the participant to achieve a meaningful life in the community, as defined by the participant. Upon enrollment in Mi Via and choosing his/her consultant, each participant shall receive an IBA and information and training from the consultant about covered Mi Via services and the requirements for the content of the SSP. The Participant is the leader in the development of the SSP. The participant will take the lead or be encouraged and supported to take the lead to the best of their abilities to direct development of the SSP. The participant may involve, if he/she so desires, family members or other individuals, including service workers or providers, in the planning process. Mi Via program covered services include personal plan facilitation, which supports planning activities that may be used by the participant to develop his/her SSP as well as identify other sources of support outside the SSP process. This service is available to participants one (1) time per SSP/budget year.</td>
</tr>
<tr>
<td></td>
<td>Based on record review the Agency did not maintain a complete and confidential case file at the administrative office for 1 of 39 participants. Review of the Agency’s participant case files revealed the following items were not found, incomplete, and/or not current:</td>
</tr>
<tr>
<td></td>
<td>• Evidence that a person centered planning process was used in the creation of the participants SSP. (#23)</td>
</tr>
</tbody>
</table>
|     | Provider:
|     | State your Plan of Correction for the deficiencies cited in this tag here: → |
|     | Provider:
|     | Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here: → |
### 14.A Qualifications/Requirements

**Service Descriptions in Detail 2009 Waiver Renewal**

**Appendix A:**

**VI. Qualifications**

A. Consultant providers shall ensure that all individuals providing consultant services meet the criteria specified in this section:

1. Consultant providers shall:
   a. Be at least 18 years of age;
   b. Possess a minimum of a Bachelor’s degree in social work, psychology, human services, counseling, nursing, special education or closely related field;
   c. Have one year of supervised experience working with seniors and/or people living with disabilities;
   d. Complete all required Mi Via orientation and training courses; and
   e. Pass a nationwide caregiver criminal history screening pursuant to NMSA 1978, Section 29-17-2 et seq. and 7.1.9 NMAC and an abuse registry screen pursuant to NMSA 1978, Section 27-7a-1 et seq. and 8.11.6 NMAC.

OR

2. Consultant providers shall:
   a. Be at least 18 years of age;
   b. Have a minimum of six (6) years of direct experience related to the delivery of social services to seniors and/or people living with disabilities;
   c. Be employed by an enrolled Mi Via Consultant Provider agency;
   d. Complete all required Mi Via orientation and training courses; and
   e. Pass a nationwide caregiver criminal history screening pursuant to NMSA 1978, Section 29-17-2 et seq. and 7.1.9 NMAC and an abuse registry screen pursuant to NMSA 1978, Section 27-7a-1 et seq. and 8.11.6 NMAC.

Based on record review, the Agency did not ensure that Qualification Requirements were met for 9 of 20 Agency Personnel.

The following Agency personnel records contained no evidence of the Consultant meeting the following required qualifications:

- At least 18 years of age. (#52)
- Possess a minimum of a Bachelor’s degree or 6 years of related experience. (#52)

The following Agency personnel records contained no evidence of the Mi Via Training Course being completed:

- #52 – Date of hire not provided

The following Agency Personnel records contained evidence that indicated the Mi Via Training course was not completed within 60 days of hire:

- #52 – Date of hire not provided

**Provider:**

State your Plan of Correction for the deficiencies cited in this tag here: →

**Provider:**
Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here: →
8.314.6.11 QUALIFICATIONS FOR ELIGIBLE INDIVIDUAL EMPLOYEES, INDEPENDENT PROVIDERS, PROVIDER AGENCIES, AND VENDORS

C. Service specific qualifications for consultant services providers

In addition to general requirements, a consultant provider shall ensure that all individuals hired or contracted consultant services meet the criteria specified in this section in addition to as well to perform all applicable rules and service standards.

1) Consultant providers shall
   a) possess a minimum of a bachelor’s degree in social work, psychology, human services, counseling, nursing, special education or a closely related field, and have one year of supervised experience working with the elderly or people living with disabilities; or
   b) have a minimum of six years of direct experience related to the delivery of social services to the elderly or people living with disabilities, and be employed by an enrolled mi via consultant provider agency; and
   c) complete all required mi via orientation and training courses.

2) Consultant providers may also use non-professional staff to carry out support guide functions. Support guides provide more intensive supports, as detailed in the service section of these rules. Support guides help the eligible recipient more effectively self-direct services when there is an identified need for this type of assistance. Consultant providers shall ensure that non-professional support staff:
   a) are supervised by a qualified consultant as specified in this regulation;
   b) have experience working with seniors or people living with disabilities;
   c) demonstrate the capacity to meet the eligible recipient's assessed needs related to the implementation of the SSP;
   d) possess knowledge of local resources, community events, formal and informal community organizations and networks;
   e) are able to accommodate a varied, flexible and on-call type of work schedule in order to meet the needs of the eligible recipient; and
   f) complete training on self-direction and incident reporting.
| 1A25 | Caregiver and Hospital Caregiver Employment Requirements | Based on record review, the Agency did not maintain documentation in the employee’s personnel records indicating no “disqualifying convictions” or documentation of the timely submission of pertinent application information to the Caregiver Criminal History Screening Program was on file for 1 of 20 Agency Personnel. The following Agency Personnel Files contained no evidence of Caregiver Criminal History Screenings:  
- #52 – Date of hire not provided | Provider: State your Plan of Correction for the deficiencies cited in this tag here:  
Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here: |

7.1.9.6 OBJECTIVE The objective of this part of Chapter 1, General Provisions, under Title 7, Health, is to establish the requirements for complying with the Caregivers Criminal History Screening Act. Generally included within these rules are the requirements and procedures for submission of applicant, caregiver and hospital caregiver fingerprints, payment of fees and administrative reconsideration for a disqualifying conviction. These rules are intended to have all covered care providers meeting the requirements of the act.

7.1.9.9 A. Prohibition on Employment A care provider shall not hire or continue the employment or contractual services of any applicant, caregiver or hospital caregiver for whom the care provider has received notice of a disqualifying conviction, except as provided in Subsection B of this section.

Survey Report #: Q.15.2.MVV.55821065.1/2/3/4/5.INT.01.14.365
7.1.12.6 OBJECTIVE The objective of this rule is to implement the Employee Abuse Registry Act. The rule is intended to provide guidance as to the rights and responsibilities under the Employee Abuse Registry Act of providers, employees of providers, the department of health and the adult protective services division of the department of aging and long term services, and the public including recipients of care and services from providers.

Based on record review, the Agency did not maintain documentation in the employee’s personnel records that evidenced inquiry to the Employee Abuse Registry prior to employment for 12 of 20 Agency Personnel.

The following Agency personnel records contained no evidence of the Employee Abuse Registry being completed:

- #52 – Date of hire not provided

The following Agency Personnel records contained evidence that indicated the Employee Abuse Registry was completed after hire:

- #60 – Date of hire 1/13/2014. Completed on 11/14/2014.

Provider:
State your Plan of Correction for the deficiencies cited in this tag here: ->

Provider:
Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here: ->
|-----------------|--------------------------------------------------------------------------------------------------|

- #62 – Date of hire 5/2/2013. Completed on 7/13/2013.
### Incident Mgt. System - Personnel Training

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NMAC 7.1.14</strong> ABUSE, NEGLECT, EXPLOITATION, AND DEATH REPORTING, TRAINING AND RELATED REQUIREMENTS FOR COMMUNITY PROVIDERS</td>
<td><strong>NMAC 7.1.14.9 INCIDENT MANAGEMENT SYSTEM REQUIREMENTS:</strong></td>
</tr>
<tr>
<td><strong>A. General:</strong></td>
<td>All community-based service providers shall establish and maintain an incident management system, which emphasizes the principles of prevention and staff involvement. The community-based service provider shall ensure that the incident management system policies and procedures requires all employees and volunteers to be competently trained to respond to, report, and preserve evidence related to incidents in a timely and accurate manner.</td>
</tr>
<tr>
<td><strong>B. Training curriculum:</strong></td>
<td>Prior to an employee or volunteer’s initial work with the community-based service provider, all employees and volunteers shall be trained on an applicable written training curriculum including incident policies and procedures for identification, and timely reporting of abuse, neglect, exploitation, suspicious injury, and all deaths as required in Subsection A of 7.1.14.8 NMAC. The trainings shall be reviewed at annual, not to exceed 12-month intervals. The training curriculum as set forth in Subsection C of 7.1.14.9 NMAC may include computer-based training. Periodic reviews shall include, at a minimum, review of the written training curriculum and site-specific issues pertaining to the community-based service provider’s facility. Training shall be conducted in a language that is understood by the employee or volunteer.</td>
</tr>
<tr>
<td><strong>C. Incident management system training curriculum requirements:</strong></td>
<td>(1) The community-based service provider</td>
</tr>
</tbody>
</table>

Based on record review and interview, the Agency did not ensure Incident Management Training for 19 of 20 Agency Personnel.

- Incident Management Training (Abuse, Neglect and Misappropriation of Consumers’ Property) (#50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68)
shall conduct training or designate a knowledgeable representative to conduct training, in accordance with the written training curriculum provided electronically by the division that includes but is not limited to:

(a) an overview of the potential risk of abuse, neglect, or exploitation;
(b) informational procedures for properly filing the division's abuse, neglect, and exploitation or report of death form;
(c) specific instructions of the employees' legal responsibility to report an incident of abuse, neglect and exploitation, suspicious injury, and all deaths;
(d) specific instructions on how to respond to abuse, neglect, or exploitation;
(e) emergency action procedures to be followed in the event of an alleged incident or knowledge of abuse, neglect, exploitation, or suspicious injury.

(2) All current employees and volunteers shall receive training within 90 days of the effective date of this rule.

(3) All new employees and volunteers shall receive training prior to providing services to consumers.

D. Training documentation: All community-based service providers shall prepare training documentation for each employee and volunteer to include a signed statement indicating the date, time, and place they received their incident management reporting instruction. The community-based service provider shall maintain documentation of an employee or volunteer's training for a period of at least three years, or six months after termination of an employee's employment or the volunteer's work. Training curricula shall be kept on the provider premises and made available upon request by the department. Training documentation shall be made available immediately upon a division.
representative's request. Failure to provide employee and volunteer training documentation shall subject the community-based service provider to the penalties provided for in this rule.
Date: March 20, 2015

To: Sandra Woodward, State Director
Provider: New Mexico Consumer Direct Personal Care
Address: 3311 Candelaria NE Suite K
State/Zip: Albuquerque, New Mexico 87107

E-mail Address: sandraw@consumerdirectonline.net
Region: Statewide
Survey Date: November 14-20, 2014

Program Surveyed: Mi Via Waiver
Service Surveyed: Mi Via Consultation Services
Survey Type: Initial

Dear Ms. Woodward:

The Division of Health Improvement/Quality Management Bureau has received, reviewed and approved the supporting documents you submitted for your Plan of Correction. The documents you provided verified that all previously cited survey Deficiencies have been corrected.

The Plan of Correction process is now complete.

Furthermore, your agency is now determined to be in Compliance with all Conditions of Participation.

To maintain ongoing compliance with standards and regulations, continue to use the Quality Assurance (self-auditing) processes you described in your Plan of Correction.

Consistent use these Quality Assurance processes will enable you to identify and promptly respond to problems, enhance your service delivery, and result in fewer deficiencies cited in future QMB surveys.

Thank you for your cooperation with the Plan of Correction process, for striving to come into compliance with standards and regulations, and for helping to provide the health, safety and personal growth of the people you serve.

Sincerely,

Tony Fragua
Health Program Manager/Plan of Correction Coordinator
Quality Management Bureau/DHI