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File Name: 02 03 Evaluation Mock Tracer

Mock Tracer Evaluation Checklist

This checklist itemizes elements of an effective mock tracer performed as part of a mock survey. You can use it to evaluate the mock tracers that your organization conducts. You can also use the evaluation criteria to develop a procedure for planning, preparing, conducting, and following up on mock tracer activity.

*Answers to all questions ideally should be **Y** for **Yes** (unless marked **NA** for **Not Applicable**). Use the **Comments** section to indicate any required follow-up action(s) identified by an **N** for **No** response. Unless otherwise noted, this checklist is applicable to all program settings.*

ORGANIZATION: _____ **DEPARTMENT/UNIT:** _____

DATE OF MOCK TRACER EVALUATION: _____ **REVIEWER(S):** _____

DATE OF MOCK TRACER: _____ **MOCK TRACER SURVEYOR:** _____

MOCK SURVEY FOCUS: _____

QUESTIONS	Y	N	NA	COMMENTS
PLANNING AND PREPARING				
Was a schedule set to conduct this mock tracer?				
Was that schedule shared with all participants in the mock survey program and/or this particular mock tracer?				
Was the topic of the mock tracer defined in the schedule?				
Was the scope of the mock tracer defined (for example, with a focus on top compliance issues and/or high-volume or high-risk areas)?				
Was a person with effective communication skills, a leader, and/or a member of a relevant committee chosen to act as the mock surveyor in this mock tracer?				
Was the mock surveyor given time off from other duties to prepare for the mock tracer?				
Did the mock surveyor receive training to play that role?				
Did that training include learning Joint Commission standards relevant to the mock tracer topic?				
Did that training include examination of closed, but recent, medical records?				

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QUESTIONS	Y	N	NA	COMMENTS
Did that training include a study of the types of questions surveyors ask?				
Did that training include when to address problems that might occur during the mock survey (on the spot or later)?				
CONDUCTING AND EVALUATION				
Was the mock surveyor given time off from other duties to conduct the mock tracer?				
Did the mock surveyor explore all relevant topic areas?				
During the mock tracer, did the mock surveyor share the purpose of the tracer with the tracer interview subjects?				
Were any problems that occurred during the mock tracer addressed as planned (on the spot or later)?				
Was there a debriefing session after the mock survey?				
Did all the participants of the mock tracer fill out a feedback form?				
ANALYZING AND REPORTING RESULTS				
Did the participants in this mock tracer submit for review any forms used during the mock tracer?				
Did the mock surveyor check collected data/notes for errors?				
Did the mock tracer team highlight any areas of concern?				
Was a report on the results of this mock tracer created?				
Did the mock tracer team make sure that all names and identifying information were removed from the report?				

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QUESTIONS	Y	N	NA	COMMENTS
Were any problems ranked and prioritized? That is, did the mock tracer report clearly evaluate for each identified area of noncompliance both the likelihood to harm patients, staff, or visitors (low, moderate, or high) and the scope of the issues (limited, pattern, or widespread) within the organization?				
Was the mock tracer report created in a timely way?				
For health care systems, is the information from all mock tracers in the mock surveys aggregated, reported, and analyzed at the system level?				
APPLYING THE RESULTS				
Were specific corrective actions/plans from the mock tracer report recommended to appropriate leadership?				
Were the plans shared with the entire organization?				
Did the mock survey team establish time lines or deadlines for those responsible for implementing the plans?				
Did the mock survey team identify checkpoints to follow up on the progress of those plans?				
Did follow-up occur?				
Did implementation of any recommendations occur?				
Did the mock tracer team identify any general lessons to apply to future mock surveys on this topic and others?				

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