

THE CDDO SERVING COFFEY, OSAGE AND FRANKLIN COUNTIES Policies and Procedures		
SUBJECT: QUALITY ASSURANCE		
EFFECTIVE: 12/1/14	SECTION: 525D	PAGE: 1 of 4
SUPERCEDES: 525C	DATED: 1/1/14; 2/24/2014; 4/8/14; 7/10/14; 10/15/14	

Policy:

The Community Developmental Disability Organization (CDDO) serving Coffey, Osage, and Franklin counties will ensure that quality services are provided to all persons served in the CDDO region through the establishment of a local Quality Assurance (QA) Committee and the CDDO's quality assurance monitoring activities. The QA Committee will determine if persons served in the CDDO catchment area are receiving services consistent with K.A.R. 30-63-01 et seq., are protected from harm, have their rights protected, and are moving toward or maintaining their preferred lifestyle.

Procedure:

- 1) The CDDO Quality Assurance Committee will be comprised of persons receiving services; family members and/or guardians of persons served; interested citizens; CDDO staff members; and affiliated, Community Service Providers (Paid Providers). The Committee will maintain a minimum of seven (7) members and meet quarterly, or more often, if deemed necessary by the membership.
- 2) The CDDO Quality Assurance Committee will evaluate services provided by all affiliates and paid providers of the CDDO (including, but not limited to services provided by Community Service Providers, Limited License Providers, Financial Management Providers, Targeted Case Management Providers and Personal Assistant Services (PAS), hereby known as Paid Support Worker for in-home support workers) in accordance with K.A.R. 30-64-2 7 et seq., and determine if:
 - a) Services are being provided in a manner meeting applicable requirements provided for in Article 63;
 - b) The CDDO, the affiliate, and the Paid support worker is affording the person being served all of the person's legally protected rights;
 - c) The CDDO, the affiliate, and the Paid Support Worker meets both of the following requirements:
 - Is reporting any suspicions of abuse, neglect, or exploitation to the appropriate state agency, and;
 - Has corrected or is actively in the process of correcting the cause of any confirmed violation.
- 3) The Paid Services Review, which is an extension of the Quality Assurance Committee, will meet monthly to audit a sampling of individual's financial records and relevant service documentation to ensure the requirements of K.A.R. 30-64-27 are being met, specifically verifying the following:
 - a) Services that are paid for are delivered;
 - b) Services that are delivered are paid for in accordance with the terms of any agreement or contract in force, including any payment requirement that the person being served or a third party acting on behalf of the person being served has the responsibility to meet.

THE CDDO SERVING COFFEY, OSAGE AND FRANKLIN COUNTIES
Policies and Procedures

SUBJECT: QUALITY ASSURANCE

EFFECTIVE: 12/1/14

SECTION: 525D

PAGE: 2 of 4

SUPERCEDES: 525C

DATED: 1/1/14; 2/24/2014; 4/8/14; 7/10/14;
10/15/14

- 4) Minutes will be taken during the Quality Assurance Committee, and referred to in consequential meetings for follow-up on concerns. Original minutes will be maintained in electronic format by the CDDO.
- 5) Committee members will be required to respect confidentiality and sign a "Confidentiality Agreement or Covenant". The Director of CDDO Administration will immediately remove from the Quality Assurance Committee any member who violates the "Confidentiality Agreement or Covenant". Additionally, all Paid Affiliate Providers will covenant to not market their services to any person served, family member/guardian of a competing Paid Affiliate Provider met during the course of the quality assurance review, and will sign an agreement to that effect. Any Paid Affiliate Provider not upholding this agreement will be removed from the Quality Assurance Committee by the Director of CDDO Administration, and will be reported to the KDADS Quality Management Specialist for licensure. Breach of Confidentiality Agreement or Covenant could additionally result in termination of Affiliation Agreement.
- 6) The Quality Assurance Committee will use a system that ensures a random selection of individuals to be reviewed. All Quality Assurance reviews by the Quality Assurance Committee teams must include an on-site visit to the individual's place of residence (regardless of the paid service provided to the person served). The quality assurance survey must take place in the person's family home if the person is receiving Personal Assistant Services (PAS), otherwise known as in-home supports. The reviewer team will complete Quality Assurance surveys based upon direct observations and conversations with the person served, family/guardian (if applicable), and support staff, if present. The person served must be present at the survey to communicate his/her opinions.
- 7) CDDO staff will complete on-site reviews for at least twenty percent (20%) of the total number of individuals served in the CDDO service area each year. A minimum of 5 randomly chosen individuals will be reviewed each month from various affiliate providers. Additional reviews will be completed based on trend tracking data, as indicated in CDDO Policy 520D Quality Enhancement. All persons receiving in-home supports will have an in-home review/survey of this service to ensure the health, safety, welfare, rights and preferred lifestyle of the person receiving the service. On-site surveys by CDDO staff will be both scheduled and unscheduled, in order to ascertain quality of services, as per Affiliate Agreement with the CDDO and this policy, based on K.A.R. 30-64-27, Quality Assurance, and K.A.R. 30-63-21, (8) (d), Person-Centered Support Planning; Implementation.
- 8) The CDDO staff and the Committee members shall complete the assigned surveys, during the quarter in which it is due, and provide written outcomes to the Quality Assurance Committee during the next quarterly meeting.
- 9) The results of the Quality Assurance Committee reviews will be discussed during the quarterly meeting to ensure that all elements of the regulation are met. If the committee determines that a Paid Provider (meaning Community Service Provider, Targeted Case Manager, Limited License Provider, Financial Management Provider, or Personal Assistant Services (PAS) worker, also known as a Paid Support worker) has not gained compliance with a particular regulation, the Committee will request appropriate corrective action through the

THE CDDO SERVING COFFEY, OSAGE AND FRANKLIN COUNTIES Policies and Procedures		
SUBJECT: QUALITY ASSURANCE		
EFFECTIVE: 12/1/14	SECTION: 525D	PAGE: 3 of 4
SUPERCEDES: 525C	DATED: 1/1/14; 2/24/2014; 4/8/14; 7/10/14; 10/15/14	

CDDO, and the CDDO will provide a follow-up report to the Committee at the next quarterly meeting.

- 10) Critical Incident Reporting (Trend Tracking): All affiliated Community Service Providers (including, but not limited to Targeted Case Management, Financial Management Service agencies, Day and Residential Providers, Limited License providers), as well as unlicensed paid support known as Paid Support workers for in-home supports shall be trained on critical incident tracking procedures and protocols (also known as Trend Tracking reporting), as well as ANE (Abuse, Neglect and Exploitation) reporting, and will submit a report on any known issue of abuse, neglect, exploitation. In addition, the following types of incidents shall also be reported, including, but not limited to: unexpected hospitalization, mental health hospitalization or screenings, emergency room visits, law enforcement contact, broken bones, unexpected death, missing person, life-threatening injury either sustained by or caused by person served, unexplained injuries. To wit, anything that is or could be detrimental to the health, safety, welfare or preferred lifestyle of an individual served shall be reported to the CDDO and to the KDADS Quality Management Specialist within 24 hours of knowledge of the incident via the Trend Tracking report in electronic format (secure email).
- 11) One member of the Quality Assurance Committee (not employed by the CDDO or by its affiliates) will review a ten percent (10%) sample of all quality assurance reviews to ensure the Quality Assurance Committee's standards are applied uniformly to all QA reviews.
- 12) The Quality Assurance Committee will be active in directly monitoring compliance with Article 63 - Regulations governing the licensing of affiliate and paid services and the provision of these paid services. Each Paid Provider will be required to demonstrate, through process and outcome, how their agency (if affiliate agency) or Paid Support Worker (if an unlicensed in-home support worker) has gained compliance with each regulation. All responsible parties of self-directing individuals will sign a SELF-DIRECTED AGREEMENT WITH THE CDDO to assure compliance with the regulations of in-home supports, and the quality assurance measures for that service by the CDDO and its Quality Assurance Committee.

Committee members will ensure that the CDDO, its affiliates, and all Paid Support Workers are affording the person being served all of the person's legally protected rights.

The CDDO Director will devote a portion of each quarterly CDDO-CSP meeting to the reviewing of Article 63.

- 13) The CDDO will conduct further monitoring to identify trends and patterns of non-compliance. If the CDDO believes that the Paid Provider's (whether licensed or unlicensed) non-compliance creates a situation of imminent danger to health, safety, or welfare of any person/persons the CDDO may:
- Request an immediate Plan of Correction from the Provider Affiliate
 - Give notification to terminate the CDDO-Paid Provider affiliation agreement, communicating this notification to KDADS and the MCOs.
 - Implement action allowed by the current CDDO-Paid Provider affiliate agreement
 - Give notice to person served or responsible party of person served of corrective action needed, as per K.A.R. 30-63-10, J (i) and (ii), as concerns in-home supports and the Paid

THE CDDO SERVING COFFEY, OSAGE AND FRANKLIN COUNTIES
Policies and Procedures

SUBJECT: QUALITY ASSURANCE

EFFECTIVE: 12/1/14

SECTION: 525D

PAGE: 4 of 4

SUPERCEDES: 525C

DATED: 1/1/14; 2/24/2014; 4/8/14; 7/10/14;
10/15/14

Support Worker. If the situation is not so corrected, after notice and an opportunity to appeal, funding for the services shall not continue, pursuant to K.A.R. 30-63-10, J (ii) and KDADS current policy.

- e) A provider and/or the person served (and his/her /guardian/responsible party if applicable) as indicated in K.A.R. 30-63-10, 4A, may appeal the corrective action taken by the CDDO through the dispute resolution process as stated in CDDO Policy #545A Dispute Resolution.

DRAFT