

Agency Name:	Agency ID Code:
Agency Address:	
Date of Review:	
Reviewer Name:	Team #:

The following protocol contains the review procedure for a vendor-level review of the MSC services being provided by an agency (vendor.)

CODE	CITE	REVIEW	MET	NOT MET	COMMENTS	GUIDELINES
MV	2011 MSC Vendor Manual, Ch 1 & Ch2, p 15	<p>VENDOR REVIEW</p> <p>1. The vendor has established performance standards for the provision of service coordination by its MSCs.</p>				<p>The vendor has established performance standards for the provision of effective service coordination. The standards include agency criteria for those values that are intrinsic to MSC such as:</p> <ul style="list-style-type: none"> ▪ advocacy, ▪ informed choice, ▪ community inclusion, ▪ person-centered planning, ▪ the ISP, ▪ maintenance of the MSC record, ▪ monitoring of health, safety <u>and</u> services, ▪ maintenance of benefits and entitlements, ▪ assessment of an individual’s need for health and safety monitoring (and associated need for face to face visits, in-home visits or phone contacts) for each unique individual? This would include guidance to service coordinators on assessment methods/ways to use their professional judgment effectively, etc.
MV	Quality Indicator	<p>2. The standards are written</p>				<p>The standards can be written in any form or document determined by the agency to be the most useful. (e.g., policy/procedures, conduct requirements, job duties, performance standards, etc.) The key is that the agency has written criteria for what they expect from their MSCs in their performance of the areas listed above. The surveyor should ask to see a sample of the document but does not need to review the document.</p>

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						Whether the written standards are effective will be assessed based on the effectiveness of service coordination being provided and individuals' satisfaction with the services.
MV	Quality Indicator	3. The standards are communicated to service coordinators and their supervisors.				Communicating performance standards in writing is a best practice. The agency may communicate standards verbally or through a training curriculum. Ask MSCs and MSC supervisors if they are aware of the standards for their job duties. Ask what those standards are and how they were informed. The answers should match the answers you received in questions #1 and #2 above. If the answer to #1 is "not met," the answer to this question must also be "not met."
MV	Part 633.8(b)(2) Vendor Manual Pg 81	4. The vendor has a mechanism to identify the training needs of service coordinators and service coordination supervisors and to provide the training to meet identified needs.				<ul style="list-style-type: none"> ▪ The vendor has assessed what knowledge and skills its service coordinators must have in order to provide effective services and the priority order for when training should be provided. This would include knowledge and skills needed by new MSCs who are providing training prior to receiving the required Core training.. ▪ The agency provides training and re-training for its service coordinators as needed. ▪ The agency has a mechanism to track that MSCs are participating in required professional development.
MV	633.8(b)(2)(i)	5. The mechanism or system is documented.				The agency's listing of required training, skills and knowledge for its service coordinators are documented. For training provided by the vendor, there are curricula for trainers to follow. The vendor maintains training records for each service coordinator.
MV	Quality Indicator	6. The mechanism is effective.				This question can only be answered at the completion of all review activities. The answer should be based on the results of record reviews and interviews of MSCs, individuals who receive services and their advocates.
MV	2011 MSC Vendor Manual, Ch 3, pp 42 - 44	7. The vendor has a system to provide supervision and monitoring of service coordinators in the performance of their job duties.				The agency has determined how its supervisors and administrators will supervise and monitor the performance of service coordinators in terms of work products (the ISP and MSC record), interactions with individuals being served, and implementation of agency standards for MSC as described in question #1..
MV	Quality Indicator	8. The mechanism or system is documented.				The system used to supervise and monitor service coordinators is written. The system can be written in any form or document determined by the agency to be the most useful. (e.g., policy/procedures, conduct requirements, job duties, performance standards, etc.)

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						The results of reviews of the MSC record and the MSC's performance are documented.
M V	Quality Indicator	9. The mechanism is effective.				This question can only be answered at the completion of all review activities. The answer should be based on the results of record reviews and interviews of MSCs, individuals who receive services and their advocates.
M V	Vendor Manual Pg 21-22	10. The vendor guards against conflicts of interests in service coordination.				Clinicians, habilitation staff, direct care staff and any other staff providing direct services to the individual, including the individual's Family Care home liaison, cannot also serve as the individual's service coordinator. Residential and day program managers or other types of service managers with direct (first-line) administrative control over an individual's services or programs may not supervise the individual's service coordinator Does the individual receive all other services from the same agency as the MSC Vendor? If so, how does the MSC Vendor ensure that the individual knows they can make other choices of waiver service providers or MSC Vendor? How does the vendor avoid conflicts of interest such as compelling the person to receive the services they provide? Is there evidence based on your reviews of MSC records that individuals are not receiving wanted services because they are not provided by the agency?
M V	Quality Indicator	11. The vendor has a mechanism to obtain information from individuals and their advocates regarding their satisfaction with services				The agency has established a means to obtain reliable information about individuals' satisfaction with the MSC services they receive and the performance of their MSCs. The information is documented, and trended by the agency.
M V	Quality Indicator	12. The vendor has a mechanism for responding timely and respectfully to complaints or concerns expressed by individuals and their advocates.				Use interview Questions # 1 to # 14 to obtain the information needed to answer 11 to 14 on this protocol.
M V	Quality Indicator	13. The vendor has a mechanism for remediating areas of dissatisfaction systemically.				If the satisfaction data maintained by the agency identifies systemic areas of poor performance, the agency takes action to remediate program-wide. The action is documented and reviewed for effectiveness.
M V	Quality Indicator	14. Individuals and advocates interviewed state that the MSC and vendor agency respond to their concerns in a respectful and positive manner.				
MV	633.22(d) (2)(g)	15. The vendor has ensured that service coordinators and supervisors hired after				Utilize the central CBC protocol

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		April 1, 2005, have received required criminal background checks				
MV	633.5(d)	16. Service coordinators who provide MSC services to children have been cleared by State Central Register for Child Abuse				For MSCs hired since the last review visit who provide services to children, verify that their names have been submitted to the State Central Register and they have been cleared.
MV	Vendor Manual Pg 22	MSC CASELOAD 17. The maximum caseload size for service coordinators who do not serve Willowbrook class members is 40 units				Review the MSCs' caseloads. There is a weighting factor of 0.8 for individuals residing in Supervised CRs and Supervised IRAs (1 individual =.8 unit). There is no weighting factor for individuals residing in Supportive CRs and Supportive (IRAs), in Family Care, or living on their own or with family members or others (1 individual = 1 unit).
WB	Vendor Manual Pg 23	18. The maximum caseload size for a service coordinator serving at least one Willowbrook Class member is 20 units				When an MSC service coordinator serves even one member of the Willowbrook class, his or her maximum workload is 20 units. OPWDD is obligated to provide service coordination at the equivalent of 1:20 for class members. The MSC weighting factor of 0.8 for people who live in certified supervised settings does NOT apply when calculating Willowbrook workload. Each person receiving Plan of Care Support Services, regardless of whether or not the person is a class member, also counts as one (1) work unit.
MV	Vendor Manual Pg 42	19. The vendor has a mechanism to ensure that MSC's caseloads are manageable.				This question should be answered after completion of all MSC review activities and based on the following probes: <ul style="list-style-type: none"> ▪ Do all MSCs have the maximum caseload size? ▪ Do all MSCs have the same caseload sizes? ▪ Are caseloads based on the need for services of each individual on the caseload and the skills and abilities of each service coordinator? In other words, how does the vendor ensure case mix and case size are appropriate? ▪ Based on your review of MSC services and interview of the MSC, how does the service coordinator appear to be handling their caseload? ▪ Based on your interviews of individuals and advocates, the MSC is able to meet their service needs and respond to them in a timely manner.