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NY OPWDD  
People First Waiver Quality Design Team  
Meeting With  
Liberty Healthcare Corporation  
26 July 2011

### **Discussion Points**

**INTRODUCTIONS**

**PURPOSE OF THE MEETING**

**VALUES**

**LIBERTY**

**THE FORT WAYNE STORY AND IDD QUALITY**

**FWSDC TRANSITION**

**F.A.S.T.**

**THE INDIANA QUALITY INITIATIVE**

**THE DISTRICT OF COLUMBIA**

**QIO-LIKE ENTITY**

**QUESTIONS?**

**NEXT STEPS**



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## Division of Disability & Rehabilitative Services

## Division of Aging

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July 26, 2011

### Liberty of Indiana

Christopher S. Baglio, Ed.D., Project Director

Karen Peret, Ed.D., Vice President, Operations,  
IDD Division



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## BQIS

### FSSA

- Family & Social Services Administration.

### DDRS

- Division of Disability and Rehabilitation Services.

### BQIS

- Bureau of Quality Improvement Services.

- BQIS/Liberty is a Partnership with the Division of Disability and Rehabilitative Services, a Program of the Indiana Family and Social Services.

- Quality Assurance / Quality Improvement



## Liberty of Indiana / BQIS

### Current Scope of Work

- ❑ Comprehensive Survey of waiver Services/ Personal Outcome Measures (CST)
- ❑ Compliance Evaluation and Review Tool (CERT).
- ❑ Incident Management.
- ❑ Mortality Review.
- ❑ Risk Management.

### Previous Activities

- ❑ Post Transition Monitoring.
- ❑ Financial Review.



## DDRS/BQIS Quality System



- **CST: Comprehensive Survey of Waiver Services.**
  - Person Centered
  - Personal Outcome Measures®
  - All Providers
  - MR: Mortality Reviews
  - MRTT
  - MRC
  - Part of overall Risk Management
- CERT: Compliance Evaluation and Review.
  - Provider Review
  - 1-3 years
  - Discontinued/Hold
  - Post Transition.
  - Rep Payee Financial.
  - Provider Report Card
- IR: Incident Reviews
  - About 5,000 initials
  - Part of the overall Risk Management



## Comprehensive Survey of Waiver Services

### Background Information.

Liberty of Indiana began conducting surveys of Waiver services using the approved Comprehensive Survey Tool (CST) in February of 2009. Names selected for the surveys are generated from a randomized list of people being served on Indiana's Home and Community Based Services (HCBS) Waivers, managed by the Division of Disability and Rehabilitative Services (DDRS) of the Family and Social Services administration (FSSA). The number of participants selected represents a **statistically valid sample** which assures generalization of findings to the larger population. Surveyors are given names of individuals selected from participants on Indiana's Developmental Disabilities (DD), Autism (AUT), and Support Services (SS) Waivers. The surveyors then contact the members of the participant's interdisciplinary team to arrange the dates for the surveys to be conducted at least three weeks in advance.



## Comprehensive Survey of Waiver Services

### Tool

Development of the CST was a result of an integration of the following sources: Council on Quality and Leadership's (CQL's) **Basic Assurances®**, Centers for Medicare and Medicaid Services (CMS) **Quality Framework**, and **460 Indiana Administrative Code (Articles 6 & 7)**. The Quality Framework consists of seven focus areas. Five of these focus areas serve as the organizational foundation of the survey tool. Indicators have been identified for each focus area. As part of the survey process, participant satisfaction interviews are conducted using CQL's **Personal Outcome Measures® (POM)**.

The CST covers the following 5 focus areas:

- *Participant-Centered Service Planning.*
- *Participant-Centered Service Delivery.*
- *Participant Safeguards.*
- *Participant Rights and Responsibilities.*
- *Participant Outcomes and Satisfaction.*

The CST contains 37 Indicators with a total of 411 Probes (i.e., specific areas surveyors assess to determine whether an Indicator is met or not met).



## Sample of Participants Reviewed

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### □ 1,521 waiver participants reviewed.

- Indiana has approximately 12,368 participants served by one of the following waivers.
- **Developmental Disabilities waiver.**
  - Indiana has approximately 7,131 covered under DD Waiver.
- **Support Services waiver.**
  - Indiana has approximately 4,803 covered under SS Waiver.
- **Autism waiver.**
  - Indiana has approximately 434 covered under AU Waiver.

### □ Waiver participants selected randomly and proportionately by district.

- Indiana has 8 districts.
- Statistically valid sample.

02/03/2009 through 06/31/2011



## Personal Outcome Measures®

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### □ My Self

- People are connected to natural support networks.
- People have intimate relationships.
- People are safe.

### □ My World

- People perform different social roles.
- People choose where and with whom they live.
- People choose services.

### □ My Dreams

- People have friends.
- People participate in the life of the community.
- People are respected.

POM® includes 21 Outcome and Support Measures, sample above



## Incident Management

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### General Information

- ❑ Incident reports are submitted through the web by mandated reporters.
- ❑ Trained reviewers receive and review the reports.
  - If needed, additional requests for information occurs and incident closed when evidence exists that it was sufficiently resolved.
- ❑ The data is collected and stored within DART – state operated database.
- ❑ Liberty processes approximately 5,000 new incidents a month (4FY11).

### Examples of Incidents

- ❑ Allegations (abuse, neglect, exploitation).
- ❑ Choking.
- ❑ Medication Errors.
- ❑ Restraints.
- ❑ Hospital Admission.
- ❑ Police Involvement.
- ❑ Physical Aggression.
- ❑ Fall with Injury.
- ❑ Death.



## New Initiatives

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- ❑ Liberty conducted a number of quality initiatives this quarter. These included:
  - Provided training via webinar to providers, case managers and other stakeholders on the revised Incident Reporting and Management Policy;
  - Assisted with developing and distributing Frequently Asked Questions (FAQs) relative to incident reporting and management;
  - Collaborated with BQIS to address identified issues with the upgraded DART Incident Report system;



## New Initiatives Continued

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- Collaborated with BDDS and case management staff to resolve issues that were variables in the ability to close some older incident reports;
- Reviewed and provided feedback on DDRS draft policies;
- Generated 24 Incident/Risk Management Reports for district use.



## Mortality Review

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- Liberty of Indiana conducts a mortality review upon notification of the death of a person who received services provided through the Division of Disability and Rehabilitative Services (DDRS).
- The review assists with identifying trends, identifying training needs and making recommendations for agency and systemic improvement of DDRS funded services/supports for people with intellectual and developmental disabilities.
- Mortality Review Triage Team (MRTT).
  - Physician, Investigator, Incident Management Director.
  - Review all deaths.
- Mortality Review Committee (MRC).
  - Focus reviews.
  - Co-chaired: Liberty Physician, Incident Management Director.
  - Additional members: Adult Protective Services (APS), Coroners Association, and Department of Health (ISDH).



## Risk Management



- The identification, assessment and implementation of activities designed to reduce risk.
  - Data set priorities.
- Choking pilot.
- Falls.
- Behavioral Incidents.
  - Restraints and PRN medication use.
- Individually during processing of incident reports.
- Monthly District Incident/Risk Management Reports are distributed to District Managers.
  - Analysis and action planning.
- State Human Rights Committee.



## Compliance Evaluation and Review

- Provider Compliance Review
- New process started in August 2010.
- Providers of Waiver services (AU, DD, SS).
  - Direct and non-direct service providers.
- 1, 3 year certification.
- IAC 460, Article 6.
- Provider Qualifications.
- Criminal Background Checks.
- Personnel.
  - Policies & Procedures.
  - Staff Qualifications.
- Training Requirements.



## Financial Reviews DISCONTINUED

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- ❑ Liberty of Indiana contracted with Thomas & Reed, LLC (CPA subcontractor) to perform financial reviews.
- ❑ Initiated through an **incident report** or **complaint** that alleges financial mismanagement or exploitation.
- ❑ Process:
  - Discovery/Quantification Phase (12 months of financial data).
    - CAP.
    - Payback.
  - Validation Phase.
- ❑ 331 cases since inception (just over two years).



## Division of Aging

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- ❑ Indiana's Division of Aging (DA) contracts with Liberty of Indiana to perform a number of activities designed to both measure consumer satisfaction and provider compliance with IAC 460 I.2.
- ❑ Person Centered Compliance and Satisfaction Reviews (PCCSTs)
- ❑ Provider Compliance Surveys.
  - For non-licensed providers.
- ❑ Money Follows the Person (MFP) / Quality of Life (QoL).
  - Federal program.



## Division of Aging Structure

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Person Centered  
Review

Money Follows the  
Person



## PCCST

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- ❑ Provider Compliance.
  - IAC 460 Article 1.2.
  - 27 Indicators.
- ❑ Personal Outcome Measures®.
  - 21 Outcomes and Supports associated with consumer satisfaction.
- ❑ Aging & Disabled Waiver (A&D), Traumatic Brain Injury (TBI)
- ❑ Community and Home Options to Institutional Care for Elderly and Individuals with Disabilities (CHOICE) Program



## New Initiatives

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- Self-Directed Attendant Care.
  - Focused review of satisfaction and compliance (12 months).
  - Greater satisfaction.



## Provider Compliance

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- **Non-Licensed Provider Compliance.**
  - 42 Indicators.
  - Service specific deficiencies.
    - Leads to training and supportive measures.
    - Leads to quality initiatives and systems changes.
- **New Initiatives.**
  - Adult Foster Care (focused review).
  - Non-Direct Care Reviews (e.g., personal emergency response system, environmental and vehicle modification, specialized medical equipment, home delivered meals).
- **Integrated reviews:**
  - DA and DDRS



## **Liberty of Indiana**

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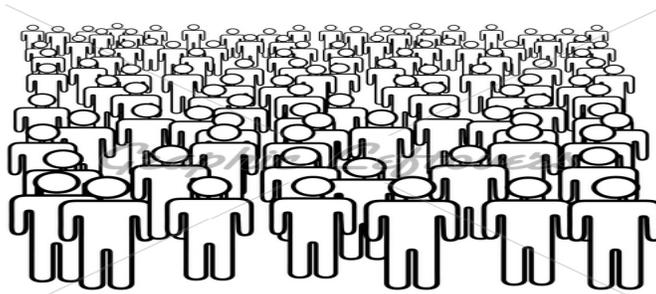
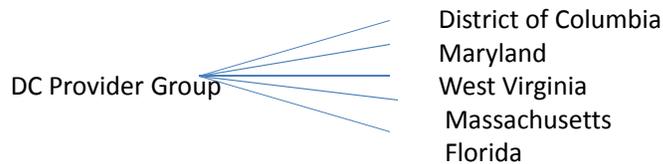
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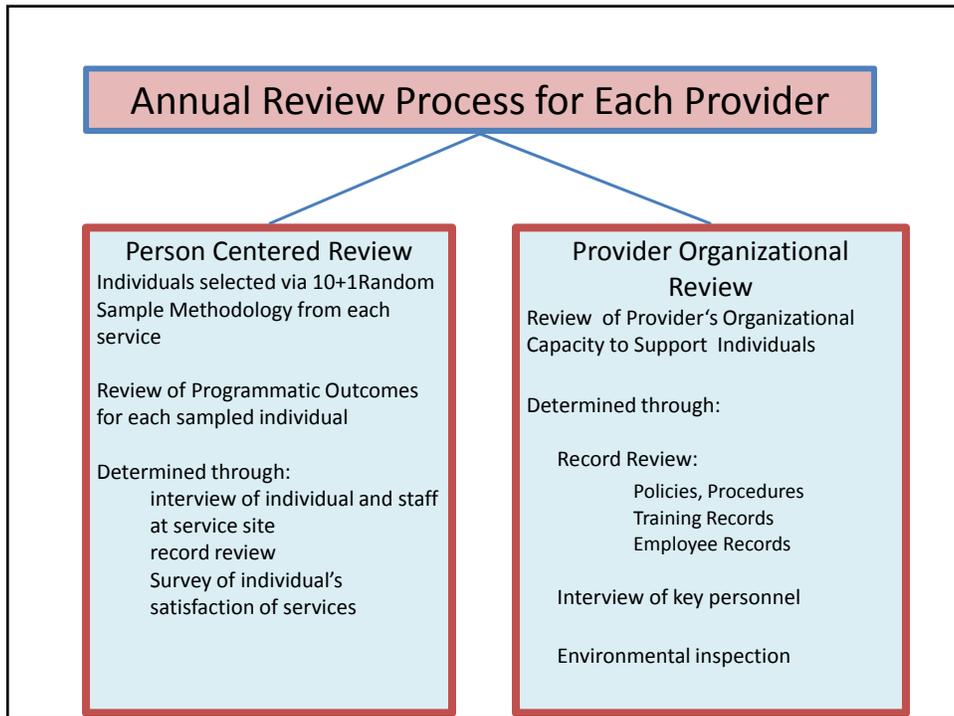
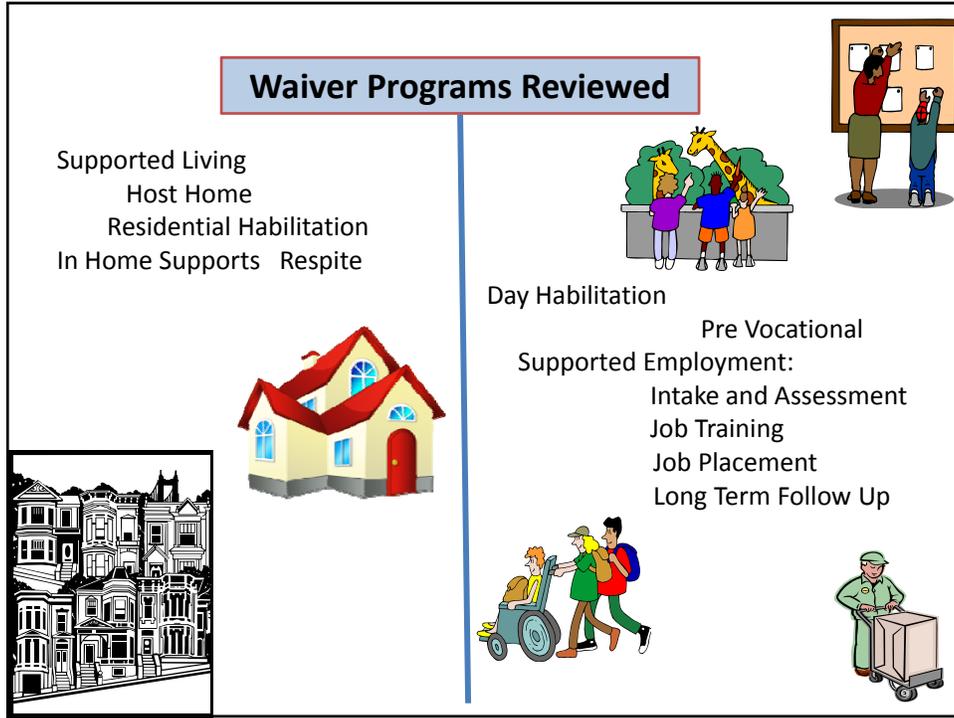
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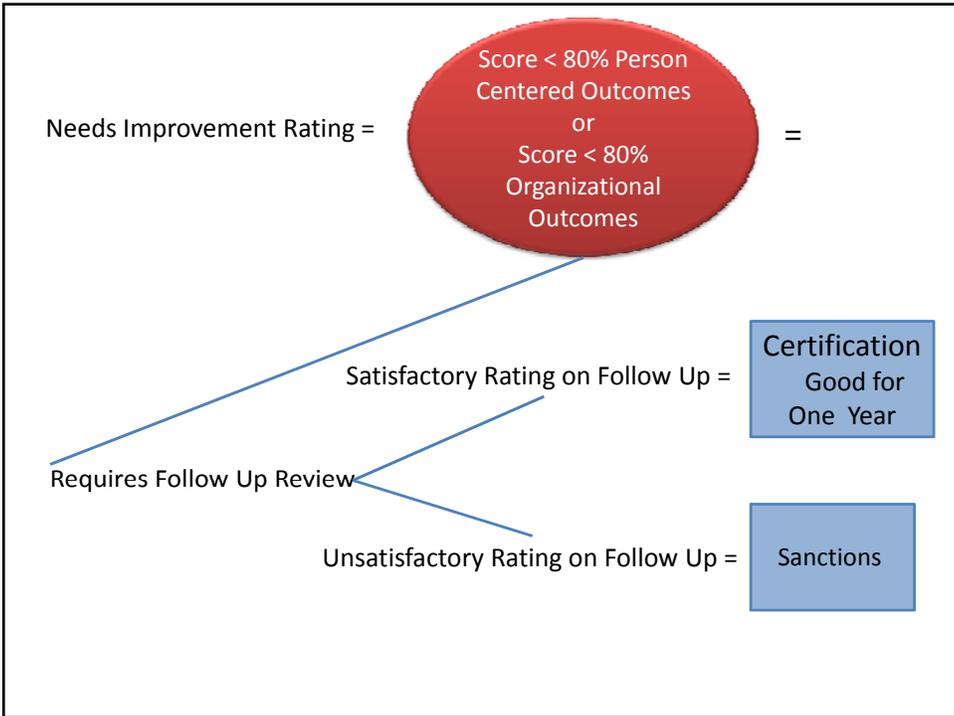
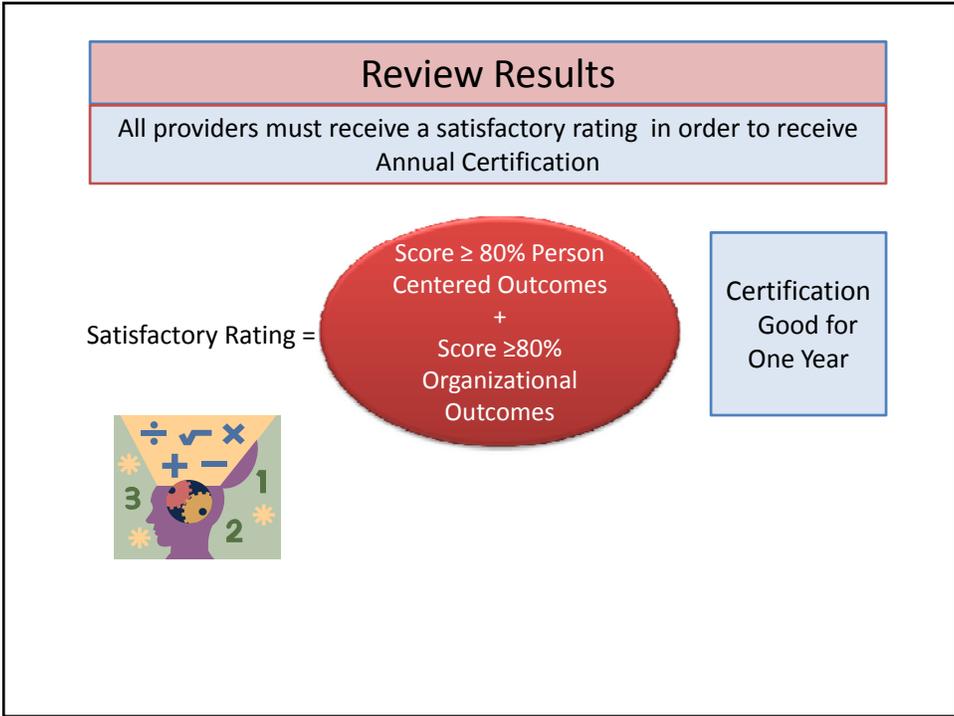
A Provider Certification Program: for HCBS Waiver Providers

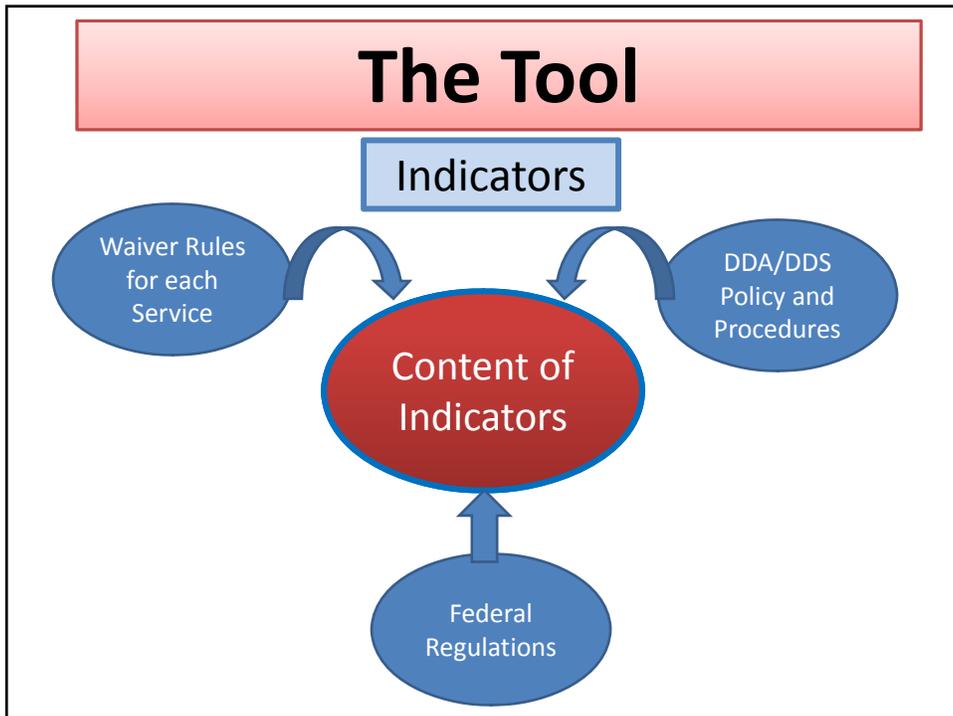
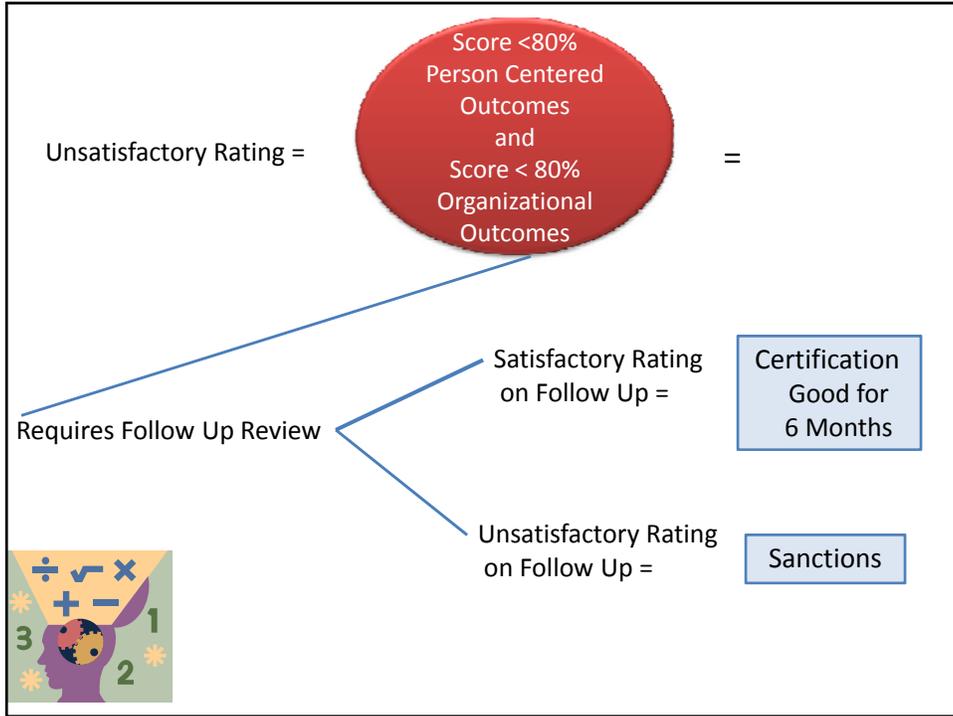
## The Process



The Liberty Review Team conducts Annual Certification for all 86 Waiver Providers in the DC Waiver Programs







## Two types of Indicators For each Service



Indicators that apply to all waiver services

Example: Is the person able to communicate/demonstrate their rights as a consumer of waiver services



Indicators that are specific to only one waiver service

Example: Are opportunities provided for skill development that increase participation in the community. (Day Hab)

## Tool Organization

### Two Major Areas

#### Person Centered Domain Indictors

- Rights and Dignity
- Safety and Security
- Health
- Choice and Decision Making
- Community Inclusion Relationships
- Service Planning and Delivery
- Participant Satisfaction

#### Organizational Outcomes Indictors

- Systems to Protect Individual Rights
- System to respond to emergencies and risk reduction
- System to insure staff are qualified and educated
- System for Quality Improvement
- System for insuring program implementation

## Person Centered Outcomes- Domains

### Eight Domains - 13 Outcomes

- Rights and Dignity**
  - People have the same rights and protections as others in the community.
  - People are treated with respect and dignity.
- Safety and Security**
  - People are safe from abuse, neglect and injury.
  - People have access to adaptive equipment
  - People feel protected in their environments.
  - People's funds are secure and used appropriately.
- Health**
  - People are supported to have the best possible health and health care services.
  - People's medications are prescribed and administered appropriately.
- Choice and Decision Making**
  - People make life choices
- Relationships**
  - People gain/maintain friendships and relationships
- Service Planning and Delivery**
  - Services are provided according to people's Individual Support Plans.
- Satisfaction**
  - People are satisfied with their living arrangements /job or day supports.
- Community Inclusion**
  - People use integrated community services and participate in everyday community activities.

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## Organizational Outcomes

### One Domain - Five Outcomes

- Provider Capabilities**
  - The provider has systems to protect individual rights.
  - The provider has systems to respond to emergencies and risk prevention.
  - The provider ensures that staff possess the needed skills, competencies and qualifications to support individuals.
  - The provider has a system to improve Provider Certification over time
  - The provider ensures that each individual has the opportunity to develop and maintain skills in their home and community.

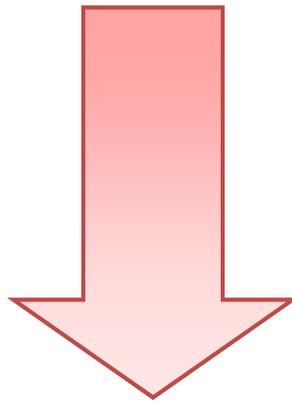
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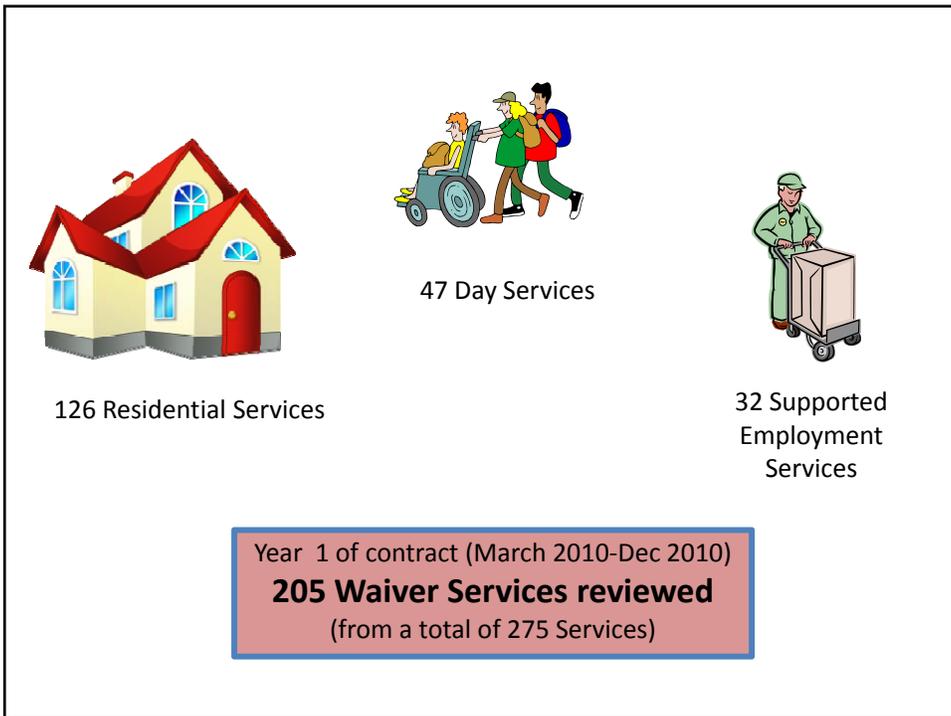
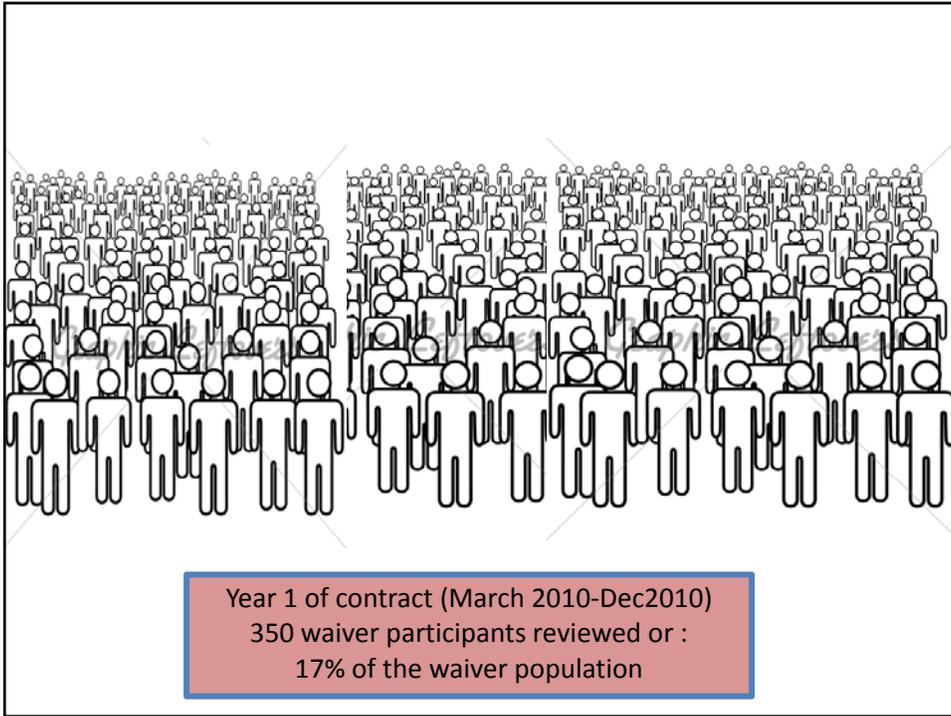


Guides have been established for all indicators. Tool and guide shared with provider prior to review.

Copies of the tool indicators and guide questions for all services are available to view

## The Outcomes





Key Performance Indicators	YTD
<b>Efficiency Indicators</b>	
Monthly Management Reports submitted by due date	<b>99%</b>
Site Review Reports completed within Targets	<b>68%</b>
Meet target dates for special projects	<b>100%</b>

<b>Effectiveness Indicators</b>	
Completed Target # of Provider Reviews per month	<b>113%</b>
Completed report for Target # of Provider Services per month	<b>95%</b>
Completed F/U reviews with over 50 indicators per month	<b>100%</b>
<b>Satisfaction Indicators</b>	
Subjective direct customer satisfaction (Scale 1-5)	<b>5</b>
Number of validated provider appeals.	<b>3</b>
<b>Reduction of Risk Indicators</b>	
Alert DDA to Q/A indicators that require provider corrective action through F/U review or by placing alerts into DDA's database	<b>3218</b>
Alert DDA of Provider Services that fail PCR Review	<b>1</b>

**Liberty Healthcare CORPORATION**

**Individual Support Plan (ISP) Utilization Review**

**Annual Report**

Prepared For:  
the Developmental Disabilities Administration  
of the Department on Disability Services  
in the District of Columbia

Date Submitted: January 18, 2011

Submitted by: Barbara Stachowiak, Project Director  
HCBS Provider Certification Reviews

**Liberty Healthcare CORPORATION**

**Provider Certification Review**

**Annual Report**

Prepared For:  
the Developmental Disabilities Administration  
of the Department on Disability Services  
in the District of Columbia

Date Submitted: February 28, 2011

Submitted by: Barbara Stachowiak, Project Director  
HCBS Provider Certification Reviews

**Liberty Healthcare CORPORATION**

**Annual Service Coordinator Performance Audit**

Prepared For:  
the Developmental Disabilities Administration  
of the Department on Disability Services  
in the District of Columbia

Date Submitted: February 1, 2011

Submitted by: Barbara Stachowiak, Project Director  
HCBS Provider Certification Reviews

**Three Annual Reports**

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Angelica

Tamisha

Lenore

Dianne

Trevor

Alice

Kim

**The DC Review Team**