

INTRODUCTION:

Different types of services have different support expectations and therefore different quality indicators associated with them. The services subject to licensure and/or certification have been grouped into the following two sampling methodologies for purposes of audit sample selection.

For some service types, the sampling methodology is a site based model, originating with sampling a certain percentage of sites, and then auditing several individuals served at the selected sites. For other services, sampling will be based on sampling a number of individuals served within the particular services. These services will be considered site-less for the purpose of sampling,

The licensure and certification process relies on conducting a prescribed number of **audits** which will be conducted by interviewing different individuals and staff, documentation and environmental reviews and observation. These are all the methods used to gather evidence to determine if applicable indicators are met. In addition, an Administrative Review encompasses the use of information from multiple sources regarding organizational systems and procedures to get a full view of the provider's services and supports.

DEFINITIONS:

AUDIT:

Each indicator is audited at different levels. The evaluation of all applicable indicators (based on the service type) pertaining to both the location and to an individual.

- Organizational (O): indicators which are evaluated based on data from the organization as a whole
- Location (L): Indicators which are evaluated at the location level for each location audited.
- Individual (I): Indicators which are evaluated at the individual level.

SERVICE GROUPS AND SERVICE TYPES

Each service type has unique support expectations and therefore there are different licensing and certification indicators which are applicable. (*See applicability charts*). For the most part, Service Types within a Service Group will utilize a common set of indicators as their foundation, but will be tailored so that only those indicators that apply to the specific service type will be incorporated into the review.

Residential/Individual Home Supports (Service Group)

- **Service Types:**
 - 24 hour Residential Supports
 - Individualized Home Supports (15 hours or more a week)
 - Placement Services (including 24 hour, less than 24 and respite services with a live-in care provider).
 - ABI/MFP 24 hour Residential Supports
 - ABI/MFP Placement Services (including 24 hour, less than 24 and respite services with a live-in care provider).

- Site Based Respite Services (planned and stabilization services)

Day/Employment Supports (Service Group)

- **Service Types:**
 - Employment Supports (including Individual and Group Supported Employment and competitive integrated employment)
 - Community Based Day Supports

SITE BASED SAMPLE METHODOLOGY:

Site Based sample selection applies to following service types:

- 24 hour Residential Supports
- ABI/MFP 24 hour Residential Supports
- Community Based Day Services (currently considered a site based service; as of 7/21 individual based)

The quality of the services experienced by individuals at the same site is likely to be similar (correlated). Thus the audit sample accounts for this intra-site correlation by ensuring that the information collected to determine whether or not standards are met is consistent across the site. Since indicators are assessed based on a statistically meaningful sample of sites it allows for sufficient information to determine whether or not standards are met.

How the Random Sample is Selected:

1. **Site Sample:** 25% of the sites providing a particular service type are selected for the sample.
 - a. At least one site must be chosen per service type.
 - b. Sites will be selected at random within service types, with the exception that at least 1 site from the previous survey will be selected. At least three quarters of the sample includes new sites that were not part of the previous audit (unless there are not enough sites to make this possible).
 - c. If an agency provides services at a significant number of sites (e.g. 5 or more sites) in a DDS region, at least 1 site (regardless of service type) from that region must be included in the sample.
2. **Audit Sample:** The total number of audits to be completed is determined based on the number of individuals receiving services of in particular service type. Once the number of audits needed is calculated (according to a pre-determined algorithm), these are spread across the number of sites that were selected.
 - a. *For example, if a provider has 12 sites at which 24hr - Residential Services are provided, the site sample size will be 3.*
 - b. *The total sample sizes of person-information are then split across these sites. If the individual audit sample size is 5, two Individual audits would be conducted from two sites and one Individual audit would occur at the third site.*

SITE BASED - AUDIT METHODOLOGY (clustering):

In order to ensure that the quality of services provided are consistent amongst all individuals served at the site and not skewed by one person, the **Individual (I) denoted** indicators are grouped into two clusters (A and B). Cluster A indicators will be evaluated for one person and Cluster B indicators will be applied to evaluate the services of another person, where possible. Therefore, two people will generally inform one audit performed.

Indicator Clusters:

- A. Health, Community Involvement, Relationships & Money Management, and Skill Building
- B. Protection of Rights, and Choice & Control

INDIVIDUAL BASED SAMPLE METHODOLOGY:

Individual based sample selection is based on the total number of individuals supported in a specific service type (*not based upon sites*). The number of audits to be completed is selected based on a pre-determined algorithm.

Applies to following Service Types:

- Individualized Home Supports (15 hours or more a week)
- Placement Services (including 24 hour and respite services with a live-in care provider).
- ABI/MFP Placement Services (including 24 hour and respite services with a live-in care provider).
- Site Based Respite Services (planned and stabilization services)- sampling is based on an algorithm that considers the number served within the past year as well as capacity of the site
- Employment Supports (including Individual and Group Supported Employment and competitive integrated employment)
- Community Based Day Supports (in the future; date to be determined)

Rules:

- The goal is to evaluate all indicators applicable to the service type. If a person selected does not receive support in a particular area, then another person will be chosen to evaluate the indicator.
- If a person receives services from more than one of the service types, they may be included in the sample for multiple service types (e.g. Employment and CBDS).

Evaluation of Individual Specialty Indicators:

Most indicators are “universal” in that they apply to everyone selected in the sample. For example, requirements for an annual physical examination apply to all. However there are several indicators that do not apply to everyone. Specialty indicators are ones that apply to a sub-group of individuals served. For example, indicators on supports and health related protections applies only to individuals being served who utilize such supports. The goal is to evaluate as many of these indicators as possible. Thus, if a person selected (e.g. cluster A person) does not receive support in a particular area, then another person (e.g. cluster B person) will be chosen to evaluate the indicator.

- *For example, if the person selected is not supported with the use of Behavior Modifying Medication, then if another person at the site is receiving such support, that person would be used to evaluate L 63 (Medication Treatment Plans).*
 - *If no one receives such support the indicator would not be rated.*

Specialty Indicators:

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| L10 | Risk for individuals whose behaviors may pose a risk to themselves or others |
| L38 | Health Care Protocols |
| L39 | Specialty dietary requirements are followed. |
| L47 | Self-medicating |
| L56 | Restrictive practices for one individual that affect all have a written rationale so not unduly restrict the rights of others. |
| L57-L60 | Behavior intervention plans are in writing and have the necessary reviews and approvals. |
| L61-L62 | Supports and health related protections have the necessary reviews and approvals. |
| L63-L64 | Medication treatment plans. |
| L65-L66 | Restraint reporting |

ORGANIZATIONAL INDICATORS:

An Administrative Review is a process that utilizes information from multiple sources regarding the organizational systems and procedures to evaluate the applicable indicators.

SAMPLING METHODOLOGY FOR ORGANIZATIONAL INDICATORS:

The administrative indicators are sampled differently, and depending on the indicator, are based on the number of provider employees and the number of occurrences of the item being evaluated.

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| L2: O | Abuse/neglect reporting | Number of sites plus any events reviewed organizationally |
| L3 | Immediate Action | No of Complaints with Immediate Actions in past 24 mos. With max of 15. |
| L4 | Action taken | Number of Action Plans in past 24 mos. Max of 15. |
| L48 | HRC (Human Rights Committee) | Number of Provider HRCs. |
| L65 | Restraint report submit | Number of restraints which occurred over past 13 months |
| L66 | HRC restraint review | Number of restraints reviewed by the HRC over past 13 months |
| L74 | Screen employees | 10% sample of new employees |
| L75 | Qualified staff | Employees with qualification requirements (e.g. Nursing; SW) |
| L76 | Track trainings | 10% sample of employees; maximum of 20. |
| L83 | HR training | 10% sample of employees; maximum of 20. |
| L92 (for E/D service grouping-future indicator as of 7/21) | Sub-locations are licensed, certified and inspected as required | Number of Provider owned / operated sub-locations |

FOLLOW UP SAMPLING

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| The sampling algorithm is reduced for 60 day follow-up under certain conditions. See table below:60 Day follow-up sample | Two Year License with 90% or more met | Two Year License with 80%-89% met | Two Year License with less than 80% met or Deferred |
| Site methodology | Provider follow-up; no sample | Reduction to 15% of sites | Sample remains at 25% |
| Individual methodology | Provider Follow-up; no sample | Reduced algorithm | Standard algorithm for full surveys |

SURVEY TEAM SIZE AND SCHEDULE

- The size of the survey team varies depending on the selected sample size for the survey. The sample size of the survey is dependent on the size of the Provider.
- 45 days in advance of the survey, the provider will be notified of the start of the survey, the date of the administrative review, the survey dates, feedback dates, and the composition of the survey team.
- Day 1 - the Administrative Review is conducted.
 - The Provider will be notified of which locations will be audited at the Administrative Review.
 - For employment supports and individual home supports (and CBDS once this converts to individual sampling methodology), the provider is informed of the individuals who will comprise the individual audit.
- Days 2 – 5 - Audits are conducted.
 - It is anticipated that a surveyor can completed 1-2 audits in one day depending on service type and type of review.