

COLLABORATIVE OUTCOMES REVIEW & ENHANCEMENT

Sample Procedures

Provider Sample

Providers selected to participate in the onsite consultation process will include those rendering services under the Developmental Disabilities Home and Community Based Services Waiver and/or the Family and Supported Living Home and Community Based Services Waiver. Individuals receiving these services from the provider will be selected and asked to participate in the consultation.

Tools will be used to capture data about the presence or absence of requirements that must be met by the provider. These tools summarize the required elements into a single instrument that will be used during the interactive consultative activities. Only recoupment elements will identify the specific records using the individual's first name and last initial. All other citations will not identify the individuals used in the sample. The name of the individuals participating in the sample will be maintained in the Quality Improvement Consultant (QIC) scheduling tool under the memo section. QICs will conduct individual interviews within an hour timeframe.

Interview Sample/Record Review for Solo and Agency Providers

- A. During the initial contact with the provider, based upon the claims information and discussion with the provider, the QIC will identify the individual(s) chosen for the review. The QIC will use the last 6 months of claims to select the sample.
- B. If the provider also renders Family and Supported Living Waiver (FSL) services, at least one person receiving services through this funding source will be selected as part of the sample (see Sample Matrix).
- C. If the provider only renders FSL services, the Sample Matrix will be used to determine the sample.
- D. Individuals selected in the sample must be currently receiving services and ideally have received services in the last 4 months prior to the review date. There may be exceptions to the four month period, due to changes in the provider's caseload.
- E. For the sample, attempts should be made to include new individuals and individuals with medical needs, behavioral needs and/or a guardian.
- F. An over-sample of individuals will be selected to alleviate any special circumstances that may arise.
- G. Only individuals who have not received a Person Centered Review (PCR) within the last 12 months may be part of the CORE sample unless the number of individuals to sample is so small as to make this requirement impossible.
- H. Individuals who are part of CDC+ should not be included in this sample.

- I. The individuals' records will also be reviewed before and/or after the QIC conducts the interview. Data from the interview and the record review will be used to assist in scoring appropriate portions of the checklists.
- J. During the site visit the QIC may decide to conduct additional interviews based upon specific trends or problems identified.
- K. Individuals who are selected that are receiving multiple services and supports from the provider will be counted as one interview/record for each service being provided. If the provider provides multiple services, the overall sample should include at least two individuals and ensure that the sample is for each service provided. (Refer to Sample Matrix)
- L. During the Onsite consultation, the QIC may decide to conduct additional interviews, or review more than the minimum number of records, if trends or problems are identified.
- M. For providers who render Adult Day Training and Residential Habilitation and have multi-sites, all locations will receive an onsite visit to observe the facilities.

The following sample matrix will be used for all services being provided, except for group home providers.

SAMPLE MATRIX			
<i>INDIVIDUALS SERVED PER PROVIDER</i>	<i>PROVIDER TYPE</i>	<i>NUMBER INDIVIDUALS SAMPLED PER SERVICE</i>	<i>OVERSAMPLE PER SERVICE</i>
1-29	Multiple Service	1 per service and a minimum of 2 for the provider	1 (unless only 1)
30-99	Multiple Service	1 per service and a minimum of 3 for the provider or 5% of the total number whichever is greater	2
100-199	Multiple Service	1 per service and a minimum of 5 or 5% of the total number whichever is greater	3
200 or more	Multiple Service	1 per service and a minimum of 10	3
1-29	Single Service	2	1

30 - 99	Single Service	3	2
100-199	Single Service	4	2
200 or more	Single Service	5	3

- Depending on the number of group homes the following interview sample will be selected:

Number of Group Homes	Number of Individuals Selected
1 to 4	1 per home
5 to 9	A minimum of 4 individuals from different homes
10 or more	A minimum of 6 individuals from different homes

- For providers who provide residential habilitation in multiple foster homes, interviews will be based on the sample matrix above. Interviews will be conducted at different foster home sites. For observations, 25% of the foster homes must be reviewed on site with a minimum of 5 sites or 100% of the sites whichever is smaller. To the extent possible, one individual will be interviewed at each site. If the provider is reviewed in subsequent years, previously reviewed sites should not be reviewed until all foster home sites have been reviewed.

Note: In scoring the minimum requirement section of the tool, should the provider refuse to provide a requested individual's or employee record or the provider does not have a requested record available, it is the responsibility of the provider to obtain the record and provide it to the Reviewer during the scheduled timeframe of the review. In cases where it is not provided, the Reviewer will consider all related elements to be "not met". The Reviewer will note in the Narrative Summary and the element's supporting documentation section that the provider failed to produce required documentation for one or more files using the nominator/denominator. However, the reviewer will indicate in the element's supporting documentation section the provider's compliance with other records reviewed.

Record Review for Personnel Files

At least five (5) or twenty-five percent (25%), whichever is less, of the employee records will be reviewed per service with a minimum of two per service.

For agency providers, the QIC could select employees based on the following requirements: newly hired; long term; supervisor/manager. At least one of the employees must work directly with an individual who is being interviewed.

A single record may satisfy multiple selection guidelines.

For any sample used in the review, the QIC will identify the provider staff by their first name and first letter of their last name, to protect confidentiality, but allow for follow-up either by Delmarva or the District.

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