



May 10, 2017

CDDO Peer Review of

Arrowhead West, Inc. CDDO

Review Team:

Laura Garrison, KDADS

Colin Rork, KDADS

Linda Young, KDADS

Janet Bolander, DSNWK CDDO

Pamela McCaslin, ResCare Great Bend

CDDO REVIEW REPORT SUMMARY OF FINDINGS

Arrowhead West, Inc. CDDO Peer Review May 10, 2017

GENERAL COMMENTS

Arrowhead West CDDO Peer Review was held May 10, 2017 at 9:00 a.m. The last Peer Review for Arrowhead West was conducted in 2013. Lori Pendergast currently serves as the President of Arrowhead West, the CDDO Director and was KDADS primary point of contact. Arrowhead West submitted all the necessary documentation to KDADS timely and was very helpful throughout the entire review process.

IDENTIFIED STRENGTHS

1. **CDDO Website** – The Arrowhead West CDDO website <http://arrowheadwestcddo.org/> is a very helpful resource when it comes to learning more about Arrowhead West and CDDO processes in general. It provides all the necessary information, is impartial and easy to navigate. Nice explanation on the website for changing service providers and case transfers.
2. **The CDDO Handbook** - The CDDO Handbook is very helpful and informative, it walks through each process step-by-step, listing out their procedures. Page 10 of the Handbook under “ANE Process and Corrective Action Requests” indicates the Quality Assurance Coordinator reviews reported incidents with the Case Manager to ensure that appropriate follow up and internal investigation has been completed and that the involved client will be safe and protected during any investigation process. Also, the CDDO ensures that adequate training related to ANE is made available to clients, guardians, and service providers and that the QAC is available to assist with ANE training if requested.
3. **Quality Assurance** – QA checklist was completed for 16 affiliates each quarter according to records received onsite. Evidence shows tracking and documentation of follow-up measures and/or corrective action plans. QA process appears to be very thorough and a great practice to ensure quality service is provided to those served in the CDDO catchment area.
4. **Functional Assessment** – Functional Assessment and KAMIS entry timeframes were excellent based upon the sample set reviewed. The majority of files sampled were entered in to KAMIS within 24 hours’ time.

RECOMMENDATIONS FOR CDDO:

1. **Outcome 3: CDDO completes all management responsibilities as required – Monitoring Activity 3g.**

Issue: The CDDO presented little evidence affiliates have opportunity for input on CDDO area system management. CDDO Director also indicated during the interview portion of the Peer Review this is an area they could make improvements.

Recommendation: Suggest incorporating a more robust system to solicit feedback from the Arrowhead West, Inc. CDDO affiliate network.

2. **Outcome 13: CDDO maintains an effective dispute resolution system that meets regulatory requirements – Monitoring Activity 13.**

Issue: “Any of the above mentioned entities who have a dispute must submit a written grievance to the Vice President of Client Services.” The Vice Present of Client Service is not an employee of the CDDO.

Recommendation: Dispute Resolution Process needs to go through the CDDO.

FINDINGS

1. **Outcome 3: CDDO completes all management responsibilities as required – Monitoring Activity 3.**

Issue: Affiliate List provided and services they were contracted to provide did not always match written documentation. TCM services were not an option on the affiliate agreements. One Affiliate Agreement was un-signed.

Recommendation: Service Agreements and the choice list should provide the same options.

CDDO should get a signed affiliate agreement from Accessible in Salina. Add TCM as a choice to all options documentation.

2. **Outcome 3: CDDO completes all management responsibilities as required – Monitoring Activity 3d.**

Issue: CDDO was unable to produce appropriate documentation to indicate services were being declined (including TCM). Some of the files that were sampled included sticky notes or a grid to indicate a person declined services.

Recommendation: Consumer and / or guardian should sign options counseling form stating they decline services and TCM if that’s what they choose to do.

3. **Outcome 3: CDDO completes all management responsibilities as required – Monitoring Activity 3i.**

Issue: Position descriptions do not clearly differentiate job functions of the CDDO versus the CSP. CDDO Director is the same individual as the CSP Director. Additionally, she spends approximately 10% of her time acting as CDDO Director. There are no dedicated CDDO staff for Arrowhead West, Inc. There are two staff that are TCM for persons served and they make eligibility determinations and perform BASIS assessments for the CDDO. Dispute Resolution goes through the CSP Vice President, not the CDDO. The CDDO is sharing resources with the CSP or vice versa.

Recommendation: Further separate out position descriptions to reflect CDDO versus CSP job functions. Any shared resources between CDDO and CSP should be separated out. Any Dispute Resolution should go to CDDO employee not the CSP Vice President.

4. **Outcome 4: Unbiased affiliation process – Monitoring Activity 4.**

Issue: CDDO must have written policies/procedures that are approved in accordance with Article 64 requirements that clearly address the CSP affiliation process, and states the affiliation requirements. Evidence of a policy/procedure and it is followed.

Recommendation: “Implementation Responsibilities of CDDO’s” Policy does not speak to the CSP affiliation process or the requirements.

BEST PRACTICE RECOMMENDATIONS:

1. A newsletter may be a good way for the CDDO to stay in touch with individuals (especially those who are waiting for services) and provide insight to what is available, or any changes/updates. Individuals may opt in to receive an electronic newsletter so they can stay informed.

SUMMARY: This review identified many CDDO strengths as well as opportunities for improvement. Arrowhead West, Inc. CDDO was very organized and accommodating throughout the Peer Review Process. The CDDO staffs’ knowledge, experience and in depth involvement is beneficial to all involved with the process.

Peer Review Tool

Review Team Members:

- 1) Laura Garrison, PICS, KDADS
- 2) Colin Rork, PICS, KDADS
- 3) Linda Young, PICS, KDADS
- 4) Janet Bolander, DSNWK
- 5) Pamela McCaslin, ResCare, Great Bend

Date of Review: May 10, 2017

CDDO Name: Arrowhead West, Inc. CDDO

Address: 1100 East Wyatt Earp

Contact Person: Lori Pendergast, Director

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ACRONYM REFERENCE GUIDE

“ANE” Abuse, Neglect, Exploitation

“BASIS” Basic Assessment and Services Information System

“CDDO” Community Developmental Disability Organization

“COCM” Council of Community Members

“CSP” Community Service Provider

“ICF” Intermediate Care Facility

“ICF/IID” Intermediate Care Facility for Individuals with Intellectual Disability

“KDADS” Kansas Department for Aging and Disability Services

“PD” Position Description

“QA” Quality Assurance

Scoring Compliance Key

(1) =Yes (2) =No (7) = NA

Program Contact:

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Desk Review Activities - Section I
Review of Policies and Procedures, Website & Newsletters

#		1	2	7	Strengths & Comments	Findings & Recommendations
1.	CDDO ensures that its policies are distinct to the CDDO, and CDDO operated CSP policies are distinct to CSP. CDDO and CSP functions are governed by two distinct sets of policies.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Policies and procedures are in process of being updated.	N/A
2.	Does the CDDO have a newsletter? If yes, review one years' worth. Does the CDDO ensure written communication demonstrates impartiality of the CSPs?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CDDO previously distributed a quarterly newsletter.	N/A
3.	Does the CDDO have a company website? If so, does website ensure impartiality of CSPs?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CDDO had a website that only provides contact for the CDDO.	Update "Basis" tab to be reflective of KDADS Functional Eligibility and Waitlist Policy

On-Site Review – Section II
Outcome #1

K.A.R. 30-64-20 - CDDO Maintains data regarding CDDO Review Improvement Plans (if any) requested during past review period including rebuttal and date.

#		1	2	7	Strengths & Comments	Findings & Recommendations
1.	CDDO submitted a performance improvement plan to KDADS as requested. There is documented plan available. Review team and KDADS approved plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	CDDO is not being held accountable to this regulation this peer review cycle.	N/A
1a.	CDDO maintains and monitors data for performance improvement plan. CDDO maintains data in a manner that allows evaluation.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	CDDO is not being held accountable to this regulation this peer review cycle.	N/A
1b.	CDDO is responsive to data results. CDDO has revised the performance plan as needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	CDDO is not being held accountable to this regulation this peer review cycle.	N/A

1c.	Completion of improvement plan items occurred. Items completed within timeline and is verified by data and/or outcomes.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	CDDO is not being held accountable to this regulation this peer review cycle.	N/A
Outcome #2						
K.A.R. 30-64-21 - CDDO Maintains policy and procedure changes that are approved as required.						
#		1	2	7	Strengths & Comments	Findings & Recommendations
2.	CDDO will initially and on an on-going basis, follow the regulatory process when developing policy. Did CDDO run policy/procedure changes through the appropriate process: COCM Input, Board Approval, KDADS approval?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Arrowhead West submitted Policies and Procedures to KDADS for review on February 7, 2017.	N/A
Outcome #3						
K.A.R. 30-64-22 - CDDO completes all management responsibilities as required.						
#		1	2	7	Strengths & Comments	Findings & Recommendations
3.	CDDO maintains affiliate agreements with all affiliates. Does CDDO have current affiliate agreement for each affiliate?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		Affiliate agreement for Accessible in Salina is un-signed. Affiliate List provided and services they are contracted to provide did not always correspond to one another. TCM services were missing from services and Affiliate Agreements.
3a.	If the CDDO has cancelled or suspended an affiliate agreement, was the action consistent with regulatory criteria? Criteria: 1) provider did not accept rate equal to that established by the Secretary 2) Provider has established pattern of not abiding by service area procedures 3) Entering into an agreement would seriously jeopardize the CDDO's ability to fulfill its responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	CDDO has not cancelled or suspended any affiliate agreements.	N/A

3b.	Did CDDO report BASIS information to KDADS in the agreed upon timeframe? (All functional assessments shall be entered into KAMIS within seven calendar days of completion of the assessment.) KDADS will sample completed assessments and dates to compare against KAMIS entries (5 days to initiate assessment from date of request, 30 days to complete assessment from date of request, 7 days to enter in to KAMIS).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	KDADS requested random sample of 21 individuals who had BASIS assessments completed w/in the last year. CDDO provided evidence showing that BASIS information was entered into KAMIS in the agreed upon timeframe for all individuals sampled. Several were entered the same day as assessment. AWI CDDO does a great job meeting/exceeding agreed upon timeframe and has no problem entering BASIS into KAMIS within 7 days.	CDDO may consider amending the functional assessment form to include a KAMIS entry date.
3c.	Following a sample of crisis/exception requests, do CDDO processes/procedures meet state guidelines?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	KDADS requested a sample of all crisis/exception requests. Evidence provided indicates CDDO is following crisis and exception process as outlined by KDADS.	N/A
3d.	Following a sample of eligibility determinations, do CDDO processes/procedures meet state guidelines? For example, was each person provided with “comprehensive options counseling?” Is the functional assessment/or reassessment occurring within the stated timeframe?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		CDDO does not have appropriate documentation to indicate an individual has declined services including TCM services. Some of the files sampled only contained sticky notes or a grid which was used to indicate the individual declined some sort of service.
3e.	Following a sample of provider case transfers inside and outside the CDDO catchment area, does CDDO ensure processes/procedures meet state guidelines?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Met Standards	N/A
3f.	Following a sample of affiliation agreements, does CDDO ensure agreements are uniform for like services? CDDO operated CSP must	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	100% review of affiliate agreements. There is no evidence any of the agreements extend advantages to some of the CSPs and not others. Affiliate	TCM should be added as an option on all affiliate agreements.

	have an affiliation agreement with CDDO. Affiliation agreement cannot extend advantages not offered to other CSPs.				agreements are uniform.	
3g.	Does evidence and documentation demonstrate that affiliated service providers have opportunity for input on CDDO area system management? Correspondence and interviews verify the CDDO makes input opportunities available for all affiliates.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CDDO had a standing agenda item listed on the COCM meetings to discuss this type of information.	Reviewed affiliate meeting minutes showing no notation in minutes this item was discussed. No satisfactions surveys. Director indicates this is an area they need to improve in.
3h.	Does CDDO have any individuals who work for both the CDDO and the CSP? If so, review a sample of PD's.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Yes, numerous individuals.	There are no designated CDDO employees
3i.	CDDO will maintain a separation in function between the CDDO and CSP management and operations. It is clear which functions are CDDO and which are CSP. If there are personnel that work for both entities their position description reflect such. Paper and electronic information is stored securely to ensure CSP division of a CDDO does not have access.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	CDDO has separate phone, fax lines, mailing addresses and websites.	Position descriptions do not clearly separate out CDDO job functions from CSP job functions. CDDO Director is the same individual as the CSP Director and 10% of her time is allocated to the CDDO Director position. There are no dedicated CDDO staff. Two individuals who are making eligibility determinations and performing functional assessments also act as Targeted Case Managers for individuals served. This could create a potential conflict of interest. The Dispute Resolution process goes through the CSP Vice President, not the CDDO. The CDDO should separate out any resources they are sharing.

Outcome #4

K.A.R. 30-64-22 - Unbiased affiliation process

#		1	2	7	Strengths & Comments	Findings & Recommendations
4.	CDDO must have written policies/procedures that are approved in	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The procedures for affiliation are spelled out in the CDDO Handbook and on the	Policy "Implementation responsibilities of CDDOs" does not speak to the

	accordance with Article 64 requirements that clearly address the CSP affiliation process, and states the affiliation requirements. Evidence of a policy/procedure and it is followed.				website.	affiliation requirements. Refer to (f) (1) (2) (3).
4a.	CDDO must maintain documentation that identifies the current status of all individuals/entities/applicants requesting affiliation, including notification of appeal/grievance rights. Evidence of a process for affiliation and its monitoring.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	All affiliates are provided a checklist indicating the name of organization affiliating, services to be provided, date of initial contact, required documentation checklist, and date documentation received. Addendums A-D provide information and documentation required to become an affiliate with AWI CDDO. All Affiliate Agreements reviewed included evidence of this process for affiliation and it's monitoring with checklist including date of initial contact and dates required documentation received. This allows CDDO and CSP to see what else is needed and where CSP is at in the process. Dispute Resolution Policy/Procedure outlines process for appeal/grievance rights and the different circumstances in which it can be used. Specifically for this outcome, it outlines process for any entity that wishes to become an affiliated provider.	N/A
Outcome #5						
K.A.R. 30-64-22 - Unbiased service option information						
#		1	2	7	Strengths & Comments	Findings & Recommendations
5.	CDDO policies and procedures are implemented as written for sharing, with persons requesting/receiving services, impartial information regarding all service options. The	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	There is policy and procedure in place titled "Single Point of Entry". This policy ensures CDDO will impartially inform eligible individuals of the role of each service provider and how each may	N/A

	policy and procedures ensure all CSP options are shared.				be accessed. There is also protocol titled “Affiliate Information & Referral Protocol” which states that CDDO will always represent all affiliated agencies fairly and equally to any individual who is choosing a provider. At all BASIS, consumers are provided with all affiliated organizations and choice form. Reviewed choice form, which included all affiliates (Case Management, Day, Residential, FMS, PCS, and SHC Choice Form).	
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Outcome #6

K.A.R. 30-64-22 - Access to HCBS & Day/Res State Aid funding is not dependent on the person’s chosen service provider.

#		1	2	7	Strengths & Comments	Findings & Recommendations
6.	CDDO policies and procedures for accessing state aid funds are made available on request. An impartial process for determining funding decisions is in place.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CDDO does have a blurb in the CDDO Handbook which speaks to State Aid. CDDO is submitting tracking state aid allocation and submitting to the state as requested.	State aid allocation reports were reviewed for Q4 2016, and Q1-3 2017 indicate state aid funds are only being distributed to Arrowhead West. Reviewers note there is not an impartial distribution process in place for state aid. A finding will not be issued on this regulation until further clarification is provided by KDADS.

Outcome #7

K.A.R. 30-64-23 - CDDO will serve as single point of entry and maintain an effective application, eligibility determination & service choice process

#		1	2	7	Strengths & Comments	Findings & Recommendations
7.	Eligibility staff have been trained per regulation. CDDO has developed a training program and such have been approved by COCM. Evidence eligibility staff have completed identified requirements.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Admissions Coordinator is required through independent study and / or in-service training to become familiar with intellectual DD protocol outlined in Eligibility Handbook. Community Council documentation indicates a	N/A

					training program has been approved. CDDO provided review staff in service training Query indicating persons trained, training hours, date of training, presenter and title of training.	
7a.	CDDO policies and procedures are impartially implemented as written for the process that is utilized for persons wishing to change CSPs in that CDDO area. Policies and procedures are implemented as written.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Policy and Procedure process for changing service providers is provided in the CDDO handbook. Given annually and upon request. Admissions coordinator is contacted to review the Affiliated CSP's. 5 consumers changed provides in 2016. CDDO proved tracking forms indicating consumer's names, date of change, previous provider and new provider. KDADS requested samples of change in CSP's within the last year. CDDO produced documentation and emails indicating request for change. Consumer and/or guardian review choice form. All were signed by person served or guardian. They showed the date the form was sent to the MCO.	N/A

Outcome #8

K.A.R. 30-64-23 - Informed Choice of Community Service Providers

#		1	2	7	Strengths & Comments	Findings & Recommendations
8.	CDDO effectively maintains documentation of service provider change/transition requests/notifications. Notifications are maintained.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CDDO has Change in Service Provider tracking form. Sample shows evidence of date change requested date choice form signed on date of change.	N/A

Outcome #9

K.A.R. 30-64-25 - CDDO will maintain a process in coordination with affiliates that results in services being offered and provided in a way that does not discriminate against any persons because of severity of person’s disability.

#		1	2	7	Strengths & Comments	Findings & Recommendations
9.	CDDO process is effective. All persons that request services, for whom funding is available, receive requested services. Review: affiliate agreement; policy/procedure; any agreements for provider specialization and capped capacity.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Team reviewed CDDO provider funding committee reports for the last year. Policy and Procedure for “Implementation Responsibilities of CDDO’s” outlines all individuals funded received requested services. Discrimination statements are also present throughout “Uniform Access to Services” in the Policy and the Affiliate Agreements. Affiliates can declare capacity annually and will be in a new affiliate agreement.	N/A
9a.	CDDO identifies number of persons the Secretary of KDADS has determined inappropriate for community services because the person presents a clear and present danger to self of community.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		N/A

Outcome #10

K.A.R. 30-64-26 & 30-64-27 - CDDO will maintain a locally developed impartial QA process that reasonably addresses regulatory requirements.

#		1	2	7	Strengths & Comments	Findings & Recommendations
10.	QA process addresses the required regulatory requirements including: Choice, Person-Centered, Rights & Responsibilities, Paid/Delivered, Third Party payment responsibility and ANE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Quality assurance for Policies and Procedures addresses all regulatory requirements outlined on Article 64. Pages 8-11 on CDDO Handbook outlines QA Process, individual QA, QA	N/A

	reporting information?				monitoring of providers, critical event recording and trending, ANE process and corrective action requests, background checks, complaint tracking and other QA monitoring and oversight. CDDO QA provider checklists completed quarterly QA meeting minutes, ANE reporting's, critical event reports, and requests for corrective actions. Evidence shows tracking of all incidents, and documentation of follow up and corrective action.	
10a	CDDO maintains evidence that the same remediation and follow-up process is utilized for all CSPs for same services.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Onsite visit checklist is utilized and conducted quarterly at all QA reviews of providers. CDDO provides on-site checklists item per item summary for all affiliates that is updated quarterly. Evidence from QA/COCM minutes and checklists indicate the same process is utilized for all CSPs for same services.	N/A

Outcome #11

K.A.R 30-64-29 - CDDO will develop, implement and maintain a gatekeeping system for public and private ICFs/IID that is in compliance with regulations.

#		1	2	7	Strengths & Comments	Findings & Recommendations
11.	Is CDDO informing person/family/guardian of available community services choices and types in or near the person's home annually?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CDDO reviews those who reside in ICF/IID in catchment area quarterly. Tracking form includes, name of person, county of origin, tier, ICF_MR were redoing, residential county CDDO, Date of BASIS, reviewed on date, CDDO sent	N/A

					rights/service packet. The sample provided by the CDDO, is a copy of the letter form the residing CDDO, Arrowhead West sent letter to guarding with list of CSP's in the area, and this process was consistent with all that were sampled.	
11a	Does CDDO have documentation of ICF/IID requests?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Have not had a request for admission w/in the last year.	N/A

Outcome #12

K.A.R 30-64-31 - CDDO maintains a council of community members that meets the regulatory requirements.

#		1	2	7	Strengths & Comments	Findings & Recommendations
12.	Did CDDO provide a list of the council of community members?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CDDO provided list of council of community members including, name, category, start date, end first term, date re-elected, end second term, and comments.	N/A
12a	Does the council membership meet the regulatory requirements? Comprised of a majority of persons served, family members and/or guardians and includes affiliates of the CDDO for no more than 2 consecutive 3 year terms.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review of COCM Quorum stating 51% of voting members present are clients representing. Council made up of 9 official members to include 5 clients / family/guardians representatives, 2 affiliates providers representatives and 2 CDDO representatives. Policy outlines consecutive term limits. COCM participants list indicates when term expires and / or how long a person served.	N/A

Outcome #13

K.A.R. 30-64-32 - CDDO maintains an effective dispute resolution system that meets regulatory requirements.

#		1	2	7	Strengths & Comments	Findings & Recommendations
13.	CDDO has policies/procedures implemented as written and approved in accordance with Article 64	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Procedure for Dispute Resolution are included in the procedures of the COCM titled "Dispute Resolution" The right to	Dispute Resolution should not be sent to CSP Vice President, it should be sent to a CDDO representative.

	requirements, and clearly addresses how persons requesting/receiving services and family members receive information regarding the CDDO complaint/grievance process is accessed.				access the dispute resolution process including internal and external method of appeal to resolve the dispute with the provider or any other part of the community service system will be reviewed annually with person served and or their guardian as applicable. COCM will review quarterly any formal grievances or disputes that have come to the attention of the CDDI. The COCM will review annually a summary of all grievances / dispute to determine trends and any areas for service improvements.	
13a	CDDO will maintain evidence that the dispute resolution process is made available to all persons requesting it and to any persons whom a negative action has been initiated.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Annual review of rights includes Dispute Resolution information. CDDO provided samples of individuals who have signed rights forms and provided annually indicating rights to Dispute Resolution.	N/A
13b	CDDO must maintain evidence of all incidence in which the dispute resolution process was initiated by any party.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Have not had anyone initiate the Dispute Resolution process in years.	N/A
13c	CDDO must evaluate the collected data in effort to utilize trends to improve the CDDO system.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	CDDO has complaint tracking form submitted to the State that is utilized to track / trend. QA COCM processes utilize tracking techniques to improve CSSO system.	N/A

CONSUMER/FAMILY INTERVIEW					Y	N	N/A	COMMENTS
1) Did you understand the eligibility application process? If not, please explain	3	2	0					
2) Do you believe the eligibility determination process is understandable and timely? If not, please explain.	2	3	0				1) No, took long time to get case manager 2) No, kept them informed	
3) Do you believe the service referral process (including options counseling) was timely? If not, please explain.	4	1	0					
4) Did the CDDO make you aware that you can appeal or request a review of any decision made by your CDDO? If not, explain.	5	0	0				1) Not sure, but sure they did. 2) Yes, provided all necessary information throughout the process.	
5) If currently receiving services, did you receive information on all service providers in your area when you found out you had funding and could begin the process of selecting a provider?	1	1	3				1) Yes, TCM helped us	
6) If currently receiving services, have you every changed service providers? If so, how did you receive information about all your service options?	1	0	4					
7) If currently receiving services, do you know who to contact if you want to change service providers? If so, who?	1	0	4					
8) Do you have any other information regarding your interactions with the CDDO that you would like for us to consider?	2	1	2				1) Waiting on KanCare 2) They don't help people like they used to`	
COMMUNITY SERVICE PROVIDER INTERVIEW								
3 total respondents					Y	N	N/A	COMMENTS
9) Does the CDDO have an effective process for completing the annual BASIS assessment? If no, please explain?	2	1						
10) Does the CDDO maintain a process to	2	1						

solicit (ask you) for your input on CDDO policies/procedures, major local systems change and statewide initiatives for which they represent your area? If not, please explain.				
11) Does the CDDO share information about your CSP with persons seeking services?	2	1		
12) Does the CDDOs literature demonstrate impartiality regarding the CSPs in your area?	2	1		
13) Are you aware of communication in which the CDDO benefitted one CSP over another? If yes, please explain.	2	1		
14) Does the CDDO manage an effective process for persons to access your services? If not, please explain.	1	2		
15) Does the CDDO maintain and share (if requested) a list of names of those persons interested in services who have consented to release their names?	2	1		
16) Does your CSPs grievance/dispute resolution process refer the person to the CDDO if the issue is unresolved? If not, please explain.	2	1		
CDDO STAFF INTERVIEW				
LORI PENDERGAST, DIRECTOR		Y	N	N/A
				COMMENTS
17) Has the CDDO refused to affiliate with a provider? If so, was the appropriate regulatory criteria applied?		X		
18) Has the CDDO cancelled/suspended an affiliate agreement? If so, was the appropriate regulatory criteria applied?		X		
19) Does the CDDO solicit input from all affiliates regarding policies/procedures,		X		We don't do well officially. I let them know about the Stakeholder call. I let them know about the Community of Council meeting and they could come. I could do a survey.

major local systems change and statewide initiatives for which they represent your area? If so, how?				
20) Does the CDDO maintain separate in CDDO/CSP functions? If so, how?		X		We have many staff that do both, have a chat that says what we do. We try to separate, sometimes we have to stop and think. We have had no complaints yet, but for us it is difficult to justify to separate as just a CDDO.
21) Do you explain the difference between the CDDO and CSP functions to families and consumers? If so, how?			X	I don't have contact with families but maybe the BASIS assessors do?
22) Do all CSPs in your area serve anyone requesting services, regardless of severity of disability? If not, please explain	X			
23) Does the CDDO QA process assure services are provided in a manner consistent with Article 64 including: Choice, Person-Centered, Rights & Responsibilities, Paid/Delivered, Third party payment responsibility, Report ANE? If so, how?	X			I believe they do? We do spot checks, have meetings, and meet with families.
24) Does the CDDO inform persons and providers of the dispute resolution process? If so, how?			X	I don't do that so I don't know?
25) What does your CDDO do in terms of best practices, or something that may set you apart from other CDDOs across the state? What are your organizations greatest strengths?			X	We use Sedgwick County to learn from because we have a CSP under them. Have a high level of satisfaction from other affiliates.
26) In your opinion, what are some areas your CDDO could make improvements.		X		We could improve soliciting from affiliates and learn when to separate CDDO functions from CSP functions
27) What CDDO function do you find to be the most challenging?			X	Keeping up with the State, it feels like chasing a running target.
28) What does your organization do in terms of strategic planning? Looking forward over the next five years, what sort of goals may your organization be working	X			We do plans – CSP. Funding would be a good goal for CDDO and we have separate goals for CSP and CDDO.

towards?				
29) How does your organization measure your success? Specifically, what sort of data does your CDDO capture? How do you analyze the data?			X	Look at waiting list and funding and try to get people into services out of hospitals.
BASIS ASSESSOR INTERVIEW				
ANDREA STEGMAN & GINGER CARLISLE, BASIS ASSESSORS				
			Y N N/A	COMMENTS
1) Please walk us through the assessment process for an initial assessment and a reassessment. What does the timeline look like from start to completion?			X	It can vary, after determining a schedule the initial assessment each year the lead person contacts and invites the individual, family, guardian and staff.
2) Is the consumer always present for their BASIS assessment? If not, please explain why.	X			Except when difficult and the consumer gets upset, for example during the behavior section.
3) Does the CDDO report BASIS information to KDADS in the agreed upon timeframe? If not, please explain.	X			Not an issue.
4) What do you find to be the most challenging aspect of your position?			X	Amount of area to travel distances and all the changes at the State level.
5) In your opinion, what improvements can be made to the assessor process?			X	A better certification process.
6) What sorts of education and training is offered to you by the CDDO or you participate on your own?			X	Other CDDO networks and Interhab training.