

## Community Developmental Disability Organization Peer Review Companion Document

	<b>Review of Policies and Procedures, Website and Newsletters</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
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.	Desk Review Activity	Refer to policies and procedures. Functions of the CSP should not be present in CDDO policies
2.	Does the CDDO have a newsletter? If yes, review one years' worth. Does the CDDO ensure written communication demonstrates impartiality of the CSPs?	Desk Review Activity	Newsletters show the CDDO does not endorse/prefer one CSP over another and remains neutral
3.	Does the CDDO have a company website? If so, does website ensure impartiality of CSPs?	Desk Review Activity	Company website shows CDDO does not endorse/prefer one CSP over another. Is the website distinct to CDDO operations? Is the information on the website current ?
	<b>OUTCOME #1 KAR 30-64-20</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
1.	CDDO submitted a performance improvement plan to KDADS as requested. There is documented plan available. Review team and KDADS approved plan?	<b>Article 64 page 3</b> (b) Any CDDO having entered into a contract with the secretary, but failing to maintain compliance with the provisions of this article or with the provisions of the contract, may be subject to one or more of the following enforcement actions: (1) The requirement of a corrective action plan, approved by the commission, with specific corrective or improvement activities identified and implemented, measurable outcomes, and implementation timelines;	Did the CDDO provide the previous years performance improvement plan as requested and onsite?

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1a.	CDDO maintains and monitors data for performance improvement plan. CDDO maintains data in a manner that allows evaluation. CDDO has revised the performance plan as needed.	<b>Article 64 page 3</b> (b) Any CDDO having entered into a contract with the secretary, but failing to maintain compliance with the provisions of this article or with the provisions of the contract, may be subject to one or more of the following enforcement actions: (1) The requirement of a corrective action plan, approved by the commission, with specific corrective or improvement activities identified and implemented, measurable outcomes, and implementation timelines;	Review CDDOs process after being issued a performance improvement plan. How does the CDDO track progress towards implementation of improvements? How did they determine timeframes?
1b.	Completion of improvement plan items occurred. Items completed within timeline and is verified by data and/or outcomes.	<b>Article 64 page 3</b> (b) Any CDDO having entered into a contract with the secretary, but failing to maintain compliance with the provisions of this article or with the provisions of the contract, may be subject to one or more of the following enforcement actions: (1) The requirement of a corrective action plan, approved by the commission, with specific corrective or improvement activities identified and implemented, measurable outcomes, and implementation timelines;	CDDO will provide previous Performance Improvement Plan(s). Review PIP and documentation to ensure completion of improvement plan items occurred within timelines. Outline improvements and documentation in notes.
	<b>OUTCOME #2 KAR 30-64-21</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
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:	<b>Article 64 page 4</b> (d) The governing board shall obtain approval of these procedures by the commissioner before the CDDO may be awarded a contract by the secretary. The CDDO shall not make any changes to these procedures after their approval except in compliance with the procedures set forth in subsections (b)	Any substantial adaptations/manipulations to policy should be sent directly to the CDDOs

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	COCM Input, Board Approval, KDADS approval?	and (c) above. The CDDO shall obtain approval of these changes by the commissioner, in writing, before those changes may become effective.	corresponding PIC staff after documentation showing when the COCM and Board approved of policies and evidence of when public comment occurred. PIC staff will review with the commissioner for final approval and issue the Commission approval letter. The CDDO should provide evidence of when KDADS last approved the CDDO policies. Policies should be accurate and current. Does the CDDO have a process/plan to review and update policies to ensure current and accurate.
	<b>OUTCOME #3 KAR 30-64-22</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
3.	CDDO maintains affiliate agreements with all affiliates. Does CDDO have	Up to date affiliate agreement for each affiliate	Compare master list of all CDDO affiliates versus

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	<p>current affiliate agreement for each affiliate?</p> <p>(Related to question 3g)</p>		<p>each corresponding agreement. Ensure each agreement is current. Agreements don't have to be renewed annually.</p>
3a.	<p>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.</p>	<p><b>Article 64 page 6</b> In meeting this requirement, the CDDO may establish a procedure that would allow the CDDO to refuse to enter into or continue an affiliation agreement with any community service provider under any of these circumstances: (1) If the provider refuses to accept a reimbursement rate for services to be provided that is at least equal to that established by the secretary to apply to the CDDO, or as agreed to in the affiliation agreement with the CDDO; (2) if the provider has established a pattern of failing or refusing to abide by the service area procedures established by the CDDO according to K.A.R. 30-64-21, or failing to comply with its affiliation agreement with the CDDO; or (3) if the CDDO demonstrates to the satisfaction of the secretary that being required to enter into the affiliating agreement would seriously jeopardize the CDDO's ability to fulfill its responsibilities either under these regulations or pursuant to its contract with the secretary.</p>	<p>Does CDDO have a list of suspended or cancelled affiliate agreements? If so, what is the reason? Compare to question #17 as part of CDDO staff interview.</p>
3b.	<p>Did CDDO report Functional Assessment 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). Is the</p>	<p><b>Article 64 page 5</b> (1) Information required by the basic assessment and services information system (BASIS)</p> <p><b>KDADS/CDDO Contract pages 9-11</b> Upon completion of IDD eligibility determination, the CDDO shall complete a functional assessment for individuals with a qualifying intellectual or developmental disability using the tools and processes of the functional assessment tool. This assessment shall be initiated within five (5) calendar days and completed within thirty (30) calendar days from the date of written notification following determination of eligibility for the HCBS-IDD Program services, pending CMS Approval. The CDDO shall complete</p>	<p><b>CONDUCT 10% SAMPLE up to 20 maximum</b></p> <p>CDDO is to complete Functional Assessments within 365 days. The CDDO must see the individual face to face to complete the</p>

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	<p>CDDO completing Functional Assessments within 365 days?</p>	<p>annual functional assessments within 365 calendar days for each individual. The CDDO has seven (7) calendar days from the date of completion to enter the data from the assessment into the KDADS' data management system.</p> <p><b>Refer to: Functional Eligibility Assessments and Waitlist Management Policy</b></p> <p>“6. The CDDO has seven (7) calendar days from the date of completing the assessment to enter the assessment into the KDADS’ system of record (currently KAMIS). Completion of assessment shall be defined as provision of all supporting documentation and provision of the in-person assessment.”</p>	<p>functional assessment.</p> <p>CDDO has seven calendar days from the date of the in-person assessment.</p> <p>Review KAMIS and CDDO Functional Assessment cover sheet or any other report the CDDO can produce to demonstrate the appropriate timeframes.</p>
<p>3c.</p>	<p>Following a sample of crisis &amp; exception requests, do CDDO processes/procedures meet state guidelines?</p>	<p><b>KDADS/CDDO Contract page 12 for crisis and page 13 for Exceptions</b></p> <p>Crisis and Imminent Risk of Crisis - Persons who are in crisis or at imminent risk of crisis and whose needs can only be met through services available through the HCBS-IDD Program are those persons who: Require protection from confirmed abuse, neglect, or exploitation or written documentation of pending action for same; or are at significant, imminent risk of serious harm to self or others. Procedures for Crisis: New Persons. When persons who are not receiving HCBS-IDD program services present themselves to the CDDO as being in crisis, the CDDO shall make appropriate referrals to other available community services. If the CDDO determines that it does not have the resources to support the person in crisis, it shall work with KDADS, other CDDOs, and the MCO, if applicable, to secure crisis services. If after all natural and community supports have been explored and exhausted the person is still determined to be in crisis, the CDDO shall provide a recommendation to KDADS for access to HCBS-IDD Program services. ii. Documentation of all attempts to find other resources shall be maintained by the entity making the request and provided to the CDDO prior to the person being approved for crisis funding. iii. If the CDDO determines that</p>	<p><b>CONDUCT 10% SAMPLE up to 20 maximum</b></p> <p>Monthly report to track crisis/exception requests, Review crisis request determination letters</p> <p>Does the sample verify CDDO followed their policies</p>

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	<p>an individual does not meet the crisis threshold, written notification, including appeal rights should be sent to the individual, guardian, and Targeted Case Manager "TCM". Notice to the MCO, if applicable, would be appropriate to help the MCO determine other supports. a. If the CDDO approves the crisis request, such documentation shall be provided to the KDADS. KDADS shall grant or deny such request for services. If the crisis request is denied, the KDADS shall prepare and submit to the individual allegedly in crisis a Notice of Action ("NOA") containing appropriate appeal rights.</p> <p>Priority Service Situations - Priority services may be provided, utilizing the procedure as set forth in Section VII, B.2, to individuals in the following situations: MCOs and CDDOs shall notify each other when they become aware of an individual fitting one or these situations: a) To persons in the custody of the Department of Children and Families may access new or additional HCBS-IDD Program services for the purpose of addressing support needs related specifically to the person's I/DD. However, to prevent duplication, access to the HCBS-IDD program shall not be granted if the child's only need for services is related to supervision or other supports provided by the foster parent. The CDDO shall collaboratively work with the responsible child placing agency and the MCO to assure that the health and welfare needs of the person are met. Persons who have been determined to be at i m m i n e n t risk of coming into the custody of the Department of Children and Families may access new HCBS-IDD Program services for the purpose of addressing support needs related specifically to the person's IDD to assure the person avoids custody. Persons under the age of 18 transitioning from custody, as well as persons transitioning out of custody at age 18 or thereafter, may access HCBS-IDD Program services in an amount sufficient to provide for disability-related support needs of the person. The CDDO and MCO shall review the situation and determine how the health and welfare needs of the person shall be met. The KDADS acknowledges that the transition to children or adult services may transcend fiscal years.</p> <p><b>Refer to “Crisis and Exception Policy” and the “Crisis Exception Policy Checklist” developed by Kim Reynolds 2017.</b></p>	
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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?	<p><b>KDADS/CDDO Contract page 10</b></p> <p>The CDDO shall, directly or by subcontract, serve as a single point of entry to IDD Services and provide information, referral and explanation of available services and service providers for individuals with intellectual and developmental disabilities (IDD), including non-Medicaid community based options. Upon an initial assessment and annually, the CDDO shall collect a signed statement providing evidence that the person has been provided comprehensive options counseling. The CDDO shall submit the executed statement electronically to KDADS within (7) calendar days of completion of the BASIS assessment. The CDDO shall make best efforts to assure the person understands that no guarantee of services or providers is being made. Clear language shall be included in the statement regarding this fact. The details of the electronic submission and contents of the counseling and statement shall be clarified in KDADS' policy. The CDDO shall include language in their Affiliate Agreements with their affiliated TCMs that the TCM shall coordinate with the MCOs to jointly develop and review the plan of care.</p>	<p><b>CONDUCT 10% SAMPLE up to 20 maximum</b></p> <p>Review all components of the files to determine if the process followed the CDDO policy as written. Timely processing of determination/notice of appeal process. Ensure comprehensive options counseling was completed initially and annually</p>
3e.	Following a sample of provider case transfers inside and outside the CDDO catchment area, does CDDO ensure processes/procedures meet state guidelines?	<p><b>Article 64 page 9-10</b></p> <p>(a) Each contracting CDDO shall ensure both of the following: (1) That each person who has applied for, accepted, and begun receiving community services continues to receive services consistent with the person’s person-centered support plan, as long as state or federal funding support for those services continues, or until the person or the person’s legal guardian, if one has been appointed, requests that services be discontinued; and (2) that if the person moves from one service area to another and wants to continue receiving community services, the level of state and federal financial support utilized to provide services and supports for that person is transferred to the person’s new service area.</p>	<p><b>CONDUCT 10% SAMPLE up to 20 maximum</b></p> <p>Review any information that has to do with transitions such as letters, checklists etc.</p>
3f.	Following a sample of affiliation agreements, does CDDO ensure agreements are uniform for like services? CDDO operated CSP must have an affiliation agreement with	<p><b>KDADS/CDDO Contract page 18</b></p> <p>If the KDADS grants a person/entity's application for licensure (new or renewal), the CDDO shall enter into an Affiliate Agreement unless one of the following exceptions apply: (I) If the provider refuses to accept a reimbursement rate for services to be provided that is at least equal to that</p>	<p><b>CONDUCT 10% SAMPLE up to 20 maximum</b></p>

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	<p>CDDO. Affiliation agreement cannot extend advantages not offered to other CSPs.</p>	<p>established by the Secretary to apply the CDDO, or as agreed to in the affiliation agreement with the CDDO, (2) if the provider has established a pattern of failing or refusing to abide by the services measures procedures established by the CDDO according to K.A.R. 30-64-21, or failing to comply with its affiliation agreement with the CDDO; (3) if the CDDO demonstrates to the satisfaction of the Secretary that being required to enter into an affiliating agreement would seriously jeopardize the CDDO's ability to fulfill its responsibilities either under these regulations or pursuant to its contract with the Secretary. (K.A.R. 30-64-22, as amended) Additionally, CDDOs should have an affiliate agreement for all service providers, including services provided by an entity associated with or connected to the CDDO. If however, an internal division, department, or section of the CDDO provides I/DD services, the CDDO shall comply with the terms of its standard "Affiliate Agreement" as if the same were set forth in full herein.</p>	
3g.	<p>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.</p>		<p>Review of KDADS CSP Survey Monkey results, Meeting minutes, any applicable satisfaction surveys or evidence the CDDO has solicited feedback regarding their operations.</p>
3h.	<p>Does CDDO have any individuals who work for both the CDDO and the CSP?</p>		<p>Review a sample of PD's. List out specifically which positions are shared. Review organizational charts for CSP and CDDO operations.</p>



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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.		Review of phone, fax, stationary, hard copy document storage, position descriptions, website, mail distribution, company signage, business cards, logos, newsletters, MOU's, subcontracts and anything else this may apply to ensure separation
	<b>OUTCOME #4 K.A.R. 30-64-22</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
4.	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.	<b>Article 64 page 5</b> Each contracting CDDO shall perform the following: (a) Implement the approved service area procedures specified in K.A.R. 30-64-21; (b) collect and report to the secretary, in a manner specified by the commission, all information requested by the commission, including the following: (1) Information required by the functional assessment system; (2) copies of the plans of care detailing home- and community-based services to be provided to persons served by that program; (3) copies of independent financial audits obtained by the CDDO, as well as any management letters generated as a result of the audits; and (4) any other information or records the CDDO has that the commission needs in order to monitor how services are provided in the CDDO's service area;	Review policies/procedure, review of affiliation information on website
4a.	CDDO must maintain documentation that identifies the current status of all individuals/entities/applicants requesting affiliation, including	<b>Article 64 page 6</b> (f) ensure that each community service provider entering into an affiliating agreement with the CDDO and operating within the CDDO's service area abides by the procedures applicable to that service area as established by the	Review evidence/list/documentation/status

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	notification of appeal/grievance rights. Evidence of a process for affiliation and its monitoring.	CDDO according to K.A.R. 30-64-21. In meeting this requirement, the CDDO may establish a procedure that would allow the CDDO to refuse to enter into or continue an affiliation agreement with any community service provider under any of these circumstances:	What is the CDDOs process for affiliation? Does CDDO have organized materials to present to those requesting affiliation. How does CDDO track those seeking affiliation?
	<b>OUTCOME #5 K.A.R. 30-64-22</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
5.	CDDO policies and procedures are implemented as written for sharing, with persons requesting/receiving services, impartial information regarding all service options. The policy and procedures ensure all CSP options are shared.	<b>Article 64 page 5</b> (2) provides that each person receiving or applying for community services, and that person’s guardian if one has been appointed, receives information at least annually, communicated in a format appropriate for the person to understand, regarding the following: (A) The types of community services available in the person’s service area and information concerning the providers of those services; and (B) the rights of persons served pursuant to the developmental disabilities reform act and implementing regulations, the content of which shall be approved by the commission;(3) enables a person or the person’s guardian, if one has been appointed, to choose the person’s community service provider; and (4) promotes the efficient delivery of services within the service area;	Review of policy/procedure, question #2 on “CDDO Peer Review Interview Component” document, Case management choice form, service provider choice form, affiliate list, Resource Guide to ensure all service options are presented. Does the service guide match the services that affiliates are approved to provide per their

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			affiliation agreement.
	<b>OUTCOME #6 K.A.R. 30-64-22</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
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.	<p><b>KDADS/CDDO Contract pages 7, 8 &amp; 20</b></p> <p>State Aid Priority Services: As defined in KDADS Taxonomy. a. Transportation b. Children’s Services c. Direct Service Provision d. Funding for non-Medicaid eligible case management e. Flex Funding: Costs for services provided to individuals with IDD that are not paid for by other sources. Examples include but are not limited to: dental procedures, home modifications, wheel chairs, assistive technology, etc. and f. Emergent Need: Unpredictable consumer-specified need.</p> <p>State Aid Reports - The CDDO shall submit quarterly and annual State Aid program reports per K.A.R. 30-22-32 (7)(g), using an electronic format developed by the KDADS. Reports are due to KDADS Fiscal and Information Services Commission the 20th of the month following the end of the quarter. Each State Aid program report shall incorporate the total expenditure, number of persons served, units provided, and number of providers for each defined priority service per the KDADS taxonomy.</p>	<p>Does the CDDO have a policy/procedure that pertains to state aid? Is the CDDO turning the necessary reports to central office per contract requirements? Following a review of the state aid report, does state aid funding appear to be impartial? Does it appear state aid dollars are being used appropriately (for the things spelled out in the contract)? Review funding committee minutes and quarterly reports regarding state aid distribution. Does the CDDO seek input into how funds are</p>

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	<b>OUTCOME #7 K.A.R. 30-64-23</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
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 the identified requirements.	<p><b>Article 64 page 7</b></p> <p>(b) Each contracting CDDO shall require any employees or agents of the CDDO who perform any of the functions specified in subsection (a) to maintain records that shall demonstrate compliance with these requirements. (c) Each contracting CDDO shall require any employees or agents of the CDDO who perform the functions of determining eligibility, processing applications for service or referral of persons for service, or assisting persons in accessing services, to complete a training program that is approved by the division and meets these criteria: (1) Is developed by the CDDO and approved by the CDDO council of community members required by K.A.R. 30-64-22(c); (2) includes topics regarding the following:</p> <p>(A) The types of community services available in the service area and information concerning the licensed providers and other agencies offering those services; and (B) potential referral contacts for persons who are determined not to be eligible for services; and (3) is offered in a manner and frequency that shall ensure that employees or agents of the CDDO who perform the duties required by subsection (a) are competent to do so.</p>	<p>expended? Review who sits on the funding committee and how decisions are made to expend funds.</p> <p>Review Policy for eligibility staff, training records, training certificates. Review when the COCM approved the training program. Does the CDDO clearly spell out their requirements for initial and ongoing training? Does the CDDO ensure all staff completing these tasks receive training as outlined in the policy.</p>
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	<p><b>Article 64 page 7</b></p> <p>(7) ensuring that when any person receiving any services expresses a desire to consider changing service providers, that person is referred directly and only to an individual who is not involved in the delivery of any service, has no involvement in</p>	Comparison of policy to the answers of consumer interview question

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	procedures are implemented as written.	any dispute about the person’s current services, and honors the confidentiality of the person considering a change in service providers. The individual shall supply to the person and the person’s guardian information about the types and availability of community services within the service area and assist the person in accessing alternative service providers.	#1 “Have you ever changed service providers? If so, how did you receive information about all your service options?” Is the CDDO following their policies as written. Does the CDDO maintain clear separation and impartiality when presenting options choices. Does the CDDO clearly document when options counseling is completed. If completed by phone, is this process identified within the CDDO policy.
	<b>OUTCOME #8 K.A.R. 30-64-23</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
8.	CDDO effectively maintains documentation of service provider change/transition requests/notifications. Notifications are maintained.	<b>Article 64 page 7</b> (7) ensuring that when any person receiving any services expresses a desire to consider changing service providers, that person is referred directly and only to an individual who is not involved in the delivery of any service, has no involvement in any dispute about the person’s current services, and honors the confidentiality of the person considering a change in service providers. The individual shall supply to the person and the	<b>CONDUCT 10% SAMPLE up to 20 maximum Can review same sample set as 3e</b>  Review notifications

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		person’s guardian information about the types and availability of community services within the service area and assist the person in accessing alternative service providers.	(Status Action From), Transition Checklist documentation. Review if process follows policy. Review how process is documented.
	<b>OUTCOME #9 K.A.R. 30-64-25</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
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.	<b>Article 64 page 8</b> (a) Each contracting CDDO shall implement a plan, developed in coordination with the CDDO’s affiliates that results in services being offered and provided in a way that does not discriminate against any person because of the severity of each person’s disability. (1) The plan may require all community service providers to serve all persons regardless of the severity of each person’s disability. (2) The plan may allow individual community service providers to specialize in services, if all persons are offered appropriate services without regard to the severity of each person’s disability. (b) The plan shall not require any community service provider to accept more persons than the community service provider can effectively serve. If all community service providers are at their maximum capacity, the CDDO shall, pursuant to K.S.A. 39-1805(b), assist in establishing new community service providers. (c) Notwithstanding these provisions, any CDDO that contracts with its affiliates and by mutual agreement provides its affiliates with financial consideration in excess of that required to be provided by the commission may require its affiliates to develop and make available appropriate services for any eligible person.	Funding committee minutes Provider specialization and capped capacity agreements, Uniform Access to Services Policy, Review Affiliate agreement for any Discrimination of Services language
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 or community.	<b>Article 64 page 8</b> (d) Notwithstanding these provisions, a CDDO may refuse to serve a person who is determined by the secretary to be inappropriate for community services because the person presents a clear and present danger to self or to the community.	

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	<b>OUTCOME #10 K.A.R. 30-64-26 &amp; 30-64-27</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
10.	QA process addresses the required regulatory requirements including: Choice, Person-Centered, Rights & Responsibilities, Paid/Delivered, Third Party payment responsibility and ANE reporting information?	<p><b>Article 64 page 9</b></p> <p>(a) Each contracting CDDO shall ensure the quality of the services being provided to persons being served by the CDDO or by an affiliate. Ensuring quality shall include providing for on-site monitoring by a local committee made up of persons served, their families, guardians, interested citizens, and providers. The type and intensity of on-site review shall be determined by the local committee and shall include at least a determination of all of the following: (1) Services that are paid for are delivered. (2) Services that are delivered are paid for in accordance with the terms of any agreement or contract in force, including any payment requirement that the person being served or a third party acting on behalf of the person being served has the responsibility to meet. (3) Services are being provided in a manner meeting applicable requirements provided for in article 63. (4) The CDDO or affiliate is affording the person being served all of the person’s legally protected rights. (5) The CDDO or affiliate meets both of these requirements: (A) Is reporting any suspicions of abuse, neglect, or exploitation to the appropriate state agency; and (B) has corrected or is actively in the process of correcting the cause of any confirmed violation.</p>	<p>Review of QA Policy. Does it appear the CDDO is following what they have outlined in their policy? Does the policy incorporate a variety of QA monitoring and does it include an on-sight monitoring component? Does the QA committee composition align with Article 64 requirements? Is QA information being reported and reviewed by the QA committee? Which affiliates do they visit for QA? Is there evidence the CDDO followed through with these visits? Is CDDO staff providing a component of monitoring? Review any tool used for QA</p>

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			<p>monitoring. Were there any identified issues with affiliates? If so, what was the follow up documented by the CDDO? Review a year's worth of QA meeting minutes. Review of local system for critical incident reporting. How does that tie in to AIR? Does the CDDO have a written process for Critical Incident reporting. Does the CDDO provide evidence of follow up and monitoring of any serious critical incident reports. Determine how many affiliates are reporting in AIR and how CDDO is monitoring this. Review the CDDO system for monitoring of ANE reports and follow up on</p>
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			<p>reports. Review the system for follow up on any substantiated ANE reports. Review any information the CDDO tracks/trends for QA purposes and any feedback given to affiliates as a result of the monitoring process. Review how the CDDO ensures its' affiliates are providing quality services. Review processes of how the CDDO works with the local QMS licensing staff to monitor the affiliate network.</p>
10a.	<p>CDDO maintains evidence that the same remediation/follow up process is utilized for all CSPs for same services.</p>		<p><b>CONDUCT 100% SAMPLE</b></p> <p>Review of corrective action plans. Did the CDDO issue corrective action plans for serious issues. Did they</p>

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			document follow up and successful closure of plans. Did they provide increased monitoring of affiliates when affiliates did not meet full licensure.
	<b>OUTCOME #11 K.A.R. 30-64-29</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
11.	Is CDDO informing person/family/guardian of available community services choices and types in or near the person’s home annually?	<b>Article 64 page 10 - 11</b> (b) As described in this subsection, the CDDO shall implement a procedure to, at least annually, review the persons living in ICFs/MR and state institutions. The procedure shall result in all of the following: (2) The CDDO whose service area includes the person’s home county informs the person, the person’s family, and the person’s guardian, if one has been appointed, of all services or supports that are available or could be made available in or near the person’s home county, and of the person’s rights pursuant to the developmental disabilities reform act and implementing regulations, the content of which shall be approved by the commission.	<b>CONDUCT 10% SAMPLE up to 20 persons maximum</b>  Review of files for signed document to indicate information was shared and received annually and that process for sending this information out is completed within 365 days. Also, ensure DDRA rights are being distributed and not something else.
11a.	Does CDDO have documentation of ICF/IID requests? Following a sample of ICF/IID request for admissions, did the CDDO follow	<b>Article 64 page 10</b> (a) Each request for admission to an ICF/MR or state institution shall be submitted to the CDDO responsible for the county in which the person is currently residing. The CDDO shall implement a procedure to review each	<b>CONDUCT 10% SAMPLE up to 20 maximum</b>

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	appropriate “gatekeeping” policies and procedures to ensure appropriate processes were followed?	request for admission to an ICF/MR or state institution. The procedure shall result in the following: (1) Determining whether or not the person requesting admission has a developmental disability and is eligible for ICF/MR services using procedures and standards specified by the commission; (2) determining if ICF/MR placement is consistent with the person’s preferred lifestyle as determined consistent with K.A.R. 30-63-21; (3) informing the person, the person’s family, and the person’s guardian if one has been appointed, of all services or supports that are available or could be made available within 90 days in or near the person’s home county, and of the person’s rights pursuant to the developmental disabilities reform act and implementing regulations, the content of which shall be approved by the commission; (4) offering to provide or arranging to provide these services or supports; and (5) providing the commission with the results of items stipulated in (a)(1) through (a)(4) of this subsection for each person who requests admission to an ICF/MR or state institution, using forms specified by the commission, within 15 days of receiving information necessary to determine eligibility and preferred lifestyle.  <b>Refer to “Standardized ICF-IID Gatekeeping Policy”</b>	Review of Referral and Pre-Screen documentation for all individuals w/in the last year who this applies to. Compare this to process/policy in place.
	<b>OUTCOME #12 K.A.R. 30-64-31</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
12.	Did CDDO provide a list of the council of community members?		Indicate this was received Y/N
12a.	Does the council membership meet the regulatory requirements?	<b>Article 64 page 12</b> (a) A council of community members organized according to K.A.R. 30-64-22 (c) shall meet these criteria: (1) Consist of a selected number of individuals, a majority of whom shall be made up of representatives from each of the following two categories: (A) Persons with a developmental disability; and (B) family members or guardians of a person with a developmental disability; (2) include representatives from the following: (A) The CDDO; and (B) affiliates of the CDDO; (3) not have served more than two consecutive three-year terms as members of the council;	Review council composition and length of terms, including term start and end dates. Review Community Council bylaws. Does council composition match policy/bylaws?

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			Does the council meet as outlined in policy/by-laws?
	<b>OUTCOME #13 K.A.R. 30-64-32</b>	<b>SOURCE</b>	<b>REFER TO/NOTES</b>
13.	CDDO has policies and procedures implemented as written and approved in accordance with Article 64 requirements, and clearly addresses how persons requesting/receiving services and family members receive information regarding how the CDDO complaint/grievance process is accessed.	<b>Article 64 page 13</b> (a) Each contracting CDDO, in conjunction with the council of community members as specified in K.A.R. 30-64-31, shall develop and implement a dispute resolution procedure that shall provide persons being served by the CDDO, or by any community service provider affiliated with that CDDO, with a means for resolving disputes that may arise between the following: (1)(A) The person; (B) the person’s legal guardian, if one has been appointed; or (C) other individuals from the person’s support network; and (2)(A) The CDDO; (B) an affiliated community service provider; or (C) any other component of the community services system. (b) These procedures shall provide a means for resolving disputes that may arise between any of the following: (1) The CDDO and any affiliated community service provider; (2) the CDDO and any entity that wishes to become an affiliated provider; (3) the CDDO and any other component of the community services system; (4) any affiliated community service providers; or (5) any affiliated provider and any other component of the community service system.	#1 - Does the CDDO have a policy? #2 - Does it appear they follow what they state in the policy? #3 - How do they inform people about the process of dispute resolution? Could they show us literature they provide, do they have the person sign off to indicate the information has been shared? Do they provide annual notification (Y/N)? Is information available on their website?
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. CDDO will	<b>Article 64 page 13</b> (a) Each contracting CDDO, in conjunction with the council of community members as specified in K.A.R. 30-64-31, shall develop and implement a dispute resolution procedure that shall provide persons being served by the CDDO, or by any community service provider affiliated with	<b>CONDUCT 10% SAMPLE up to 20 maximum</b>

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	<p>track complaints and their resolution to KDADS per KDADS contract expectations.</p>	<p>that CDDO, with a means for resolving disputes that may arise between the following: (1)(A) The person; (B) the person’s legal guardian, if one has been appointed; or (C) other individuals from the person’s support network; and (2)(A) The CDDO; (B) an affiliated community service provider; or (C) any other component of the community services system.</p> <p><b>KDADS/CDDO Contract page 15</b> Dispute Resolution process is listed as one of the categories for complaint tracking</p>	<p>Refer to list/record of people who have requested info about dispute resolution. Pull a sampling of letters or notices the CDDO sends out where a determination has been made. This may include crisis, ICF, eligibility, tier zero, etc. to ensure appeal rights are present in each letter (specifically if someone has been denied/declined for something). Review complaint tracking form and any other records to indicate the dispute resolution process was utilized. Review any other records to indicate the dispute resolution process was accessed.</p>
13b.	<p>CDDO must maintain evidence of all incidence in which the dispute</p>	<p><b>Article 64 page 14</b> (1) A local dispute- resolution process providing the opportunity for resolution between the disputing parties, to be</p>	<p>Review complaint tracking form and any other records</p>

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	resolution process was initiated by any party. expectations.	completed no later than 20 calendar days following receipt of written notice to the CDDO of a dispute;  <b>KDADS/CDDO Contract page 15</b> Dispute Resolution process is listed as one of the categories for complaint tracking	to indicate the dispute resolution process was utilized. Review any other records to indicate the dispute resolution process was accessed.
13c.	CDDO must evaluate the collected data in effort to utilize trends to improve the CDDO system.		Review any evidence of data evaluation