



**Office for People With  
Developmental Disabilities**

# **Survey Redesign and Provider Performance**

Presentation by the Division of Quality Improvement at the  
Cerebral Palsy Association of NYS and NYSARC  
Quality and Compliance Conference  
May 2, 2017

# Survey Redesign Goals and Benefits

- Enhance efficiency and consistency of review activities
- Improve collection of findings and identification of trends
- Make the survey process clear and transparent for providers and individuals/families
- Build from AQP to provide mechanism for transparency of findings and agency performance
- Facilitate provider quality improvement activities
- Develop sustainable processes as OPWDD transitions to new service delivery models



# 3 Review Types and Protocols

Protocol	Start Date	Purpose of Activity	Scope of Activity
Site Review	October 2016	Health, safety, well-being and HCBS compliance	≈ 7,300 non-ICF sites:
Person-Centered Review	Summer 2017	Individual's needs, goals and outcomes are met through comprehensive service planning and delivery	<p><b><u>2016-17</u></b></p> <ul style="list-style-type: none"> <li>• 400 DOH ISP</li> <li>• + ≈2000 WB Individuals (<b>Partial PCR</b>)</li> </ul> <p><b><u>2017-18</u></b></p> <ul style="list-style-type: none"> <li>▪ 400 DOH ISP</li> <li>▪ <u>1100 Statewide</u> <b>1500 Individuals - Full PCR</b></li> </ul> <p>+ ≈ 250 Individuals in HS Sites (<b>Partial PCR</b>) + ≈1500 WB Individuals in IRAs (<b>Partial PCR</b>)</p>
Agency Review	Fall 2018	Verify effective systems and quality oversight	<b>700+ agencies</b>



# Site Review Protocol Sections

- Heightened Scrutiny Triggers
- Health Support and Medication
- Personal Funds
- General Operations for: Individualized Choice, Autonomy and Satisfaction
- Delivery of Safeguards, Services and Supports
- Rights and Protections
- Site and Safety
- Fire Safety
- Site Specific Requirements
- Special Risk Factors



# Person Centered Review

- Designed to enable review of any and all services a person receives from all provider agencies providing their services
- Review applicable no matter how or where individual receives services/supports
- Implemented for a provided sample
- Includes service and site specific requirements related to:
  - ❑ Person Centered service planning
  - ❑ Person Centered service delivery (service/care coordination, waiver service, service specific plans/interventions\_
  - ❑ Safeguards to minimize risks
    - Rights, health care, safeguards, behavioral supports, protections
  - ❑ HCBS requirements if person supported in certified site
  - ❑ Quality of life



# Agency Review

Centralized typically annual review of:

- Regulatory and quality expectations designed, implemented and managed at the agency level
- Sample verification of compliance for selected regulatory requirements:
  - Hiring
  - Training
  - Personal Allowance
  - Incident Management
- Agency practices and strategies that influence quality outcomes:
  - Workforce
  - Quality Improvement Planning and Strategies
  - Community Connections
  - Agency Management

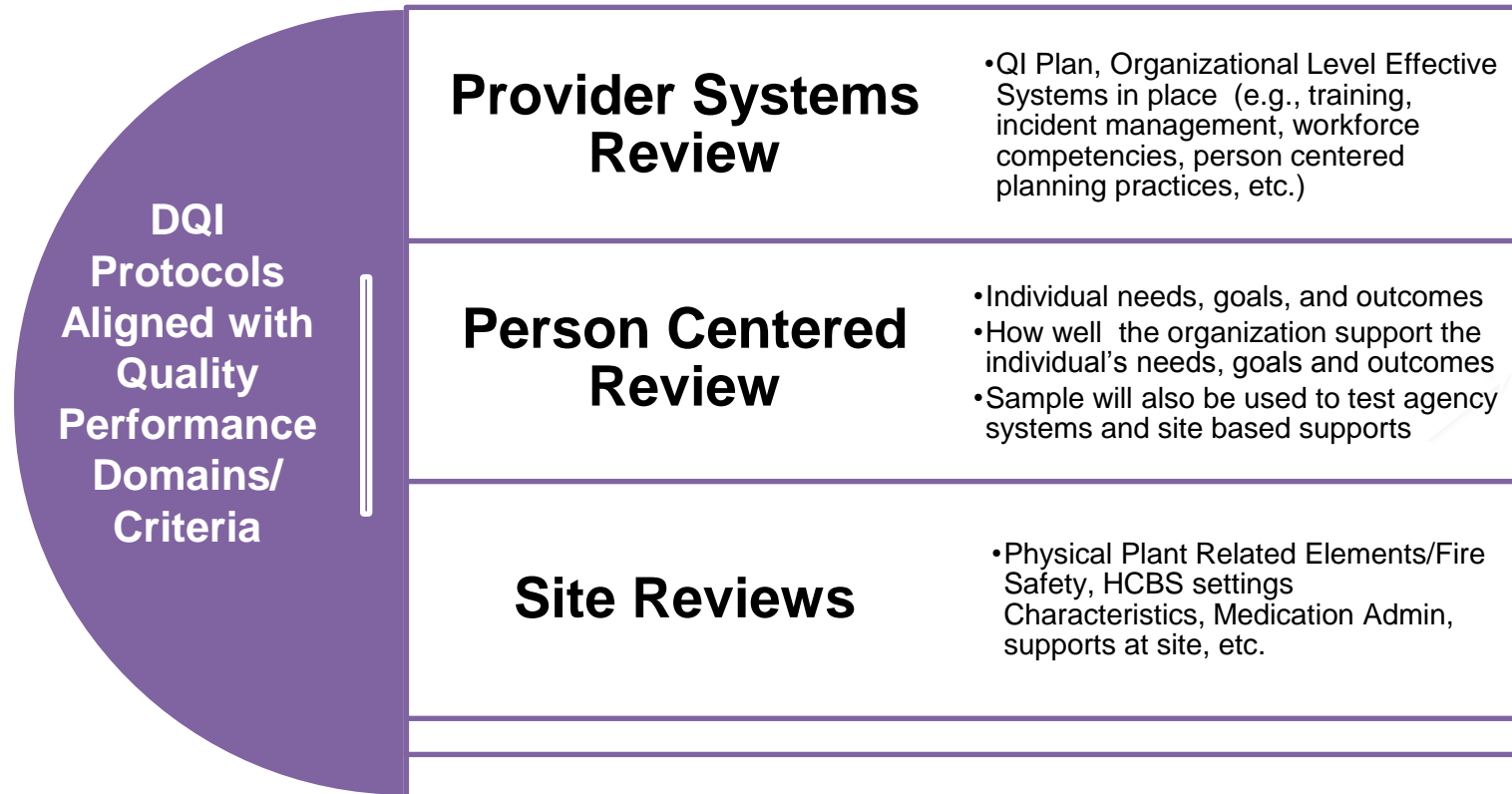


# Agency Quality Performance

Quality Domains and the standards that represent quality in six (6) domains. The complete matrix is available on OPWDD's website.



# DQI: Develop Survey Protocols Based on Quality Standards





# Agency Quality Performance – Additional Activities

- Incorporate domains into all the DQI survey protocols
- Finalize protocol sampling strategy
- Operationalize DD Care Coordination for managed care
- Finalize quality rating levels
- Research national and state-specific approaches to provider performance
  - ❑ This includes CMS 5-star ratings for NHs and Hospitals
  - ❑ Aim is to apply a tested and accepted approach and adapt to OPWDD system of providers
- Develop rating mechanism based on data collected through survey protocols
- Develop IT solution to aggregate data
- Develop provider performance reports and dashboards



# Agency Quality Performance – Feedback Loop

- Allows development of clear, transparent and easy to understand rating/scoring system
- Sets clear statewide benchmarks for performance
- Obtains provider feedback early in development process
- Allows sufficient time for IT or Protocol changes
- Allows opportunity to identify implementation milestones



# Agency Quality Performance – Implementation Timeframe

Activity	Timeframe
Protocol Implementation and Dashboard Design	<b>October 2016 to March 2018</b>
Provider Performance Methodology and Ratings <ul style="list-style-type: none"><li><input type="checkbox"/> Refinement of Methodology</li><li><input type="checkbox"/> Data Collection</li></ul>	<b>March to September 2018</b>
Data Validation and Website Design	<b>October to November 2018</b>
Publication Ratings on OPWDD Website	<b>December 2018</b>



# Agency Quality Performance – Proposed Framework

- There are anticipated to be two components of a provider rating:
  - ❑ **Quality Standards** (Agency Quality Performance Domains) – Standards relating to the quality domains factor into the performance rating but not into enforcement actions (i.e., citation of deficiencies and issuance of ECFs, SODs, etc.)
  - ❑ **Regulatory Standards** (Survey Inspections) – There are based on Mental Hygiene Law and other federal/state regulatory requirements and determine whether minimum compliance is met



# Agency Quality Performance – Scoring and Weighting (Example)

- **The rating considers the number and the scope and severity of deficiencies**
  - ❑ By agency capacity and number of programs
  - ❑ By number and severity of deficiencies/enforcement action
  - ❑ More serious, wide spread deficiencies will have a greater impact on rating/scoring
  - ❑ Less serious, isolated deficiencies have less of an impact rating/scoring



# Agency Quality Performance – Weighting of Deficiencies

- Rating system will utilize weighting of deficiencies on the basis of scope and severity
- Effective rating system requires standardized approach to issuing enforcement actions
- Similar to current ratings, providers will be deemed to:
  - Exceed standards (4-5 stars) = Above Average Quality
  - Meet standards (3 stars) = Average Quality
  - Below Standards (1-2 stars) = Below Average Quality



# Agency Quality Performance – Other Considerations

- What scoring information will be publically available?
- What is the survey period for which scores will be based?
  - ❑ Likely prior survey cycle to current cycle
- How will scoring be used to provide resources to stakeholders?
- How will low-performing agencies be addressed?
  - ❑ Approaches to incentivize performance
  - ❑ Technical Assistance
  - ❑ Early Alert/Enhanced Monitoring
- How will staffing and complaints be factored?



# Agency Quality Performance – Next Steps

- Standardize enforcement actions and surveyor training
- Weighting system to be developed
- Rating methodology to be developed
- Testing of Approach





**Questions?**  
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