

CDDO Review Instrument

**30-64-20
Outcome 1**

CDDO maintains data regarding CDDO Review Improvement Plans (if any) requested during past review period including rebuttal and date.

| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
|------------------------------|--|------------|-----------|-----------|--|-----------------|
| 1 | CDDO submitted a performance improvement plan to SRS as requested. | | | | There is a documented plan available. Review team and SRS approved plan? | |
| 1a | CDDO maintains and monitors data for performance improvement plan. | | | | CDDO maintains data in a manner that allows evaluation. | |
| 1b | CDDO is responsive to data results. | | | | CDDO has revised the performance plan as needed. | |
| 1c | Completion of improvement plan items occurred. | | | | Items completed within timeline/s and is verified by data and/or outcomes. | |

**30-63-21
Outcome 2**

CDDO maintains policies and policy changes that are approved as required.

| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
|------------------------------|--|------------|-----------|-----------|--|-----------------|
| 2 | CDDO will, initially and on an on-going basis, follow the regulatory process when developing policy. | | | | * Public Hearing *COCM Input *Board approval *SRS Approval *Submitted/have available | |

**30-64-22
Outcome 3**

CDDO completes all management responsibilities as required.

| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
|------------------------------|--|------------|-----------|-----------|---|-----------------|
| 3 | CDDO maintains affiliate agreements with all affiliates. | | | | Up-to-date affiliate agreement for each affiliate | |
| 3a | If the CDDO has cancelled or suspended an affiliation agreement, the action was 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 | |
| 3b | CDDO has effective management processes for BASIS data and POC | | | | No indication of unresolved systemic problems related to BASIS or POC entry - verified by error reports. | |
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| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
|---|--|-----|----|----|--|----------|
| 3d | CDDO operated CSP must have an affiliation agreement with CDDO. Affiliation agreement cannot extend advantages not offered to other CSPs | | | | Agreements are uniform for like services. | |
| 3e | Evidence and documentation will demonstrate that affiliated service providers have opportunity for input on CDDO area system management. | | | | Correspondence and interviews verify the CDDO makes input opportunities avail. for all affiliates | |
| 3f | CDDO ensures that its policies are distinct to the CDDO, and CDDO operated CSP policies are distinct to the CSP | | | | CDDO and CSP functions are governed by two distinct sets of policies. | |
| 3g | 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 reflects such. | |
| 30-64-22 Outcome 4 | | | | | | |
| Unbiased affiliation process | | | | | | |
| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
| 4 | CDDO must have written policies/procedures that are approved in accordance with Article 64 requirements that clearly addresses the CSP affiliation process, and states the affiliation requirements. | | | | Evidence of a policy/procedure and it is followed. | |
| 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. | |
| 30-64-22 Outcome 5 | | | | | | |
| Unbiased service option information | | | | | | |
| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
| 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. | |
| 30-64-22 Outcome 6 | | | | | | |
| Access to HCBS & Day/Res SGF funding is not dependent on the person's chosen service provider. | | | | | | |
| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |

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|---|--|------------|-----------|-----------|--|-----------------|
| 6 | CDDOs policies and procedures for accessing SGF & HCBS funding are made available on request. | | | | An impartial process for determining funding decisions is in place. Review waiting list and crisis determination processes. | |
| 30-64-22 | | | | | | |
| Outcome 7 | | | | | | |
| CDDO demonstrates impartiality | | | | | | |
| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
| 7 | No CDDO written communication will demonstrate preference of one CSP over another | | | | A CSP that is also a CDDO does not use the CDDO mail list for marketing itself. Newsletters do not serve both entities. | |
| 30-64-23 | | | | | | |
| Outcome 8 | | | | | | |
| CDDO will serve as single point of entry and maintain an effective application, eligibility determination & service referral process | | | | | | |
| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
| 8 | Eligibility staff have been trained per regulation | | | | CDDO has developed training requirements and such have been approved by COCM. Evidence the eligibility staff have completed identified requirements. | |
| 8a | CDDO policies and procedures are impartially implemented as written for informing potential persons eligible for and requesting initial services of a CSP in that CDDO area. | | | | Policies and procedures are implemented as written. | |
| 8b | 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. | |
| 8c | Effective application / service referral / eligibility process/es | | | | 1. After receipt of completed packet the CDDO makes determinations within an avg. of 45 days. 2. Timely notification of determinations including appeal rights 3. Application packet and process are impartial | |
| 30-64-23 | | | | | | |
| Outcome 9 | | | | | | |
| Informed choice of community service providers | | | | | | |
| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
| 9 | CDDO effectively maintains documentation of service provider change/transition requests/notifications | | | | Notifications are maintained | |
| 30-64-24 | | | | | | |

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Outcome 10

CDDO will ensure that a case management system is in place in compliance with regulations

| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
|-----------------------|---|-----|----|----|--|----------|
| 10 | Affiliate agreements address Targeted Case Management Services | | | | TCM provisions in agreement | |
| 10a | TCM only providers are included in the choice of providers | | | | TCM only providers are listed within list | |
| 10b | CDDO maintains adequate TCM capacity | | | | TCM providers do not exceed an avg. of 30 persons on caseload. No wait list for TCM. | |
| 10c | CDDO ensures that all TCM staff are registered and have met State training requirements | | | | Evidence of process for monitoring | |

30-64-25

Outcome 11

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 persons's disability.

| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
|-----------------------|---|-----|----|----|---|----------|
| 11 | 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 | |
| 11a | CDDO identifies number of persons the Secretary of SRS has determined inappropriate for community services because the person presents a clear and present danger to self or community. | | | | | |

30-64-26 & 27

Outcome 12

CDDO will maintain a locally developed impartial QA process that reasonably addresses regulatory requirements

| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
|-----------------------|---|-----|----|----|--|----------|
| 12 | CDDO maintains evidence that the random samples (if less than 100%) are consistent across the CDDO area. | | | | Any deviation from random sampling should have documented cause. | |
| 12a | QA process address the required regulatory items. | | | | Services monitored for: *Choice *Person-Centered *Rights and Responsibilities *Paid/Delivered *Third party payment responsibility * Report ANE | |
| 12b | CDDO maintains evidence that the same tool is utilized with all CSPs | | | | | |
| 12c | CDDO maintains evidence that the same remediation and follow-up process is utilized for all CSPs for same services. | | | | | |

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| 12d | CDDO has developed/implemented/ maintained a process that addresses quality related Performance Outcome Measures in SRS/CDDO Contract. | | | | | |
| 30-64-29 | | | | | | |
| Outcome 13 | | | | | | |
| CDDO will develop, implement and maintain a gatekeeping system for public and private ICFs/MR that is in compliance with regulations | | | | | | |
| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
| 13 | Inform person/family/guardian of community services choices and types in or near the persons home annually | | | | | |
| 13a | CDDO will meet community services requests if funding is available | | | | | |
| 30-64-30 | | | | | | |
| Outcome 14 | | | | | | |
| Statewide Service Access List | | | | | | |
| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
| 14 | CDDO has locally developed policies / processes in place | | | | | |
| 30-64-31 | | | | | | |
| Outcome 15 | | | | | | |
| CDDO maintains a council of community members that meets the regulatory requirements | | | | | | |
| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
| 15 | Does the council membership meet the regulatory requirements | | | | Comprised of a majority of persons served and/or guardians and includes affiliate and CDDO representation. No more than 2 consecutive 3 year terms. | |
| 30-64-32 | | | | | | |
| Outcome 16 | | | | | | |
| CDDO maintains and effective dispute resolution system that meets regulatory requirements | | | | | | |
| Monitoring Activities | | Yes | No | NA | Interpretive Guidelines | Comments |
| 16 | CDDO has policies/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 the CDDO complaint/grievance process is assessed in a manner that fosters informed knowledge. | | | | | |
| 16a | CDDO will maintain evidence that the dispute resolution process is made available to all persons requesting it and to any persons to whom a negative action has been initiated | | | | | |

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|-----|--|--|--|--|-----------------------------|
| 16b | CDDO must maintain evidence of all incidence in which the dispute resolution process was initiated by any party. | | | | |
| 16c | CDDO must evaluate the collected data in an effort to utilize trends to improve the CDDO system. | | | | Evidence of data evaluation |

30-64-28

Outcome 17

CDDO will ensure that the financial support afforded to an individual is transferred to the person's new service area.

| | Monitoring Activities | Yes | No | NA | Interpretive Guidelines | Comments |
|----|---|------------|-----------|-----------|--|-----------------|
| 17 | Portability agreements reflect the individuals transfer date, amount of funds transferred, and the BASIS deletion date. | | | | Portability agreement reflects closed POC and signed agreements are sent to HCP/CSS. | |

Additional Comments:

CDDO Review Instrument

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