

OFFICE OF DEVELOPMENTAL PROGRAMS
SUPPORTS COORDINATION ORGANIZATION
MONITORING TOOL
(FY 2011-12)

SCO Monitoring Tool Instructions

I. Overview of SCO Monitoring Tool

This SCO Monitoring Tool is designed to assess an SCO's structure and practices across a number of measures to ensure compliance with regulations, waiver requirements, Provider Agreement terms, and policies and procedures.

This tool consists of 63 questions (including comment boxes) addressing compliance standards divided broadly into 21 Oversight Areas. The "compliance standards" are policy statements taken from the waivers, regulations, Provider Agreement and bulletins that will be measured or recorded with this tool.

II. Tool Users

The tool is intended for use by the following users:

- A. **SCOs:** SCOs need to complete and submit this tool once annually. Newly qualified SCOs (within the current fiscal year) will complete the tool in the fiscal year following their first ODP monitoring.
- B. **ODP Reviewers:** ODP Reviewers will validate SCO responses during the on-site audit phase.

III. Tool Completion Instructions

The following guidelines are intended to help a user successfully complete and submit this tool.

- A. **Using the Sample for Record Review:** During the SCO reporting phase, each SCO shall conduct required monitoring activities by completing this standardized SCO monitoring tool, based on the sample distribution of records provided to the SCO by ODP.
 - 1. ODP shall identify 10 individuals out of the total population of individuals served by each SCO. The individuals chosen in the ODP distribution are identified only by the individuals' MCI numbers.
 - 2. For each SCO's distribution of records, ODP shall identify 10 individuals whose records shall be reviewed as part of the SCO's on-site review. In addition to the initial 10 individuals provided in the distribution, ODP also provides an additional alternative 5 individuals to be used, for example, in cases when an individual chosen in the sample is no longer served by the SCO. The SCO must use the initial 10 individuals as identified by ODP, unless there are extenuating circumstances. The circumstances when the use of the alternative 5 individuals is acceptable will be defined with the distribution, and the use of an alternative individual is validated by ODP during the scheduled ODP on-site review of ODP audit phase.
 - 3. If ODP determines the need to review additional records during the ODP on-site review, it may automatically include these additional alternative 5 individuals' records in the on-site review.

- B. **Completing the Tool:**

1. All questions must be answered before the tool can be submitted.
2. There are two question formats in this tool:
 - a. Yes/No: Answer these questions by selecting 'yes' or 'no' based on the guidelines provided. 'N/A' can only be chosen where indicated. If there is a circumstance where N/A applies but is not an option, choose 'Yes' and explain the reason in the Section Comments box at the end of the section.
 - b. Data entry questions: These questions require text or integer (number) information. Please be sure to enter integer information as numbers (i.e. 10 instead of ten).
3. Instructions for SCOs: When responding to questions in this tool, SCOs must retain all related documentation for the sample group, including policy & procedure documentation, training curricula, training records, etc. This file with supportive or documentary evidence (referred to as "relevant documentation" throughout this tool) must be retained and made available to the ODP reviewers either prior to or during the on-site audit.
 - a. Questions, to which the SCO responds 'No', along with the information in the Section Comments box, will assist in the development of a CAP, if needed.
 - b. ODP suggests each SCO print the PDF version of the tool, or download the Word version of the tool and mark answers on one of those documents before transferring final answers to the Zoomerang tool. Zoomerang does not allow a user to print a submission once complete, so the modified PDF or Word document would serve as the SCO's submission record.

IV. Tool Sections

There are 5 question sections in this tool:

1. Policy/Procedure: These questions relate to written policies, procedures, and other documentation that ODP expects the Supports Coordination Organization to maintain.
2. On-site: The questions in this section relate to information and documents that ODP will request and validate during the on-site visit to the SCO location.
3. Desk Review: The questions in this section relate to information that ODP will seek from sources other than the SCO itself, such as information systems like HCSIS and other organizations like the Administrative Entities in which the SCO serves.
4. Training: Training questions relate to questions around the SCO's compliance with required SCO training requirements.
5. Record Review: Record Review questions should be answered using the sample of waiver participants provided to the SCO organization by ODP.

V. General instructions

1. If you have questions, issues or concerns about the tool questions, please contact ra-odpSCOMonitoring@state.pa.us.
2. In case of technical difficulties, please contact the Zoomerang helpline at 800.787.8755
3. For SCO data or access issues with the system, please contact your Regional ODP Lead.

Introductory Questions

Question 1: What is the legal IRS name of the SCO Organization?

SCO Name:

Question 2: What is the MPI# of the SCO Organization?

MPI #:

Question 3: In which region is the SCO located? If the SCO serves waiver participants in multiple regions please designate the region in which the SCO serves the most waiver participants.

- Central
- Northeast
- Southeast
- West

Question 4: What is the SCO's primary Administrative Entity (county) of operations? This is the AE in which the SCO serves the most number of waiver participants.

AE Name:

Question 5: Reviewer contact information (for the person entering this report)

- Contact Name (first and last name):
- Contact Phone Number (no space or dash):
- Contact E-mail Address:

Section I: Policy/Procedure Questions

Overview: Prior to the on-site monitoring of the SCO, ODP will request the SCO to submit all the documents referenced in this section. See “SCO Monitoring Submissions Checklist” for SCOs. It is recommended that the SCO identify and retain these documents as a separate package while conducting their self-reporting. Please answer the following Policy/Procedure questions. The questions in this section relate to written policies, procedures, and other documentation that ODP expects the Supports Coordination Organization to maintain.

Question 6

Oversight Area: Quality Management Strategy

Compliance Standard: The SCO has a written quality management strategy which is consistent with the approved waivers

Source Document: Consolidated and P/FDS Waivers - Qualifications for Supports Coordination Organization.

The reviewer will determine that the SCO's quality management strategy is consistent with the approved waivers. Using the current approved waiver, determine whether the SCO quality management documents support ODP's QM strategy.

- If it is, mark Yes
- If it does not include practices consistent with the approved waivers, mark No

- Yes
- No

Question 7

Oversight Area: Quality Management Strategy

Compliance Standard: The SCO's written Quality Management Strategy includes processes to continually evaluate its structure and effectiveness.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 5.

The reviewer will determine whether the quality management strategy includes processes that are intended to continually evaluate its structure and effectiveness, and review evidence of such continual evaluation.

- If this information or evidence is found, mark Yes
- If there is no information, mark No

- Yes
- No

Question 8

Oversight Area: HIPAA Procedure

Compliance Standard: The SCO has a written procedure for following HIPAA requirements.

Source Document: 45 CFR, Parts 160 and 164; SCO Qualification Application

The reviewer will determine whether there is a written procedure for following HIPAA requirements.

- If the SCO has a written procedure for HIPAA compliance, mark Yes
 - If there is no written procedure, mark No
-
- Yes
 - No

Question 9

Oversight Area: Access to SC for Individuals/Families

Compliance Standard: The SCO has a system to assure timely access to SCs and assures coverage in the absence of the SC

Source Document: ODP Bulletin, # 00-10-06, Supports Coordination Services, page 5 (D).

The reviewer will validate that the SCO has a system, process or procedure to ensure the individual and/or family access to SCs in a timely manner--including coverage in the absence of the assigned SC. The system, process or procedure may be written or informal. If the process is not written, the reviewer will interview the SCO director or designee to determine how this requirement is met.

- If the SCO has a written process, or can describe its informal process, mark Yes
 - If no written procedure exists, and the SCO cannot describe its process, mark No
-
- Yes
 - No

Question 10

Oversight Area: External Monitorings

Compliance Standard: The SCO has a written procedure that directs its participation with Health Care Quality Units, Independent Monitoring for Quality teams and with other external monitoring conducted by ODP business agents, or entities conducting monitoring visits associated with legal settlement agreements.

Source Document: Consolidated and P/FDS Waivers - Qualifications for Supports Coordination Organization.

The reviewer will verify whether or not the SCO has a written procedure (either one procedure that covers all elements or a separate procedure for each) that directs its participation in HCQU activities, IM4Q and other external monitoring activities conducted by ODP business agents, or entities conducting monitoring associated with legal settlement agreements.

- If the SCO has a written procedure (or procedures), mark Yes.
- If there is no written procedure (or procedures), mark No

- Yes
- No

Question 11

Oversight Area: External Monitorings

Compliance Standard: The SCO tracks that IM4Q considerations related to individuals receiving services through the SCO are addressed.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (P).

The reviewer will confirm that the SCO has a process to track the IM4Q considerations requiring a response directly related to the SC/SCO functions/SC services being addressed. The process may be written or informal.

- If a process exists, mark Yes
- If a process does not exist, mark No

- Yes
- No

Question 12

Oversight Area: The SCO has an agreement with a local intake entity, or performs intake functions, that ensure choice of SCO.

Compliance Standard: The SCO has an agreement with the local intake entity.

Source Document: Consolidated and P/FDS Waivers - Qualifications for Supports Coordination Organization.

The reviewer will verify the SCO has a written agreement with the local intake entity to ensure consistent referrals of eligible individuals.

- If a written agreement exists, mark Yes
- If a written agreement does not exist, mark No
- If the SCO performs intake functions, mark N/A

- Yes
- No
- N/A

Question 13

Oversight Area: The SCO has an agreement with a local intake entity, or performs intake functions, that ensure choice of SCO.

Compliance Standard: The SCO has a unit which performs intake functions.

Source Document: Consolidated and P/FDS Waivers - Qualifications for Supports Coordination Organization.

The reviewer will verify the SCO performs intake functions and has a written procedure to offer choice of SCO.

- If the SCO performs intake functions and has a written procedure to offer choice of SCO, mark Yes
- If they perform intake and a written procedure regarding choice does not exist, mark No
- If the SCO does not perform intake functions, mark N/A.

- Yes
- No
- N/A

Question 14

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey

Compliance Standard: The SCO has a written protocol that describes their process for conducting the ODP Customer Satisfaction Survey.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (Q-1).

The reviewer will evaluate the written protocol for conducting the ODP Customer Satisfaction Survey to determine whether it includes the following required elements: survey process, timeline for completion of all specified activities, and distribution of ODP survey at least once every two years.

- If all elements are included in the protocol, mark Yes
- If there is no protocol for conducting the survey, or all required elements are not included, mark No

- Yes
- No

Question 15

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey.

Compliance Standard: The SCO provides its written survey protocol documents to the AE and Regional ODP upon request when verifying qualification or when being monitored by the AE or ODP.

Source Document: ODP Bulletin 00-10-06, page 6 (Q-1.B).

The reviewer will request a copy of the written ODP Customer Satisfaction Survey protocol documents from the SCO at the start of the SCO monitoring and verify that they were submitted to AE and ODP.

- If the SCO submitted the required documents to the AE and ODP as requested, mark Yes
- If the SCO did not submit the required documents, mark No

- Yes
- No

Question 16

Oversight Area: Standardized Needs Assessment

Compliance Standard: The SCO shall submit its written protocol to the AE, ODP or one of its designees upon request or in concert with verification of qualification or monitoring

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 7 (Q - 4, b).

The reviewer will request a copy of the written protocol related to the statewide standardized needs assessment at the start of the SCO monitoring.

- If the SCO submitted the required documents to ODP as requested, mark Yes.
- If the SCO did not submit the requested documents, mark No

- Yes
- No

Question 17

Oversight Area: Standardized Needs Assessment

Compliance Standard: The SCO maintains a written protocol regarding standardized needs assessment.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 7 (Q - 4, a).

The reviewer will review the SCO written statewide standardized needs assessment protocol for the following elements: 1) collaboration with the AE and the SNA contractor regarding the identification of respondents for the SNA; and 2) informing individuals and families about the SNA process upon admission into the waiver, when they are selected to participate in the SNA process, and upon request.

- If the process contains these two elements, mark Yes
- If one or both elements are missing, mark No

- Yes
- No

Question 18

Oversight Area: The SCO will ensure that SCs perform required monitoring of participant services

Compliance Standard: The SCO maintains a written protocol regarding the monitoring of services in the ISP.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 7 (Q - 5).

The reviewer will review the written protocol for monitoring of services in the participant's ISP. The written protocol must include the following elements:

1. Identification by job title of the personnel responsible for completion of SC monitoring activities;
2. Identification by job title of the personnel responsible for addressing unresolved issues identified during SC monitoring;
3. Notification of the AE regarding identified issues that remain unresolved beyond the time period specified in previous monitoring, or when issues remain unresolved by the provider.
4. Notification of AE, Regional Program Manager and provider if the monitoring identified imminent risk to the health and welfare of the waiver participant. This would include notification within the SCO and the timeframes for the notification.

- If the process contains all of these elements, mark Yes
- If any required elements are not included, mark No

- Yes
- No

Question 19

Oversight Area: Delivery of Supports Coordination

Compliance Standard: The SCO has a written procedure for the effective delivery of supports coordination services.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 5 (D).

The reviewer will request a copy of the written procedure for delivery of supports coordination services. The procedure must at a minimum address: activities related to locating, coordinating and monitoring of services; offering choice; incident management; use of HCSIS; all activities related to the development and completion of an ISP.

- If all these elements are present, mark Yes
Note: an SCO may have separate written procedures that address these critical areas. If these separate procedures contain all required elements, mark Yes
- If the identified elements are not included in the procedure, mark No

- Yes
- No

Question 20

Oversight Area: Utilization Process

Compliance Standard: The SCO has a utilization process for reconciliation of HCSIS/PROMISE claims and rebilling.

Source Document: Consolidated and P/FDS Waivers - Qualifications for Supports Coordination Organization.

The reviewer will validate that the SCO has a procedure to review their SC utilization and reconciliation of claims and rebilling using HCSIS/PROMISE claims information.

- If the SCO has either a written procedure or can describe their review process to the reviewer, mark Yes
- If a written procedure or verbal description of the process cannot be provided or described, mark No

- Yes
- No

Question 21

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey.

Compliance Standard: The SCO provides notification to the AE and ODP of the date it will initiate the distribution of the ODP Customer Satisfaction Survey.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (Q-1).

The reviewer will request to review documentation that the SCO notified the AE and ODP of the ODP Customer Satisfaction Survey initiation date.

- If documentation exists for notification to both the AE and ODP, mark Yes
- If documentation does not exist for either the AE or ODP, or if documentation exists for only one (AE or ODP), mark No
- If the SCO has been qualified for less than two years, mark N/A

- Yes
- No
- N/A

Question 22 - Comments Box

Please enter any comments related to policy questions, including explanations where you responded “N/A”. Include the question #s in your response. If you did not respond, “N/A” to a question in this section, please type N/A in the comments box.

Section II: On-site Questions

Overview: Please answer the following On-site questions. The questions in this section relate to information and documents that ODP will review and validate during the on-site visit to the SCO location.

Note: The policies and procedures referenced in this section are not required to be in a written format. If, however, the SCO retains them in a written format, the SCO should submit them to ODP prior to the on-site visit as a separate package.

Question 23

Oversight Area: The SCO ensures that all SCs complete SC training requirements established by ODP and hiring practices are consistent with ODP requirements.

Compliance Standard: The SCO has a process to verify upon hiring a new SC, and annually thereafter, that the individual has the licenses, certifications, and qualifications required of a waiver supports coordinator.

Source Document: Consolidated and P/FDS Waivers - Qualifications for Supports Coordination Organization.

The reviewer (using the listing of all current SCs and SC Supervisors) will validate that the SCO maintains an updated listing of drivers' licenses, certifications, and qualifications. The reviewer should cross-check this against the list of SCs and SC Supervisors currently employed.

- If all information is maintained (kept current), mark Yes
 - If the information is not maintained, mark No
- Yes
- No

Question 24

Oversight Area: Addressing Non-Compliance

Compliance Standard: The SCO develops a corrective action plan, as requested by the AE, to address findings resulting from other monitoring processes.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 7 (Q-3).

The reviewer will determine whether the SCO was required to develop a corrective action plan in response to issues identified through AE Oversight Monitoring, the AE's annual administrative review or provider monitoring. (See information attached to AE ODP SCO Monitoring Submission Checklist)

- If the SCO was required to submit or cooperate in the implementation of a corrective action plan for one or all of the identified monitoring reviews and complied with the requirement, mark Yes
- If the SCO was required but failed to submit or cooperate in the implementation of a corrective action plan, mark No
- If no participation in a corrective action plan was required, mark N/A

- Yes
- No
- N/A

Question 25

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey.

Compliance Standard: The SCO conducted the Satisfaction Survey according to ODP guidelines.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (Q-1).

The reviewer will seek documentation/evidence from the SCO that the survey was conducted once every two years, beginning July, 2008.

- If the SCO conducted the survey every two years (beginning July, 2008), mark Yes
- If the survey was not conducted every two years, mark No

- Yes
- No

Question 26

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey.

Compliance Standard: The SCO conducted the Satisfaction Survey according to ODP guidelines.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (Q-1).

The reviewer will seek documentation/evidence from the SCO that the survey mailed to individuals/families was the ODP ‘Supports Coordination Satisfaction’ Survey by a review of the survey materials (survey link/email/letter) sent to individuals and families.

- If the ODP survey tool was sent, mark Yes
- If the ODP survey tool was not sent, mark No
- If the SCO has been qualified for less than two years, mark N/A

- Yes
- No
- N/A

Question 27

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey.

Compliance Standard: The SCO distributes the ODP Customer Satisfaction Survey according to the sample instructions.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (Q-1.A & D).

The reviewer will determine if the ODP Customer Satisfaction Survey was distributed according to the sample instructions. The reviewer will verify that the SCO sent the survey to 30% of the waiver participants (at least 50 participants) or all waiver participants if the SCO serves less than 50 waiver participants.

- If the survey was distributed per the requirements, mark Yes
- If the survey was not distributed per the requirements, mark No
- If the SCO has been qualified for less than two years, mark N/A

- Yes
- No
- N/A

Question 28

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey.

Compliance Standard: The SCO develops a report based on results of the ODP Customer Satisfaction Survey.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (Q-1.E & F).

The reviewer will determine if the SCO completed a report based on the results of the ODP Customer Satisfaction Survey.

- If the SCO developed a report, mark Yes
- If the SCO did not develop a report, mark No
- If the SCO has been qualified for less than two years at the time of the review, mark N/A

- Yes
- No
- N/A

Question 29

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey.

Compliance Standard: The SCO develops a report based on results of the ODP Customer Satisfaction Survey.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (Q-1.E & F).

The reviewer will evaluate the SCO's report and determine if it contains the required elements: the number of surveys mailed, the response rate, summary of trends, patterns and issues identified. The SCO developed a report which contained all required elements.

- If the required elements were included in the report, mark Yes
 - If the required elements were not included in the report, mark No
 - If the SCO has been qualified for less than two years at the time of the review, mark N/A
- Yes
 No
 N/A

Question 30

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey.

Compliance Standard: The SCO implements a corrective action plan based on their findings and analysis related to the ODP Customer Satisfaction Survey.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (Q-1.G).

The reviewer will determine whether the SCO is implementing their corrective action plan related to the customer satisfaction survey results (see Q. 42) which revealed non-compliance with waiver requirements. Evidence of implementation would be supporting documents related to the identified corrective action, including activity completion dates and corrective action validation methods.

- If the SCO maintains evidence to support their implementation of the corrective action plan, mark Yes
 - If no evidence exists, mark No
 - If a plan of correction was not needed/ required or if the SCO has been qualified for less than two years at the time of the review, mark N/A.
- Yes
 No
 N/A

Question 31

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey.

Compliance Standard: The SCO identified a document submission date and submitted the survey report and corrective action plan to the appropriate AE and ODP regional program office.

Source Document: ODP Bulletin 00-10-06, page 7 (Q-1.H).

The reviewer will determine if the SCO identified a document submission date (documents to be submitted are: survey report and corrective action plan (if applicable) completed within six (6) months of the survey distribution date.

- If a submission date was identified by the SCO, mark Yes
- If a submission date was not identified by the SCO, mark No
- If the SCO has been qualified for less than two years at the time of the review, mark N/A

- Yes
- No
- N/A

Question 32

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey.

Compliance Standard: The SCO Quality Improvement Strategy includes issues identified from their Customer Satisfaction Survey report.

Source Document: ODP Bulletin # 00-10-06, page 7 (Q-1.I).

The reviewer will identify issues within the survey report that are not related to waiver compliance and determine whether these issues were either related to customer satisfaction or to systemic SCO issues. If customer satisfaction or systemic issues are indicated, the reviewer will determine whether they are identified in the SCO's Quality Improvement Strategy.

- If included, mark Yes
- If issues were identified but not included, mark No
- If no systemic issues, or issues not related to waiver compliance, were identified, or if the SCO has not been qualified for two years, mark N/A

- Yes
- No
- N/A

Question 33

Oversight Area: The SCO complies with the requirements of the ODP Incident Management Bulletin.

Compliance Standard: The SCO maintains the ability to investigate incidents, or have incidents investigated, when the reported incident is related to the delivery of supports coordination services.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 8 (Q-7).
ODP Bulletin # 6000-04-01, Incident Management

The reviewer will request documentation that the SCO maintains a certified investigator on the staff of their agency, or has an agreement with another entity to obtain the services of a certified investigator.

- If the SCO has a certified investigation available to investigate reported incidents related to SC services, mark Yes

- If there is no ability to investigate reported incidents related to SC services, mark No
- Yes
 No

Question 34

Oversight Area: The SCO participates in the waiver service provider claims resolution process.
Compliance Standard: The SCO has a designated employee as point of contact for claims issues.
Source Document: ODP Bulletin #00-10-06, Supports Coordination Services, page 8 (Q 8 & 8a).

The reviewer will confirm there is a designated SCO employee who serves as the point of contact for waiver provider claims issues.

- If there is a designated point person, mark Yes
 - If there is no designated point person, mark No
- Yes
 No

Question 35

Oversight Area: The SCO participates in the waiver service provider claims resolution process.
Compliance Area: The SCO provided written notification of point person for claims issues to the AE and providers.
Source Document: ODP Bulletin #00-10-06, Supports Coordination Services, page 8 (Q 8 & 8a).

The reviewer will review documentation that the SCO provided written notification to the AE and the providers regarding their designated claims point person. The reviewer will verify that this person is currently employed with the SCO by looking at list of current staff.

- If the documentation is present, mark Yes
 - If the documentation is not present, or if either the AE or providers were not notified, or if designated staff is no longer employed at SCO, mark No
- Yes
 No

Question 36

Oversight Area: Delivery of Supports Coordination
Compliance Standard: The SCO has a process to share with SCs Provider Licensing Summary information.
Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 5 (G).

The reviewer will determine whether the SCO can describe, and show evidence of, their process for sharing provider licensing summary information with SCs.

- If a process is described and there is evidence of the process being followed, mark Yes
- If the SCO cannot describe or show evidence of a process for sharing that information, mark No

- Yes
- No

Question 37 - Comments Box

Please enter any comments related to on-site questions, including explanations where you responded “N/A”. Include the question #s in your response. If you did not respond, “N/A” to a question in this section, please type N/A in the comments box.

Section III: Desk Review Questions

Overview: Please answer the following desk review questions. The questions in this section relate to information that ODP will seek from sources other than the SCO itself, such as information systems stored in HCSIS and available from other organizations such as the Administrative Entities. In the event that the required information is not available at these other sources, ODP will either request the information from the SCO directly or arrange to validate the information during the on-site visit.

Question 38

Oversight Area: The SCO meets the conflict-free requirement in the approved waivers

Compliance Standard: The SCO maintains its conflict-free status.

Source Document: ODP Bulletin, #00-10-06, Supports Coordination Services, page 5 (J).

The reviewer will confirm that the SCO continues to meet the conflict-free requirement by determining whether the SCO provides any direct mental retardation services by a review of the Supports and Services Directory (SSD), PROMISE and other HCSIS information.

- If the SCO is conflict-free, mark Yes
 - If a conflict exists, mark No
-
- Yes
 - No

Question 39

Oversight Area: The SCO has a policy or procedure that details their 24 hour response system.

Compliance Standard: The SCO 24 hour response system functions according to the SCO's policy or procedure, or its written agreement with a partnering agency.

Source Document: Consolidated and P/FDS Waivers - Qualifications for Supports Coordination Organization.

The reviewer will test the SCO's 24 hour response system by placing at least one call during an evening, and one during a weekend. The SCO should start the test by making a direct phone call to two Supports Coordinators. Note: Use the SCO listing for current staff for information needed (i.e. phone numbers) to verify this.

- If the process works as described, mark Yes
 - If the process does not work as described, mark No
-
- Yes
 - No

Question 40

Oversight Area: The SCO complies with the requirements of the ODP Incident Management Bulletin.

Compliance Standard: The SCO complies with the requirements of the Incident Management Bulletin.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 8 (Q-7).
ODP Bulletin # 6000-04-01, Incident Management

The reviewer will determine whether the SCO has submitted the semi-annual IM report to all required AEs within the past 12 months as required.

- If the report was submitted, mark Yes
- If it was not submitted, mark No

- Yes
- No

Question 41

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey.

Compliance Standard: The SCO identified a document submission date and submitted the survey report and corrective action plan to the appropriate AE and regional ODP.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 7 (Q-1.H).

The reviewer will determine if the SCO submitted the survey report and corrective action plan by the document submission date to the AE, by requesting confirmation of receipt of the *report from the AE*. The reviewer will use the most recent two-year survey cycle to determine compliance. The SCO submitted the survey report and corrective action plan to AE.

- If the survey report was submitted as required, mark Yes
- If the survey report was not submitted as required, mark, No
- If the SCO has been qualified for less than two years at the time of the review, mark N/A

- Yes
- No
- N/A

Question 42

Oversight Area: The SCO implements the requirements for the ODP Customer Satisfaction Survey.

Compliance Standard: The SCO identified a document submission date and submitted the survey report and corrective action plan to the appropriate AE and regional ODP.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 7 (Q-1.H).

The reviewer will determine if the SCO submitted the survey report and corrective action plan by the document submission date (indicated in the above question) to the ODP regional office, by requesting confirmation of receipt of the *report from ODP*. The reviewer will Use the most recent two-year survey cycle to determine compliance. The SCO submitted the survey report and corrective action plan to ODP.

- If the corrective action plan was submitted as required, mark Yes
- If the corrective action plan was not submitted as required, mark, No
- If the SCO has been qualified for less than two years at the time of the review, mark N/A

- Yes
- No
- N/A

Question 43 - Open Ended - Comments Box

Please enter any comments related to desk review questions, including explanations where you responded “N/A”. Include the question #s in your response. If you did not respond, “N/A” to a question in this section, please type N/A in the comments box.

Section IV: Training & Hiring Questions

Overview: Please answer the following Training questions. Training questions relate to questions around the SCO's compliance with required SCO training requirements. All questions in this section apply to current employees only.

Question 44

Oversight Area: The SCO ensures that all SCs complete SC training requirements established by ODP.

Compliance Standard: The SCO ensures that all SCs meet ODP's SC Training requirements.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (N)

The reviewer will review documentation that SCs completed the required number of training hours for the prior calendar year (January - December), and have attended/taken all **ODP-sponsored** training offered in the current calendar year. The reviewer will review the training records for all SCs and any SC Supervisors with a caseload to determine that they attended and completed all required training. If SC or SC Supervisors were hired mid-year, the reviewer will verify that they attended all required trainings as of their date of hire. Note: exclude any SC with a discrete base caseload. The reviewer should cross-check this against the list of SCs and SC Supervisors currently employed.

Please enter the number of SCO staff reviewed in the first text box and the number of staff trained as required in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten).

- # of staff reviewed: _____
- # of staff where all training requirements can be verified: _____

Question 45

Oversight Area: The SCO ensures that all SCs complete SC training requirements established by ODP.

Compliance Standard: The SCO ensures that all SCs meet ODP's SC Training requirements.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (N),

Qualifications for Supports Coordination Organization (Question 29)

The reviewer will review documentation that SCs completed the required number of training hours for the prior calendar year (January - December), and have attended/taken **all non ODP-sponsored training** in the current calendar year. The reviewer will review the training records for all SCs and any SC Supervisors with a caseload to determine that they attended and completed all required training and that these training hours plus the ODP-sponsored trainings total 40 hours of training per year. Note: exclude any SC with a discrete base caseload.

Please enter the number of SCO staff reviewed in the first text box and the number of staff trained as required in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten).

- # of staff reviewed: _____
- # of staff where all training requirements can be verified: _____

Question 46

Oversight Area: The SCO ensures that all SCs complete SC training requirements established by ODP.

Compliance Standard: The SCO ensures that all SCs meet ODP's SC training requirements.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (N), Qualifications for Supports Coordination Organization (Question 29)

The reviewer will examine all training records associated with non-ODP-sponsored training and determine whether they include the training curricula (agenda, handouts, etc). Compliance is determined if the SCO maintains the training curricula for each non-ODP sponsored training provided to the SC/SC supervisor for which training hour credit was given.

- If the training curricula is maintained for each training where SC/SC Supervisors received training hour credit, mark Yes
 - If the training curricula was not maintained, mark No
-
- Yes
 - No

Question 47

Oversight Area: The SCO ensures that all SCs complete SC training requirements established by ODP and hiring practices are consistent with ODP requirements.

Compliance Standard: The SCO ensures that all SCs meet ODP's SC Training requirements.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (N)

The reviewer will examine all training records associated with non-ODP-sponsored training and determine whether they include attendance records. Records which indicate the attendance of SC/SC supervisor can be a sign-in sheet or a prepared attendance record that is initialed by SC/SC supervisor. Note: Compliance is determined if the SCO maintains the attendance records for each non-ODP training provided to SC/SC Supervisors.

- If the training attendance record was maintained for each training where SC/SC Supervisors received training hours, mark Yes
 - If the training attendance record was not maintained, mark No
-
- Yes
 - No

Question 48

Oversight Area: The SCO ensures that hiring practices are consistent with ODP requirements.

Compliance Standard: The SCO has a process to validate that new SCOs meet the minimum education and experience requirements.

Source Document: Consolidated and P/FDS Waivers - Qualifications for Supports Coordination Organization.

The reviewer will determine whether the SCO's hiring process includes verification that newly hired SCs meet minimum education and experience requirements. Note: if the SCO does not have written procedures, the reviewer will interview the individual within the SCO with responsibility for hiring to determine how this requirement is met.

- If the SCO can produce evidence or a description of its review of education and experience as part of the hiring process, mark Yes
 - If the SCO cannot produce the evidence or a description of the process, mark No
- Yes
- No

Question 49

Oversight Area: The SCO ensures that all SCs complete SC training requirements established by ODP.

Compliance Standard: The SCO has a process to validate that new SCs meet the minimum education and experience requirements.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 8 (Q - 6).

The reviewer will identify the new SCs hired within the past year (in the previous 12 months from the date of the review) and verify that they completed the required orientation prior to working independently with wavier participants.

Please enter the number of SCO staff reviewed in the first text box and the number of staff trained as required in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten). If there were no new hires within the specified timeframe, type N/A in both text boxes.

- # of staff reviewed: _____
- # of staff where orientation can be verified: _____

Question 50

Oversight Area: The SCO ensures that all SCs complete SC training requirements established by ODP.

Compliance Standard: The SCO develops and provides training to appropriate SCO personnel related to the implementation of the current ODP incident management bulletin.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 8 (Q-7).
ODP Bulletin # 6000-04-01, Incident Management

The reviewer will verify all new hires in the last calendar year were trained on ODP’s Incident Management Bulletin by a review of either training attendance sheets or via a review of individual training records. Training must only occur once.

Please enter the number of SCO staff reviewed in the first text box and the number of staff trained as required in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten). If the SCO has not hired any new staff in the prior calendar year, please type N/A in both text boxes.

- # of staff reviewed: _____
- # of staff where training can be verified: _____

Question 51

Oversight Area: The SCO ensures that all SCs complete SC training requirements established by ODP.

Compliance Standard: The SCO develops and provides training to appropriate SCO personnel related to the implementation of the current ODP incident management bulletin.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 8 (Q-7).
ODP Bulletin # 6000-04-01, Incident Management

The reviewer will determine whether the SCO training curriculum and training records related to incident management was provided to the appropriate personnel, and whether the training includes the following elements: identifying contact personnel, procedural activities and responsible personnel, timely incident reporting and appropriate responses, reviewing incident reports, identification of incidents which place individuals at risk, risk prevention activities and reporting processes, follow-up on incidents to ensure the health and welfare of waiver participants, monitoring of corrective action plans, conducting and/or participating in certified investigations and completion of annual reports.

- If all required elements were included in the training, mark Yes
- If any required element was missing from the training, mark No

- Yes
- No

Question 52 - Comments Box

Please enter any comments related to Training questions, including explanations where you responded “N/A”. Include the question #s in your response. If you did not respond, “N/A” to a question in this section, please type N/A in the comments box.

Section V: Record Review Questions

Overview: Please answer the following Record Review questions. The reviewer will use 6-months of service notes, monitoring, ISP and waiver file during this section of the monitoring. Record Review questions should be answered using the sample of waiver individuals provided to the SCO by ODP.

Question 53

Oversight Area: Waiver Eligibility Information

Compliance Standard: The SCO maintains waiver eligibility information for each waiver participant.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 7 (Q-2).

The reviewer will examine the sample of 10 waiver records and validate that the records contain information related to waiver eligibility. This information should include: correspondence to/with waiver participant related to either waiver eligibility or recertification of waiver eligibility; MR 250, current annual MR 251, current annual medical (physical), psychological and adaptive assessments.

Please enter the number of individuals in the sample in the first text box and the number of individual records that contain all required eligibility information in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten). Note: This is not an eligibility review.

- # of individuals in the sample: _____
- # of individual records with all required information: _____

Question 54

Oversight Area: The SCO will ensure that SCs perform required monitoring of participant services.

Compliance Standard: The SCO ensures that monitoring information is maintained in HCSIS.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 8 (Q -5, a, b, c).

The reviewer will examine the sample of 10 waiver records and determine whether the SCO/SC maintains documentation related to monitoring in HCSIS, including all activities related to monitoring of services, provider's corrective action plan and remediation efforts. The reviewer will Use both the SC monitoring records and service notes to obtain this information. Note: This question does not evaluate whether the appropriate number of monitoring visits occur.

Please enter the number of individuals in the sample in the first text box and the number of individual records where HCSIS was used to record activities in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten).

- # of individuals in the sample: _____

- # of individual records where HCSIS was used to record monitoring activities: _____

Question 55

Oversight Area: External Monitorings

Compliance Standard: The SCO tracks IM4Q considerations related to individuals receiving services through the SCO to ensure that they are addressed.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 6 (P).

The reviewer will examine the sample of 10 waiver records and determine whether the SCO had any IM4Q considerations requiring responses. The reviewer will use the last completed annual IM4Q survey information (see information attached to AE ODP SCO Monitoring Submission Checklist).

Please enter the number of individuals in the sample in the first text box and the number of individuals where the SCO responded to the consideration per the AE protocol in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten). If the waiver participant does not have a consideration, please type N/A in both text boxes.

- # of individuals in the sample: _____
 # of individuals where the SCO responded to the consideration per the AE protocol: _____

Question 56

Oversight Area: Offering Provider Choice

Compliance Standard: The SC informs individuals at the initial ISP meeting, and at least annually thereafter, of the right to choose a willing and qualified waiver provider, including choice of SCO.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 4.

The reviewer will examine the sample of 10 waiver records and validate that the records contain information related to offering provider choice. This information must be documented in HCSIS service notes, on the ISP and on the ISP signature page.

Please enter the number of individuals in the sample in the first text box and the number of individual records with documented Provider choice in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten).

- # of individuals in the sample: _____
 # of individual records with documented Provider choice: _____

Question 57

Oversight Area: Offering Provider Choice

Compliance Standard: The SC documents in service notes the individual's request for a new/different SC and records the outcome of that request.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 4.

The reviewer will examine the sample of 10 waiver records and note whether any record indicates a request for a new/different SC and record the outcome of that request.

Please enter the number of individuals in the sample with a documented request for a change in SC and the number of individual records with a change in SC received in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten).

- # of individuals with SC change request documented: _____
- # of individuals who received a change in SC: _____

Question 58

Oversight Area: Delivery of Supports Coordination

Compliance Standard: The SCO uses HCSIS to document compliance with all requirements of supports coordination services.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 5 (H).

The reviewer will examine the sample of 10 waiver records and determine whether SC notes are recorded in HCSIS.

Please enter the number of individuals in the sample in the first text box and the number of individual records where HCSIS was used to record service notes in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten).

- # of individuals in the sample: _____
- # of individual records with documented service notes: _____

Question 59

Oversight Area: Delivery of Supports Coordination

Compliance Standard: The SCO uses HCSIS to document compliance with all requirements of supports coordination services.

Source Document: ODP Bulletin #00-07-01, Provider Billing Documentation Requirements for Waiver Services.

The reviewer will review the SC notes for the sample of 10 waiver records and determine that all notes marked as billable represent a billable SC activity.

Please enter the number of individuals in the sample in the first text box and the number of individual records found to be fully billable in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten). Note: The reviewer must make a comment indicating the date of the non-allowable SC note in the comments section below.

- # of individuals in the sample: _____
- # of individual records found to be fully billable: _____

Question 60

Oversight Area: Delivery of Supports Coordination

Compliance Standard: SCO uses HCSIS to document compliance with all requirements of supports coordination services.

Source Document: ODP Bulletin #00-10-06, Supports Coordination Services, page 5 (I)

The reviewer will examine the sample of 10 waiver records and determine whether HCSIS is used to record monitoring visits.

Please enter the number of individuals in the sample in the first text box and the number of individual records where HCSIS was used to record monitoring visits in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten). Note: The reviewer is not evaluating the frequency of monitorings, but whether the monitorings are entered in HCSIS.

- # of individuals in the sample: _____
- # of individual records with documented monitoring visits: _____

Question 61

Oversight Area: Delivery of Supports Coordination

Compliance Standard: The SC uses HCSIS to document compliance with all requirements of supports coordination services.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 5 (I).

The reviewer will examine the sample of 10 waiver records and determine whether findings and concerns and their resolutions are recorded in the HCSIS monitoring comments/issues sections.

Please enter the number of individuals in the sample in the first text box and the number of individual records with monitorings that appropriately document information comments/issues sections in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten). If there have been no issues or concerns, please type N/A in both text boxes.

- # of individuals in the sample: _____
- # of individual records with monitorings that appropriately document information comments/issues sections: _____

Question 62

Oversight Area: Delivery of Supports Coordination

Compliance Standard: The SC uses HCSIS to document compliance with all requirements of supports coordination services.

Source Document: ODP Bulletin # 00-10-06, Supports Coordination Services, page 5 (L).

The reviewer will examine the sample of 10 waiver records and determine whether HCSIS is used to record the ISP.

Please enter the number of individuals in the sample in the first text box and the number of ISPs recorded in HCSIS in the second text box. Please enter your response in integer format only (i.e. 10 instead of ten).

- # of individuals in the sample: _____
- # of ISPs recorded in HCSIS: _____

Question 63 - Comments Box

Please enter any comments related to record review questions, including explanations where you responded “N/A”. Include the question #s in your response. If you did not respond, “N/A” to a question in this section, please type N/A in the comments box.