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**Quality Assurance KAR 30-64-27**  
**Quality Enhancement KAR 30-64-26**

<u>SECTION:</u> <b>CDDO 10-003</b>	<u>EFFECTIVE DATE:</u> <b>11-96</b>	<u>REVISION DATE:</u> <b>MARCH, 2010</b> <b>REVISED AUGUST 2018</b>
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**POLICY:** Tri-Ko, Inc. as the Community Developmental Disability Organization (CDDO) for Miami, Anderson and Linn counties will ensure quality of services provided to all individuals by affiliates, through the establishment of a local Quality Assurance Committee. This committee will determine that persons being served in the three county area are receiving services consistent with KAR 30-63-01 et seq., are protected from harm, and having their rights protected.

**PROCEDURE: INTERNAL QUALITY ASSURANCE PROCESS:**

1. Community Service Providers (CSPs) affiliated with the Tri-Ko, Inc. CDDO must have an Internal Quality Assurance Process.
2. The local Quality Assurance Committee will evaluate services provided by affiliates in accordance with KAR 30-64-27 et seq., and determine that:
  - a. Services that are paid for are delivered.
  - b. Services that are delivered are paid for in accordance with the terms of any agreement or contract in force.
  - c. Services are being provided in a manner meeting applicable requirements provided for in article 63.
  - d. The CDDO or affiliate is affording the person being served all of the person's legally protected rights.
  - e. The CDDO or affiliate meets both of these requirements:
    - Is reporting any suspicions of abuse, neglect, or exploitation to the appropriate state agency; and
    - Has corrected or is actively in the process of correcting the cause of any confirmed violation.

**On-site Monitoring:**

The Quality Assurance Committee will be active in reviewing annual on-site contacts with all persons served in the three county area to ensure that all providers are affording legally protected rights to all individuals served; as well as reporting suspicions of abuse, neglect and exploitation. This will be accomplished in the following manner:

- a. On-site visits will be completed for all individuals served
- b. On-site reviews will be conducted at the individual's primary service site. The on-site checklist will be completed based upon direct observations and conversations with persons served and their staff.
- c. The checklist and checklist summary will be completed immediately following the visit, which will include comments, recommendations and follow-up from the visit.
- d. The original review form will be submitted to the Quality Assurance Committee, and a copy will be maintained at the CDDO office.
- e. A summary of all reviews, checklist summaries and action plans will be

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reviewed by committee members at the quarterly Quality Assurance Committee meetings.

**QUALITY ASSURANCE COMMITTEE:**

1. The local Quality Assurance Committee will include the Director of CDDO Administration, persons served, their families, guardians, interested citizens, and affiliate providers. The committee will consist of a minimum of eight (8) members.
2. The Quality Assurance Committee will convene quarterly or more often as deemed necessary by the committee chairperson. To convene a meeting, the chairperson must contact members at least one week prior to the meeting date and time. A minimum of two non-employee standing members, and two employee standing members will constitute a quorum.
3. Minutes will be taken at each meeting. Copies will be forwarded to members and the regional KDADS Quality Management Specialist following the meeting; original minutes will be kept on file with the CDDO.
4. Committee members will be required to respect confidentiality and sign a Confidentiality statement. Members violating confidentiality will be immediately removed from the Quality Assurance Committee.
5. Individuals served will have their names randomly drawn by Quality Assurance Committee members for on-site review. Conflicts of interest will be avoided wherein a Quality Assurance Committee member will not be allowed to provide the on-site review for individuals served with whom they have a familial or professional relationship.
6. The Quality Assurance Committee will conduct an on-site review of service sites, with type and intensity to be determined by the committee for each of these persons identified and will ensure that different individuals are selected to receive an on-site review by the committee the following year. Committee members will meet with case managers to review records, interview staff and persons served.
7. As a result of quarterly reviews, the Quality Assurance Committee will present in writing to the Community Service Provider's designated contact person(s) the results of the reviews and any recommendations. The provider or person directing care will be notified in writing if responses/action plans are not approved by the committee and further information is required.
8. Targeted Case Managers, acting on behalf of the Quality Assurance Committee, will complete an on-site Quality Assurance (QA) survey for 100% of the individuals on their caseload each year. The QA survey will be completed in the person's residence and emailed to the Director of CDDO Administration within the timeframe designated by the Quality Assurance Committee.
9. Completed reports will be maintained at the CDDO office and made available to the KDADS Regional Quality Management Specialist for review.
10. The Quality Assurance Committee will be active in directly monitoring compliance with Article 63. Each licensed Community Service Provider (CSP) will be required to

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demonstrate, through process and outcome, how their agency has gained compliance with each regulation.

11. The Quality Assurance Committee and CDDO Director of Administration will conduct further monitoring to identify trends and patterns of non-compliance. If the CDDO believes that the Provider's non-compliance creates a situation of imminent danger to health, safety or welfare of any person/persons the CDDO may:
  - a. Develop immediate Plan of Correction
  - b. Give notification to terminate the CDDO-CSP affiliate agreement.
  - c. Implement action allowed by the current CDDO-CSP contract.
  - d. A provider may appeal using the Dispute Resolution procedures identified in CDDO policy #10-007.

**QUALITY ENHANCEMENT:**

1. The CDDO will conduct Quality enhancement reviews to ensure that services are responsive to the individual's Person-Centered Support Plan; that opportunities for choice are provided; and rights are protected by the following means:
  - a. On-site visits with the individual receiving services
  - b. Internal Quality Assurance Process
  - c. Program Quality Assurance
  - d. Case File review
2. The Director of CDDO Administration will notify the targeted case manager of issues which need to be addressed as a result of the review. The case manager and service provider(s) will be responsible for correcting the deficiencies within the timeframe specified by the CDDO.
3. The Director of CDDO Administration will receive notification from the Provider when an Adverse Incident Report has been submitted to KDADS within 48 hours of the incident. In the event of significant incidents, the Director of CDDO Administration will follow-up with the reported Provider regarding necessary remediation and, if necessary, send a written request for a corrective plan of action, in writing and with timeframes, from the reported Provider.
4. In the event of a report of abuse, neglect, or exploitation; the Director of CDDO Administration will contact the reported Provider in writing and request a written corrective plan of action with timeframes.
5. The KDADS Regional Quality Management Specialist will be notified of reported concerns and the Quality Assurance Committee recommendations.

