

# ODP Quality Assessment & Improvement

## Frequently Asked Questions (FAQs)

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## QA&I Contact List

<p>How do entities add or update their QA&amp;I contacts?</p>	<p>Entities should use the ODP Quality Assessment &amp; Improvement Contact Information Form located at the following link:  <a href="#">QA&amp;I Contact Information Form</a></p> <p>As a reminder, it is the responsibility of the entity to ensure that this information remains up to date.</p>
<p>How do entities make sure their QA&amp;I contact information is correct?</p>	<p>Entities can view the most current QA&amp;I contact list posted on MyODP at the following link:  <a href="#">QA&amp;I Process Resources</a></p>

## Self-Assessment and Self-Assessment Sampling

<p>Are there any Provider types that are excluded from the QA&amp;I process?</p>	<p>Yes, the QA&amp;I process excludes Intermediate Care Facilities for persons with an Intellectual Disability (ICFs/ID), Vendor Fiscal/Employer Agent (VF/EA) Financial Management Services (FMS) Providers, Telehealth Services, Adaptive Appliance/Equipment Only, and Public Transportation Providers.</p>
<p>When are self-assessments due?</p>	<p>Self- assessments are required to be completed annually by all entities, with a deadline of August 31<sup>st</sup>. Entities not completing a self-assessment annually as required will automatically be issued a DCAP for self-assessment noncompliance. Subsequent failure to complete an annual self-assessment by any entity may result in sanctions up to and including termination. Any time a self-assessment is not completed by an entity, ODP, and/or AEs may elect to conduct an unscheduled review.</p>
<p>Are self-assessments required during the year in which the entity is selected for a full review or only during the 2 "off" years?</p>	<p>All entities must submit a self-assessment annually as part of the QA&amp;I Process, including the year in which the entity is selected for a full review.</p>
<p>Is it necessary to complete a self-assessment when the entity is scheduled to receive a full review in the same year?</p>	<p>Self-assessment completion is needed for the QA&amp;I team reviewers to compare the provider's self-assessment responses to the QA&amp;I team's findings. This provides an opportunity for better discussion and understanding on ODP's expectations on a particular area where improvement or better quality of service can be provided.</p>

<p>If an entity does not provide services to any individuals, do they have to complete a self-assessment?</p>	<p>Yes, even if an entity does not provide any services, they still must complete a self-Assessment annually.</p>
<p>How does ODP recommend AEs, SCOs, and Providers select their own samples? Should the self-assessment sample be proportionately reflective of all services provided by an entity?</p>	<p>AEs, SCOs, and Providers select their own individual sample that includes 1% of individual records, with a minimum of five individuals and a maximum of 10 individuals. If an entity serves less than five individuals, 100% of the individual records must be reviewed. The individual records reviewed must be a cross-section of: individuals served, waiver and non-waiver funding/program types, locations, counties (if applicable), and types of service. For AEs, five of the 10 individuals selected must be newly enrolled in an ID/A waiver in the last fiscal year. If an AE does not have five newly enrolled individuals in the last fiscal year, 100% of newly enrolled individual records must be reviewed.</p> <p>For ID/A and shared Providers that offer residential services, at least 1 individual in the sample must reside in a licensed Community Residential Rehabilitation setting (licensed 5310), Community Home for individuals with ID/A (licensed 6400), licensed Life Sharing Home (licensed 6500) or an unlicensed Community Home for individuals with ID/A or unlicensed Life Sharing Home setting unless the Provider does not serve any individuals who reside in any of these settings.</p> <p>If the Provider also renders Agency with Choice (AWC) services, the Provider must select two additional records of AWC individuals, which would increase the minimum to seven and the maximum to 12 individual records.</p>
<p>If 1% of the AE's individuals is less than 10, how many newly enrolled individuals need to be reviewed?</p>	<p>In this scenario, the AE should complete a review of 1% of non-newly enrolled individuals and then 100% of individuals who were newly enrolled, up to the max of 10 records. For example: if your AE's 1% is 5 records, you should review 5 current individuals and 5 newly enrolled individuals.</p>
<p>Can an entity reuse sample names or is it expected that a unique sample is drawn by each entity each year?</p>	<p>ODP's expectation is that a unique sample is selected each year but if an entity serves a small number of individuals, some or all may be selected over multiple years.</p>

<p>If an entity provides services to individuals in both ID/A and AAW, should their self-assessment sample include individuals from each of those waivers?</p>	<p>Yes, if an entity serves individuals across multiple ODP waivers, their self-assessment sample should include individuals from each of those waivers.</p>
<p>If an entity provides services to individuals in different regions across the state, should they include all individuals or only individuals from one region when pulling their self-assessment sample?</p>	<p>Entities who provide services across regions should include individuals from those regions in their self-assessment sample.</p>
<p>Should entities use individuals in the self-assessment that were chosen as part of the core sample for full review?</p>	<p>No, entities should pull their own self-assessment sample using the sampling methodology outlined in the QA&amp;I Process document under the “Self-Assessment Sampling” section.</p>
<p>Are entities required to complete a CAP form for anything that needs remediated while completing their self-assessment?</p>	<p>No. Any areas identified as being out of compliance during the self-assessment must be remediated within 30 calendar days. Neither a CAP nor completed remediation needs to be submitted during the self-assessment unless requested by ODP or the assigned AE.</p>
<p>How are Provider self-assessments shared with the AE?</p>	<p>After the QA&amp;I self-assessment spreadsheet is completed, the responses from the spreadsheet are entered in QuestionPro and electronically submitted to ODP utilizing the unique hyperlink provided to the entity on July 1st, unless otherwise indicated. There should only be one self-assessment response per entity, and all self-assessments must be received electronically no later than August 31st of each year, unless otherwise indicated. Once the self-assessment is submitted, an email confirmation or PDF of the self-assessment is sent to the QA&amp;I primary contact containing the entity’s responses. All ID/A and shared Providers are expected to forward this self-assessment confirmation email containing the entity’s responses to their Assigned AE. Additionally, entities that receive a full review in a given QA&amp;I cycle year will forward a copy of their completed QA&amp;I review spreadsheet to ODP or their Assigned AE, as appropriate.</p>

<p>Will entities receive links for self-assessments and full reviews?</p>	<p>Yes, emails which contain the hyperlink to the self-assessments are sent out to all entities primary QA&amp;I contacts on July 1<sup>st</sup>.</p>
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### Core Sample

<p>How will entities know when will receive a full review during a 3-year cycle?</p>	<p>AEs receiving a full review are selected alphabetically while ensuring that all regions are represented. The individuals selected as part of the core sample are registered with one of the AEs that are selected for review that year of the QA&amp;I cycle.</p> <p>ID/A and AAW SCOs are based on individuals selected in the ODP sample and the SCO that is authorized in the individual's ISP.</p> <p>ID/A and AAW Providers are determined by the last digit of the Master Provider Index (MPI) #.          Digits 0, 1 and 2 will get a full review Year 1.          Digits 3, 4 and 5 will get a full review Year 2.          Digits 6, 7, 8 and 9 will get a full review Year 3.</p>
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### Newly Enrolled Sample

<p>How is the newly enrolled sample pulled for the ID/A Waivers?</p>	<p>ODP pulls a separate sample of newly enrolled ID/A waiver individuals (enrolled between 4/1 and 3/31 of previous fiscal year) based on the AEs receiving a full review. The sample is obtained using the proportionate, random, and representative sampling methodology described in the ID/A waivers. This sample is used to conduct oversight of Level of Care (LOC) determinations performed by the AEs as well as other questions related to newly enrolled individuals.</p>
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### Provider Sample

<p>If a Provider is qualified but not providing services, will they be included?</p>	<p>Yes, a Provider who is in qualified status will be included in the QA&amp;I review regardless of whether or not they serve any individuals.</p>
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## AEs Provider Individual Sample

Can AEs conduct ME interviews using telephone or remote conferencing app methods?	ODP's preference is in person, however the individual may choose to participate via phone or virtually.
When will the list of Assigned AEs for Providers be posted on the MyODP website?	A list of all entities who are receiving a full review will be posted on MyODP by mid-July. This list is broken down by region and entity.
Should Provider samples only include individuals with waiver funding?	No, the sample should include a cross-section of all individuals served, funding/program types, and locations and types of services registered with the assigned AE.
How will Providers know who their Assigned AE is?	The AE with the most individuals authorized with the Provider is designated as the Assigned AE. If the Provider does not serve any individuals, the Assigned AE is the AE that reviewed the Provider's most recent Provider Qualification (PQ) application.

## Individual Interview Tool

How is the Individual Interview sample selected?	These individuals are selected based on the ODP internal Core and AAW sample methodologies. These individuals are also included in the respective SCO full review process for that given QA&I year.
Who completes the Individual Interviews using the Individual Interview tool?	The Independent Monitoring for Quality Local Programs (IM4Q) complete the Individual Interviews.
Where can I find the results of the individual interviews?	The QA&I interview results can be found on MyODP by going to the Quality Management landing page under the resources tab and from there clicking on the QA&I Reports link. The results are compiled after the end of each Cycle to provide a more meaningful and complete picture.

## AWC

What is a “ME”?	"ME" means Managing Employer, the person who directs how services are rendered. You may think of them as "the person representing the individual receiving services."
Who conducts the ME interviews?	The Assigned AE will complete the ME interview, except for those individuals not authorized by the Assigned AE then ODP will complete those ME interviews.
What is the difference between a Support Service Professional (SSP) and a Direct Support Professional (DSP)?	A DSP is the professional title for employees of traditional agency services. Where an SSP is the professional title for employees of AWC – Vendor Fiscal/Employer Agent (VF/EA) self-directed services.

## Full Reviews and Conferences

Performance Based Contracting (PBC), Licensing, and QA&I are very duplicative. Can these be ‘combined’ or one ‘eliminated’ for residential providers?	ODP has worked to reduced redundancy in many oversight activities QA&I has focused questions on unlicensed residential programs and on compliance areas licensing nor PBC focus on. All three oversight activities have a different approach to compliance For example, PBC will focus on outcomes and performance, while licensing focuses on regulatory compliance, and QA&I focuses on quality and improvement of services.
Who completes full reviews during QA&I?	<ul style="list-style-type: none"> <li>• Shared Providers- AEs</li> <li>• ID/A-only Providers- AEs</li> <li>• AAW-only Providers- ODP BSASP</li> <li>• Shared SCOs- ODP BCS and BSASP</li> <li>• ID/A-only SCOs- ODP BCS</li> <li>• AAW-only SCOs- ODP BSASP</li> </ul>
If a Provider has not rendered any services during the review period, what will a full review consist of?	ODP BSASP or the Assigned AE will only complete the data and policy section of the QA&I Provider tool if the Provider has not provided any services during the review period.

<p>For Providers who receive a full review, are all the questions in the tool applicable to all Provider types?</p>	<p>If a specific Provider type is exempt from one or more questions this will be identified within the guidance on the tool.</p>
<p>Will new Providers who were recently qualified in the past fiscal year be selected for a full review in the next QA&amp;I year?</p>	<p>No. All Providers are selected based on the last digit of their MPI, regardless if they are new or an existing Provider.</p>
<p>Can the QA&amp;I conference be virtual or in-person?</p>	<p>All QA&amp;I conferences will typically be conducted in-person with the QA&amp;I Team and entity staff.</p> <p>In the instances where a provider is currently not supporting individuals or does not have employees, the conference is still expected to be conducted in person.</p> <p>In the instances when an SCO is selected to participate in a full review in more than one year of the QA&amp;I cycle and only the individual records from the sample associated with that SCO are reviewed, ODP may conduct the QA&amp;I conference virtually.</p>
<p>What documentation can be provided after the QA&amp;I conference during the Discovery period?</p>	<p>The only documents that will be accepted during the 24-business hour period after the QA&amp;I conference are already existing documents the entity has on file that may have been missed or incomplete at the time of the conference.</p> <p>Any documents the entity newly creates and submits during the 24-business hours following the day of the QA&amp;I conference will not be accepted as part of Discovery, however, it can be used to support remediation activities.</p>
<p>Can the Full Review and AE/County assignment spreadsheet be posted sooner than in July?</p>	<p>The Office of Developmental Programs (ODP) Central Office QA&amp;I team strives to post the Full Review and AE/County assignment spreadsheet to MyODP by mid-July each year. The timing of release may vary based on several factors, including the timing of data extraction aligned with the sample methodology and the review and verification of data in coordination with ODP regional provider qualification leads.</p>

<p>If an individual wishes to transfer to another provider from their current provider, are questions 6 and 7 applicable to the provider being reviewed?</p>	<p>If the transfer from one provider to another provider is initiated by the individual receiving services, N/A will be selected for both questions 6 and 7. The two questions are looking to ensure that the provider who initiated the discharge from service did so per regulations and that the provider continued to provide service/support during the transition.</p>
<p>Are the policies we submit for our initial provider qualification the same policies that will be reviewed as a part of my QA&amp;I Full Review?</p>	<p>Policies and procedures reviewed as part of QA&amp;I are subject to change each cycle based on identified risks, quality improvement priorities, health and safety considerations, and revisions to regulatory requirements.</p>
<p>What response option should be selected for the CIPR quarterly completion question, if the provider has never had a critical incident or all closed investigation(s) have already been reviewed as part of a CIPR?</p>	<p>The response option of 'N/A' will need selected in these scenarios.</p>

### Quality Management Plans

<p>Are Quality Management (QM) Plans required to be updated every 3 years?</p>	<p>PA's 6100 regulations, relating to Services for Individuals with an Intellectual Disability or Autism, require all ODP entities to develop a QM Plan and associated Action Plan. QM plans must be revised/updated <b>at least</b> every 3 years. Although this minimum requirement exists, ODP's QM Division strongly recommends that QM Plans are reviewed and updated annually, for example at the end/beginning of each fiscal year, and Action Plans, considered to be "living documents" when used correctly, should be updated throughout the year.</p>
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## Tools and Guidance

What is the timeframe for each question?	For each question, the time frame under review is the 12 months preceding the date of the review unless otherwise specified in the applicable tool guidance.
Where are the tools posted?	All QA&I resources, including the tools, are posted on MyODP, at the following link: <a href="#">QA&amp;I Process Resources</a>
Does Record Review Q68 on the AE tool refer to all individuals included in the newly enrolled sample?	No, Q68 on the AE tool refers only to those individuals who were newly enrolled in Base or TSM during the review period.
Is a transportation trip Provider who does not own any vehicles that would transport 6 or more individuals still required to have a policy to ensure that there is an aide in the vehicle?	No, if the transportation trip Provider doesn't transport more than 6 individuals in a vehicle, they did not render the "applicable service(s) during the review period;" therefore, "N/A" should be selected for Q5 on the Provider tool.

## Spreadsheets and QuestionPro

Can more than one remediation option be selected for a single question that is non-compliant?	No. Only one remediation option can be selected on the spreadsheet and entered in QuestionPro. If a remediation option needs to change from the initial selection on the spreadsheet, the initial selection must be deleted for the new option to be seen. If the remediation option used to correct the non-compliance isn't listed, the entity should select "Other remediation action" and follow the guidance provided on the tool for next steps.
What web browsers is QuestionPro compatible with?	Microsoft Edge, Google Chrome and Firefox.

## Other

Is there a recorded QA&I training available on MyODP?	Yes, the QA&I training was recorded and is posted on MyODP at the following link: <a href="#">QA&amp;I Process Resources</a>
The QA&I process includes a review of data and policy questions in both the AE and SCO tools. Can AEs and County Based SCOs share policies?	No, AEs and County Based SCOs must have independent policies from one another.