

State Transition Plan Data Analysis 2018

Dr. Rose Lowther-Berman

Program Manager I, West Virginia State Transition Plan

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Introduction: We are continuing to gather data regarding provider compliance with the Home and Community Based Services Rule criteria. Analysis of the reviews conducted by Kepro and received at BMS by December 31, 2018 revealed the following limitations and delimitations:

Delimitations: Reviews are by different reviewers.

Tags Cited: The total number of tags cited was less than first time and the tags cited were not as scattered throughout the 5 criteria. There were no tags cited under Section 04 and Section 05 in residential provider settings at all. The aggregate number of tags cited also diminished. There were 26% of Residential and 24% of Non-Residential settings that had one or more tags cited. All others (74% of Residential and 76% of Non-Residential) were fully compliant.

Notes:

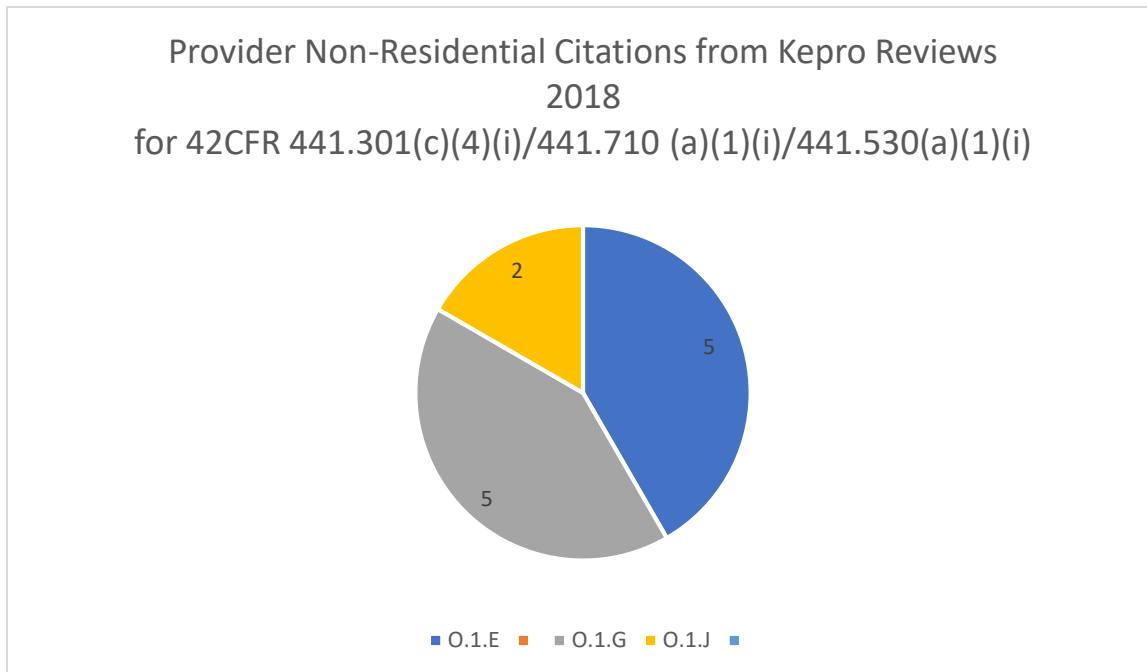
-When Kepro reviewed a provider more than once since the BMS review, the more recent Kepro review is recorded.

-Appendix A includes a list of tag numbers cited (O.1.E et al) and their descriptors.

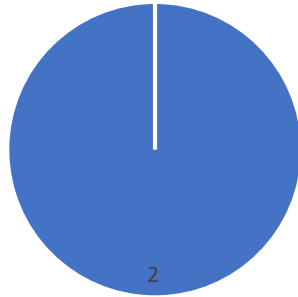
Non-Residential N=59

<u>Review Citation</u>	<u>Number of Providers</u>	<u>% of Noncompliance</u>
O.1.E	5	8%=.084
O.1.G	5	8%=.084
O.1.J	2	3%=.033

O.2.B	2	3%=.033
O.3.E	5	8%=.084
O.4.A	1	2%=.016
O.4.B	1	2%=.016
O.4.E	1	2%=.016
O.5.A	1	2%=.016

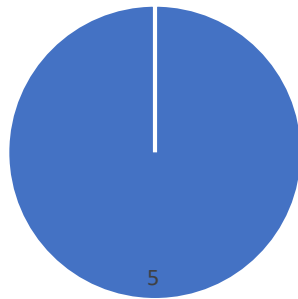


Provider Non-Residential Citations from Kepro Reviews
2018
for 42CFR 441.301(c)(4)(ii)/441.710
(a)(1)(ii)/441.530(a)(1)(ii)



■ O.2.B ■ ■ ■ ■ ■

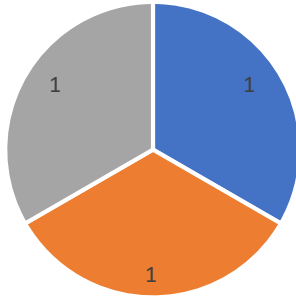
Provider Non-Residential Citations from Kepro Reviews
2018
for 42CFR 441.301(c)(4)(iii)/441.710
(a)(1)(iii)/441.530(a)(1)(iii)



■ O.3.E ■ ■ ■ ■ ■

Provider Non-Residential Citations from First Kepro Reviews
2018

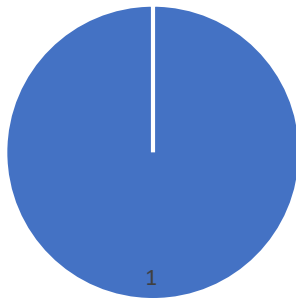
for 42CFR 441.301(c)(4)(iv)/441.710
(a)(1)(iv)/441.530(a)(1)(iv)



■ O.4.A ■ O.4.B ■ O.4.E ■ ■ ■

Provider Non-Residential Citations from Kepro Reviews
2018

for 42CFR 441.301(c)(4)(v)/441.710
(a)(1)(v)/441.530(a)(1)(v)

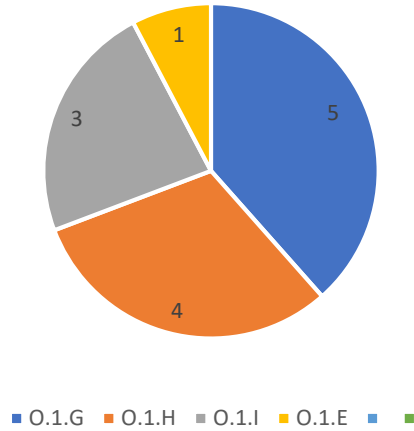


■ O.5.A ■ ■ ■ ■ ■

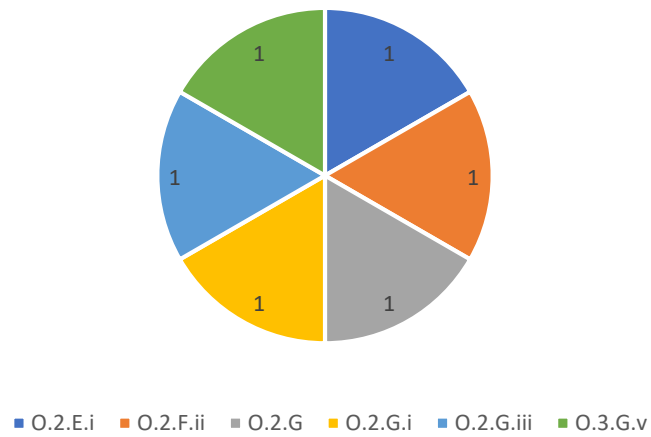
Residential N=53

<u>Review Citation</u>	<u>Number of Providers</u>	<u>% of Providers</u>
O.1.E	1	2%=.018
O.1.G	5	10%=.095
O.1.H	4	8%=.075
O.1.I	3	6%=.056
O.2.E.i	1	2%=.018
O.2.F.ii	1	2%=.018
O.2.G	1	2%=.018
O.2.G.i	1	2%=.018
O.2.G.iii	1	2%=.018
O.2.G.v	1	2%=.018
O.3.A.i	2	4%=.037
O.3.A.ii	1	2%=.018
O.3.A.iii	1	2%=.018
O.3.F.ii	1	2%=.018
O.3.F.iii	2	4%=.037
O.3.G.i	1	2%=.018
O.3.G.iv	1	2%=.018

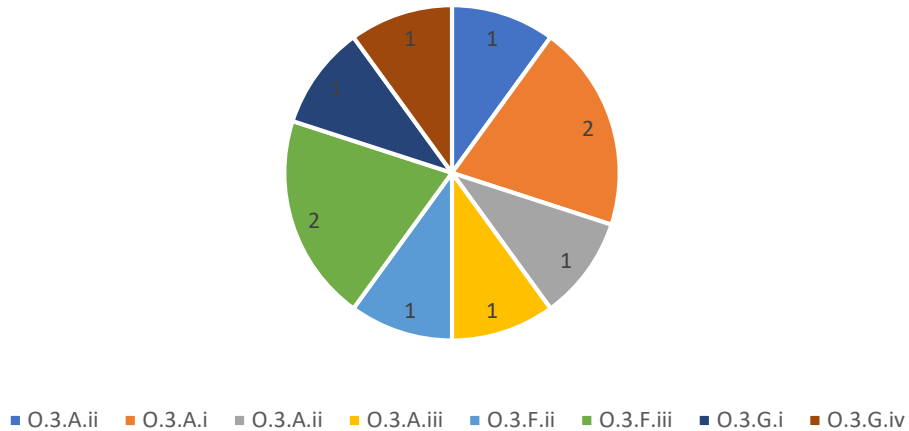
Provider Residential Citations from Kepro Reviews 2018
for
42CFR441.301(c)(4)(i)/441/710(a)91)(i)/441/530(a)91)(i)



Provider Citations from Kepro Reviews 2018
for 42CFR 441.301(c)(4) (ii)/441.710
(a)(1)(ii)/441.530(a)(1)(ii)



Provider Citations from Kepro Reviews 2018
for 42CFR 441.301(c)(4) (iii)/441.710
(a)(1)(iii)/441.530(a)(1)(iii)



NOTE:

SOME PROVIDERS HAD MULTIPLE SETTINGS. EACH SETTING WAS ENTERED IN THE DATABASE INDEPENDENTLY, SINCE CITATIONS VARIED AMONG THESE SETTINGS.

ALL DATA WAS ACQUIRED THROUGH ON SITE SURVEYS/REVIEWS OF SETTINGS. WHILE SETTINGS NOT FOUND IN COMPLIANCE WILL RECEIVE/RECEIVED FOLLOW-UP REVIEWS, THE RESULTS OF THESE REVIEWS ARE NOT INCLUDED IN THIS ANALYSIS.

SUMMARY/ABSTRACT

Non-Residential There were no tags which were cited in more than 8% of the non-residential settings in 2018. Three tags in Non-Residential, O.1.E, O.1.G and O.3.E were cited in 10% of the settings. These tags are: O.1.E -Individuals receive HCBS in an area of the setting that is fully integrated with individuals not receiving Medicaid HCBS; O.1.G - The setting encourages visitors or other people from the greater community (aside from paid staff) to be present; and O.3.E -The setting offers a secure place for the individual to store personal belongings. Three of the five settings cited for O.1.E and O.1.G are owned or leased by the same

provider. Two of the settings cited under O.3.E are owned or leased by that same provider as well.

Residential There were no tags which were cited in more than 10% of the residential settings in 2018. O.1.G - The setting encourages visitors or other people from the greater community (aside from paid staff) to be present was the sole tag cited for 10% of the residential providers. 80% of these homes were owned or leased by the same provider.

The Bureau for Medical Services and Kepro are working with these two providers to address the systemic issues which may be present.

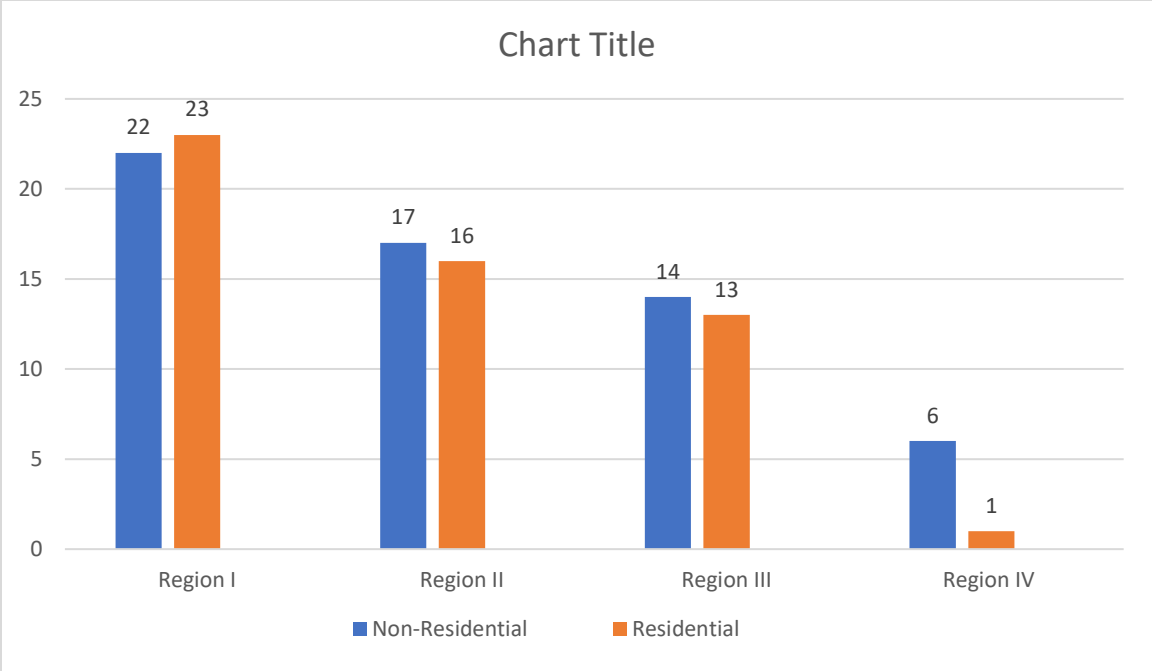
Conclusion: Settings still have some issues with community integration. There are two providers in particular whose settings may still be problematic.

Conclusion: There was much progress. With one outlier, all residential settings are in full or almost full compliance.

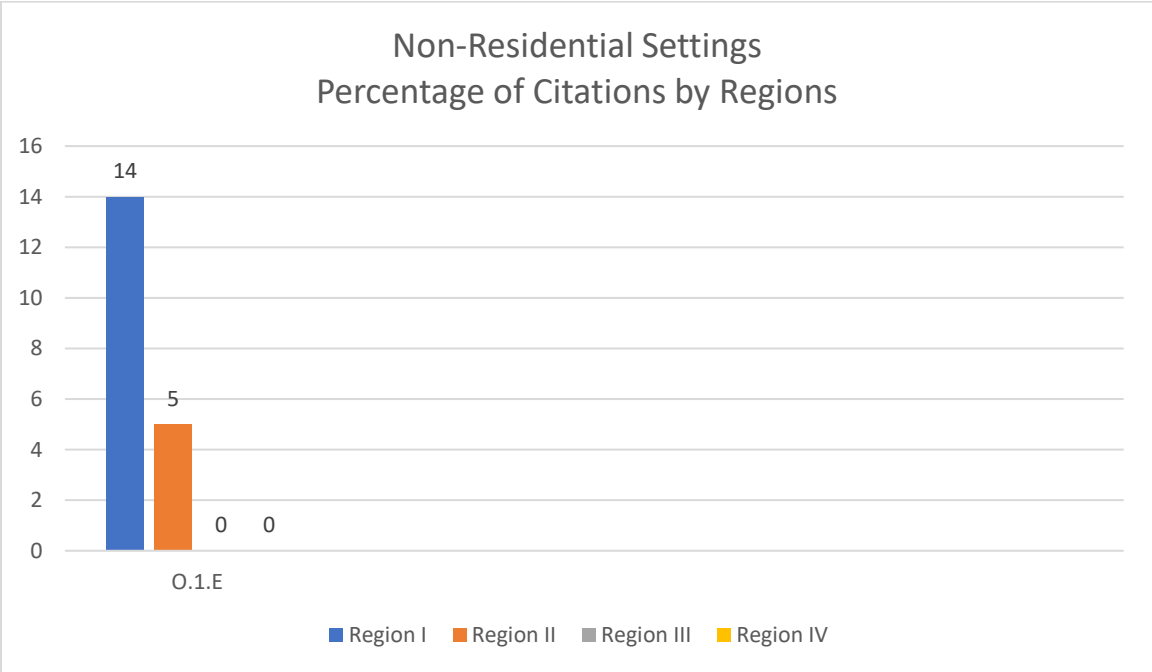
Next Steps Recommended:

Any needs for increased monitoring have been identified and addressed.

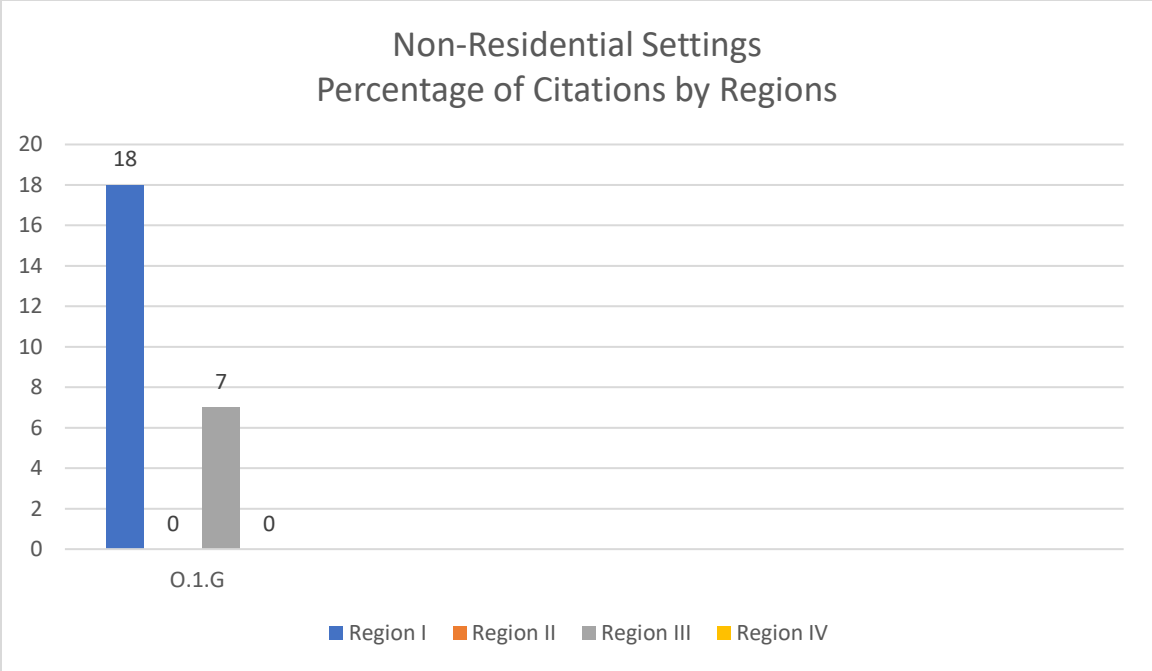
REGIONAL ANALYSIS: The QA Sub Committee recommended that a comparison/contrast of DHHR regions be completed, looking at provider settings in each region for trends and training issues by region. The Non-Residential and Residential Analyses are given below.



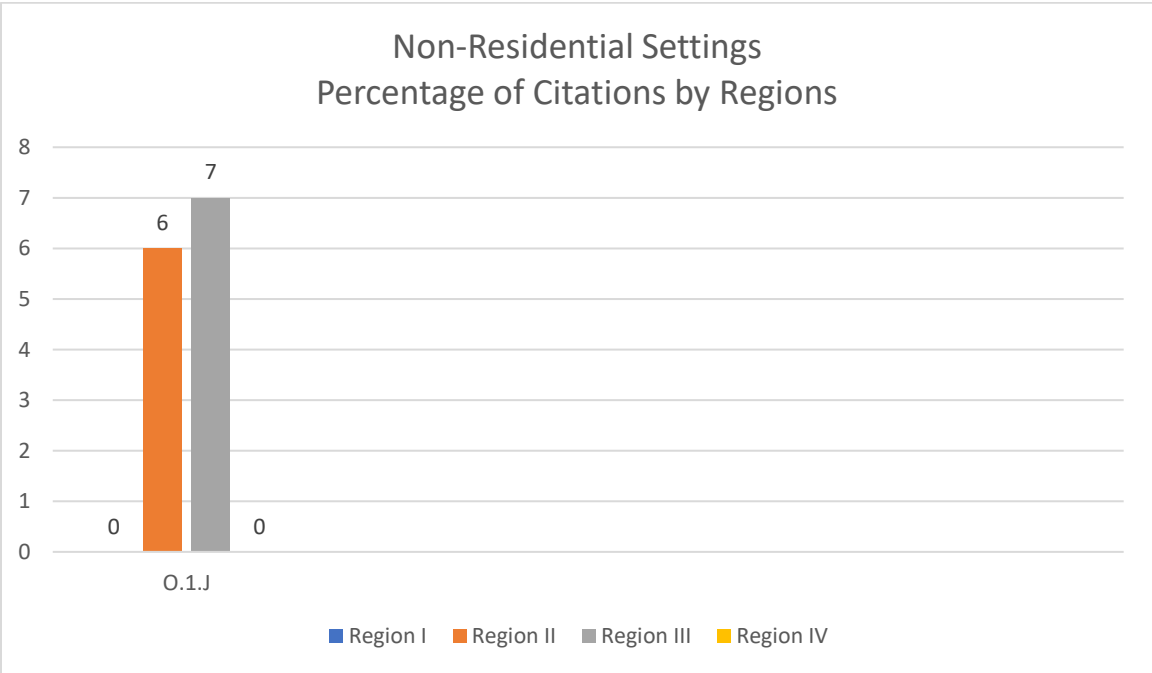
Non-Residential Analysis - There are no significant trends apparent for non-residential programs. While Region I has the greatest number of citations, it should be noted that this region is also the largest, with 22 settings in the region.



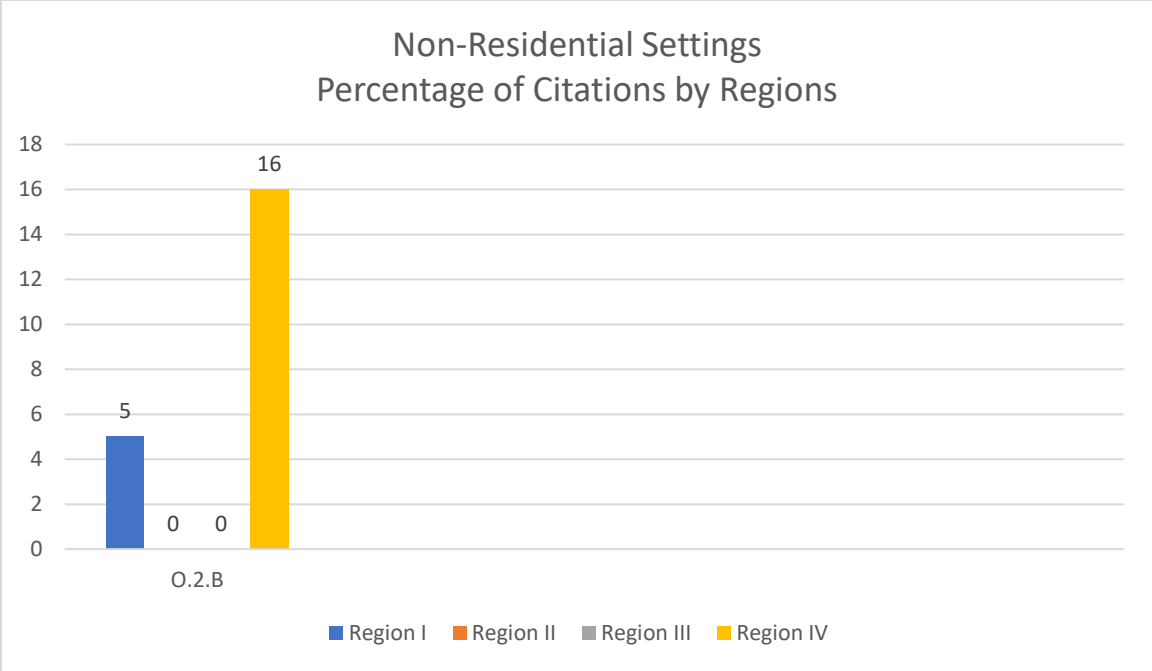
Individuals receive HCBS in an area of the setting that is fully integrated with individuals not receiving Medicaid HCBS.



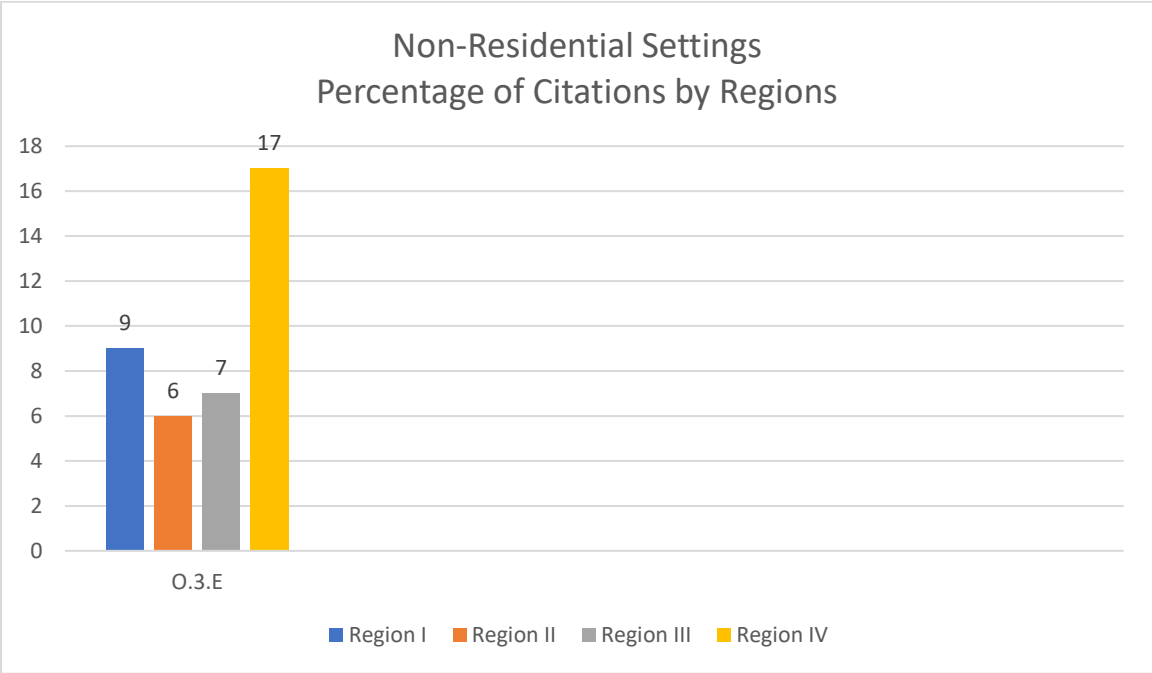
The setting encourages visitors or other people from the greater community (aside from paid staff) to be present. There is evidence that visitors have been present at regular frequencies.



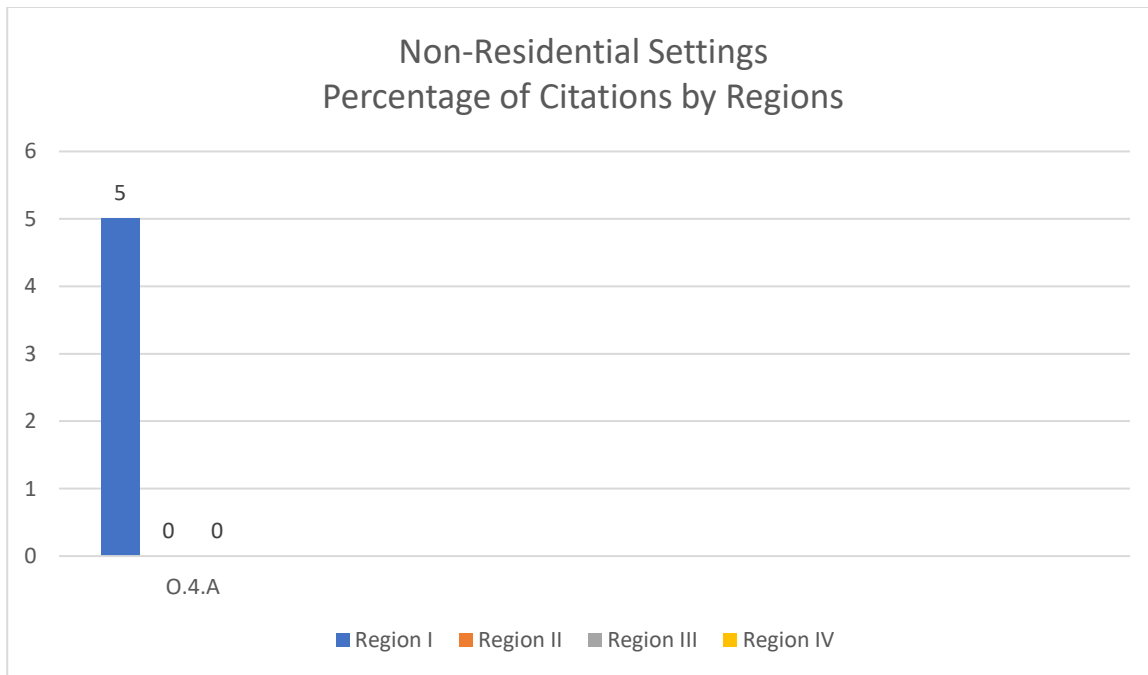
The setting provides individuals with contact information. Access to and training on the use of public transportation, such as busses, taxis, etc., and these public transportation schedules and telephone numbers are available in a convenient location.



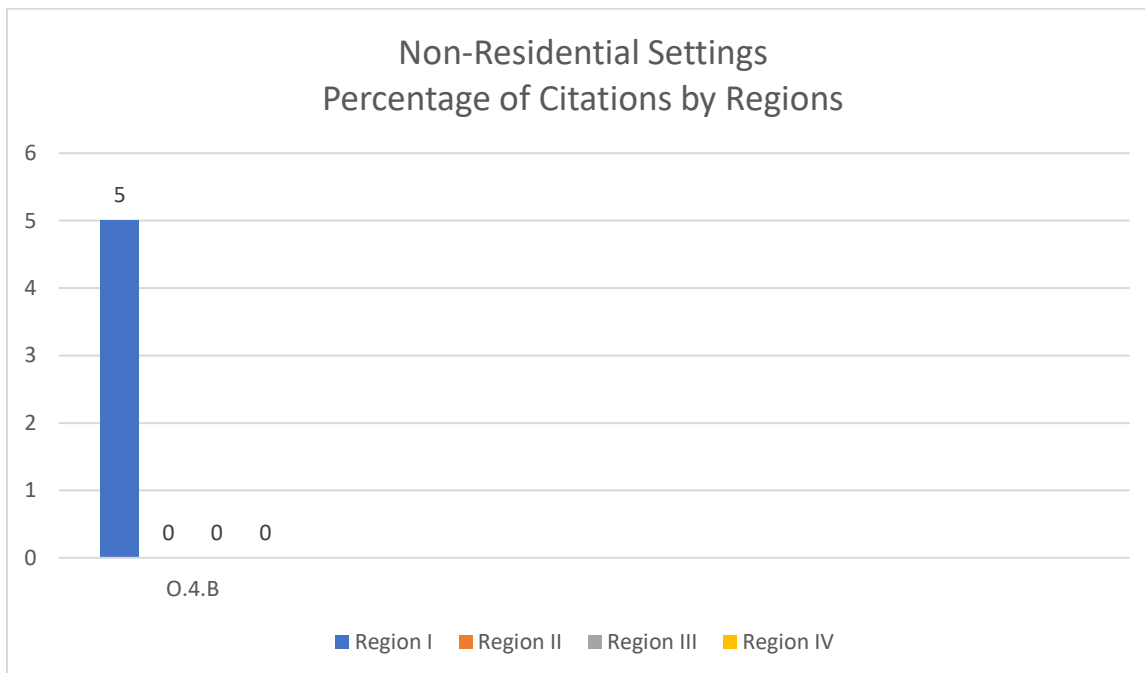
The setting assures that tasks and activities are comparable to tasks and activities for people of similar ages who do not receive HCBS services. *Note: Age Appropriate*



The setting offers a secure place for the individual to store personal belongings.

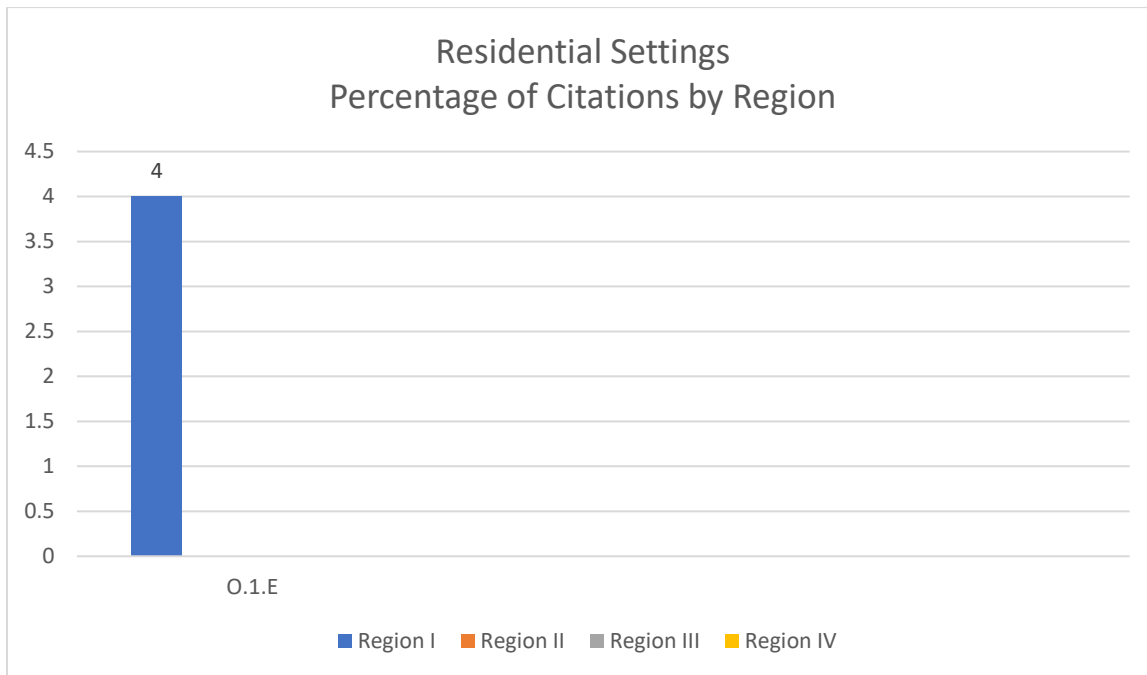


There are no gates, Velcro strips, locked doors, fences or other barriers preventing individuals' entrance to or exit from certain areas of the setting.

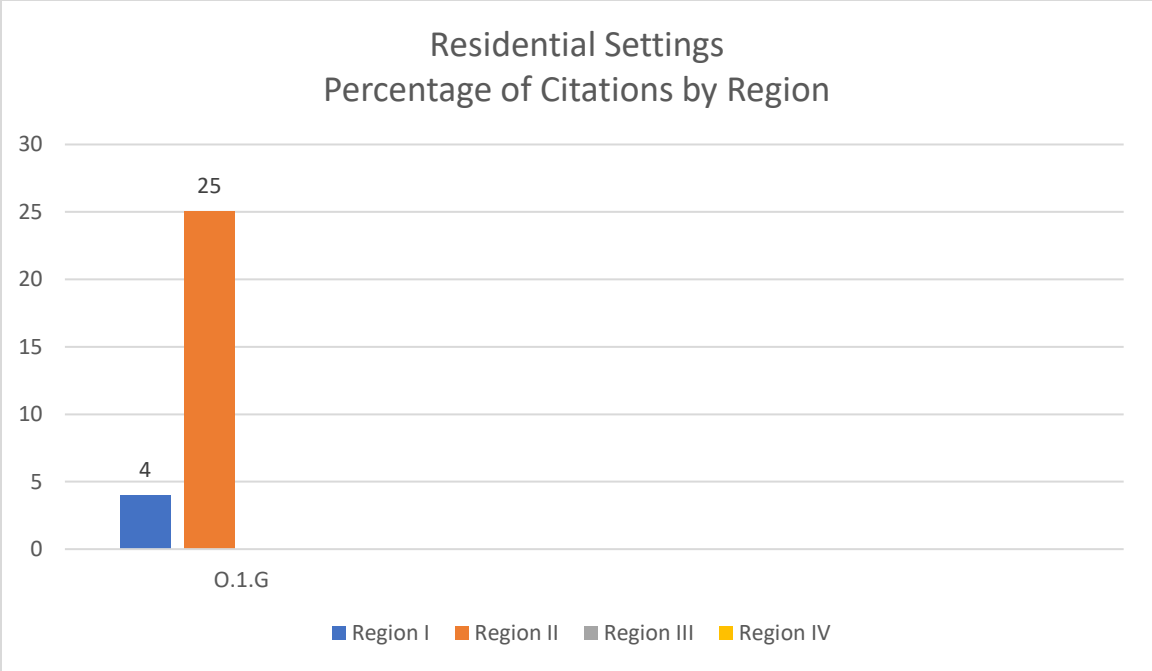


The setting affords a variety of meaningful non-work activities that are responsive to the goals, interests and needs of individuals.

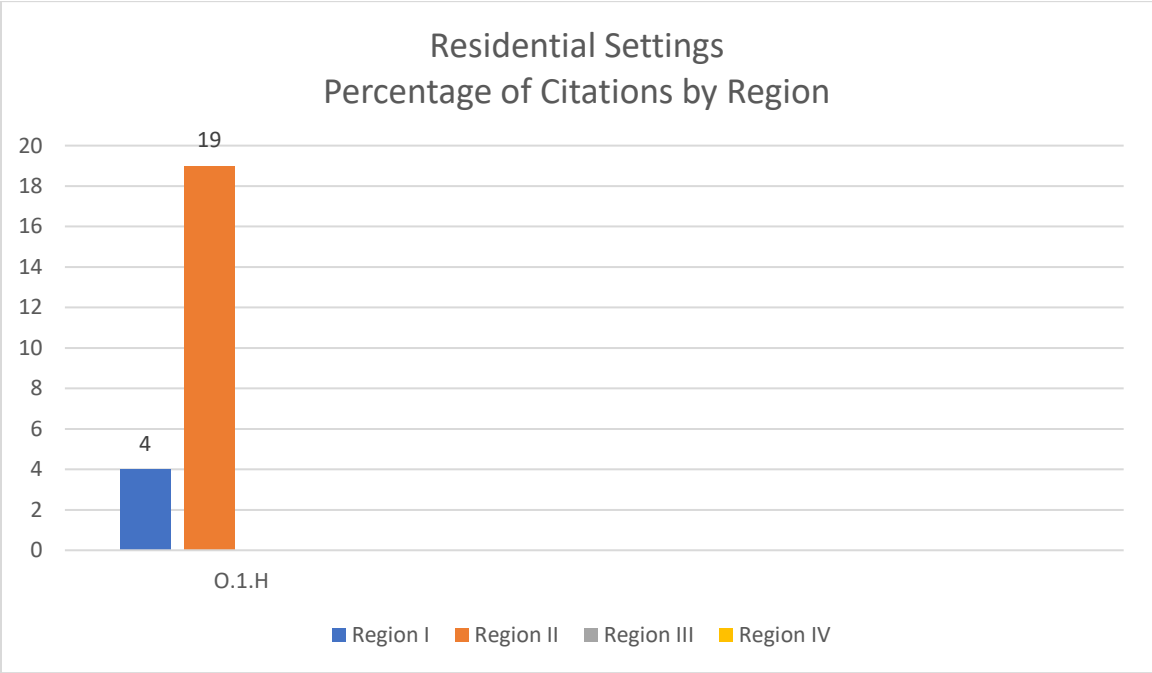
Residential Analysis - There are no significant trends apparent for residential programs. Region IV, the outlier, has only one setting in the entire region.



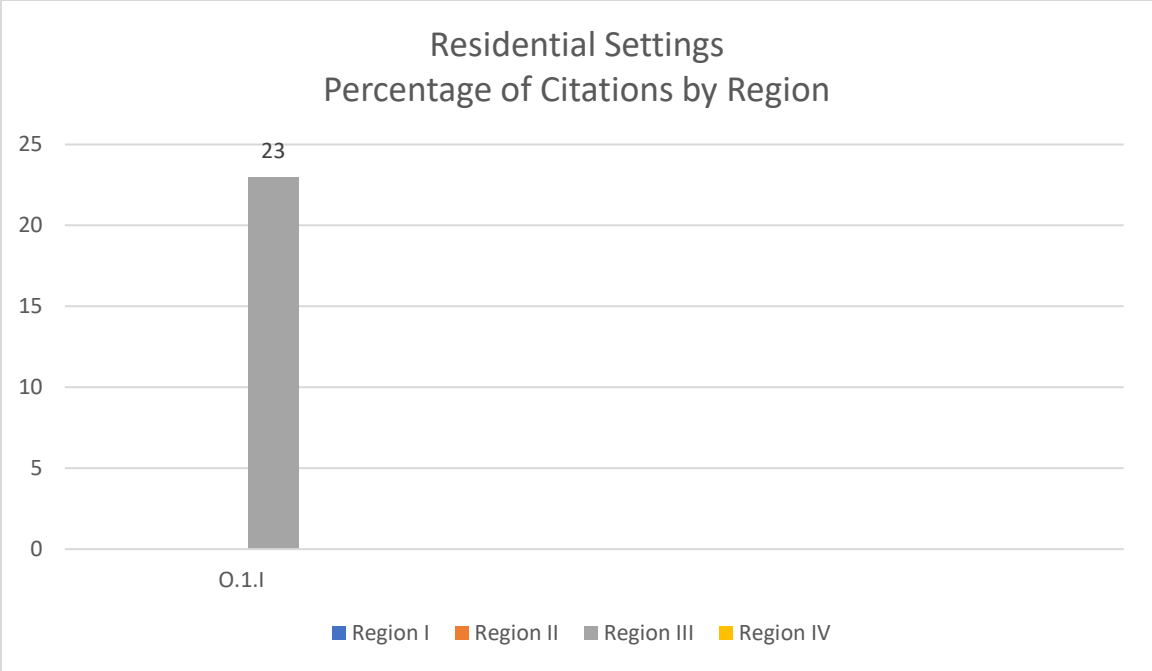
Individuals on the street greet/acknowledge individuals receiving services when they encounter them.



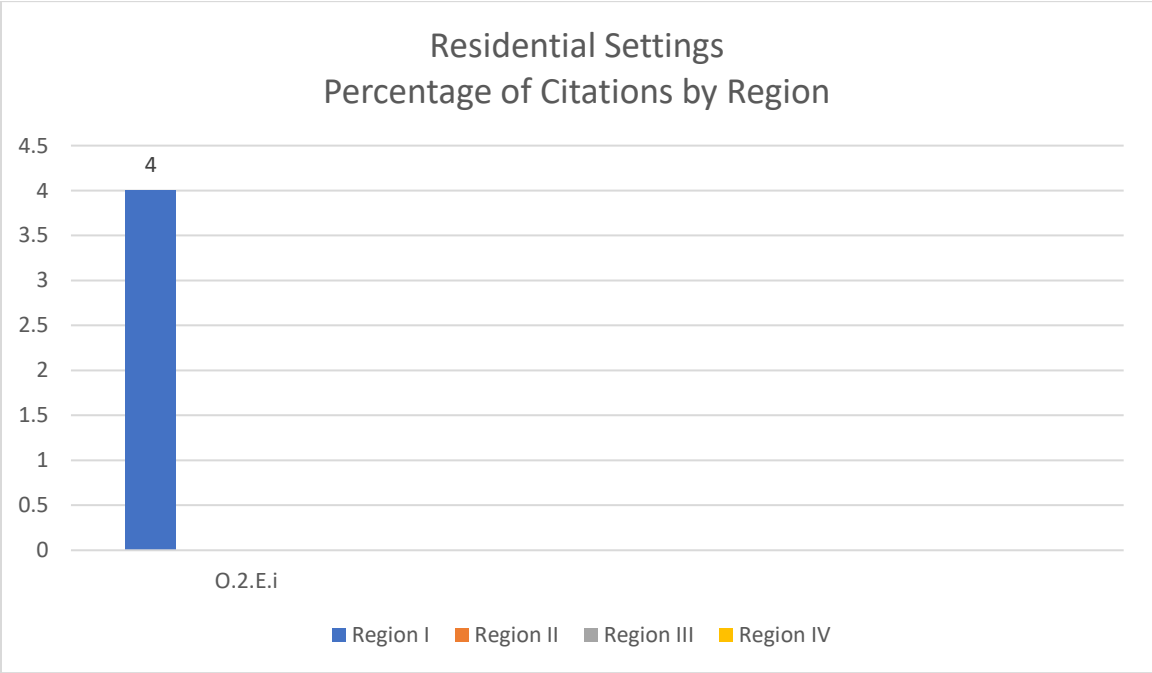
Visiting hours are posted.



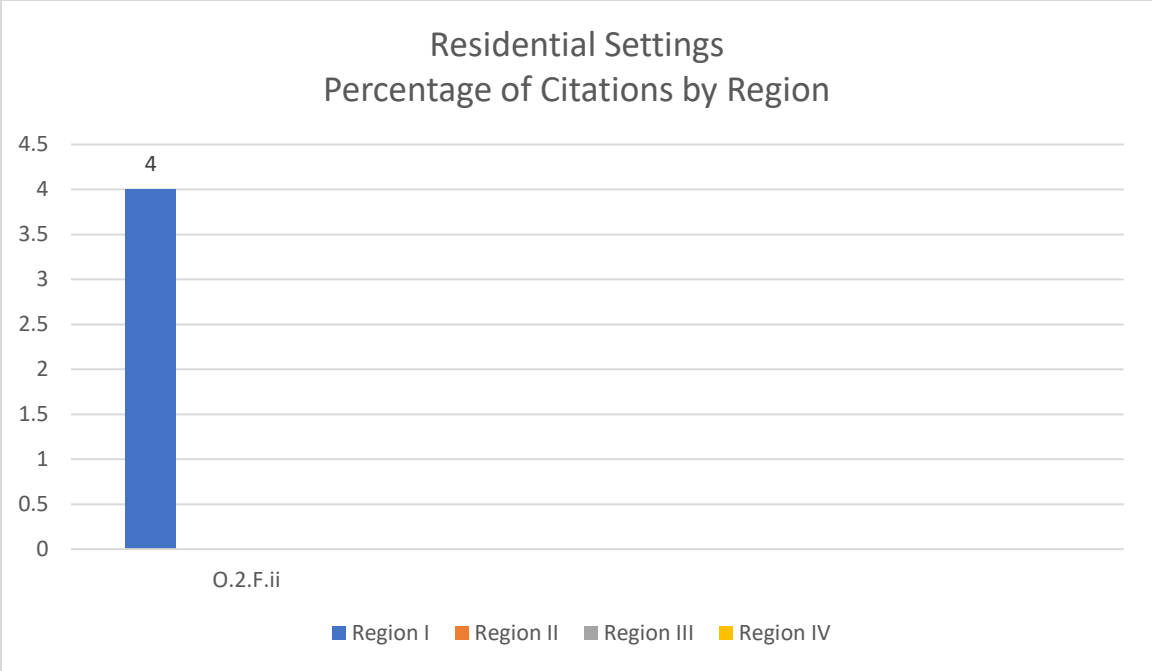
Bus and other public transportation schedules and telephone numbers are posted in a convenient location.



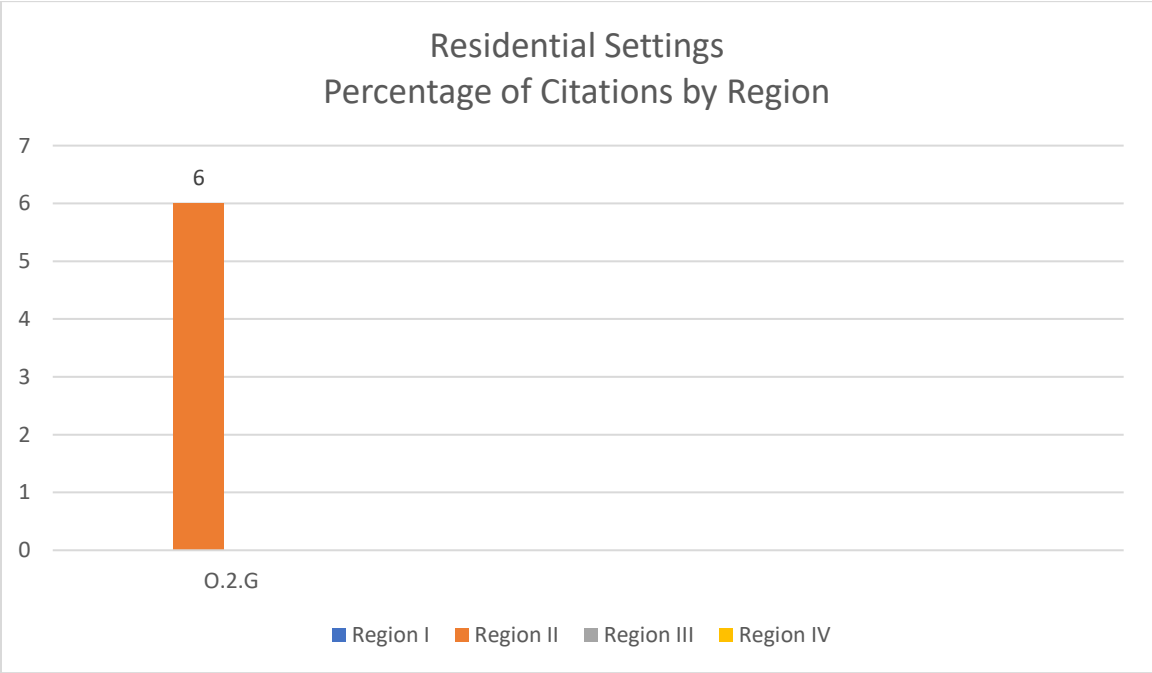
The individuals have access to materials to become aware of activities occurring outside of the setting.



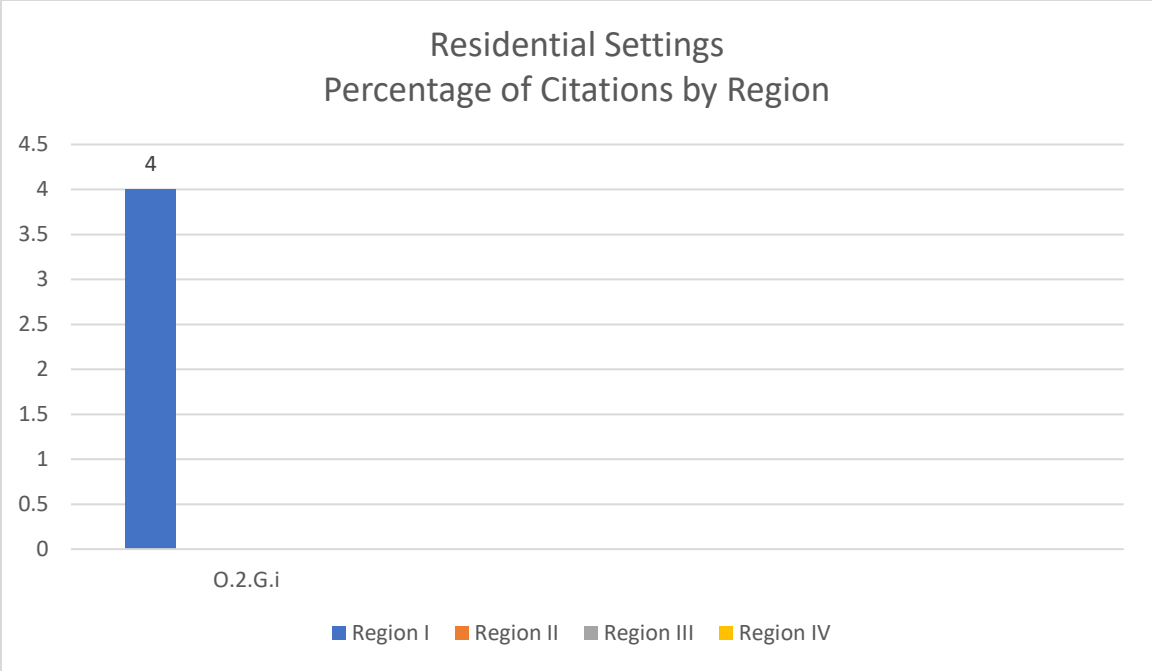
Gates, Velcro strips, locked doors, or other barriers preventing individuals' entrance to or exit from certain areas of the setting are not in evidence.



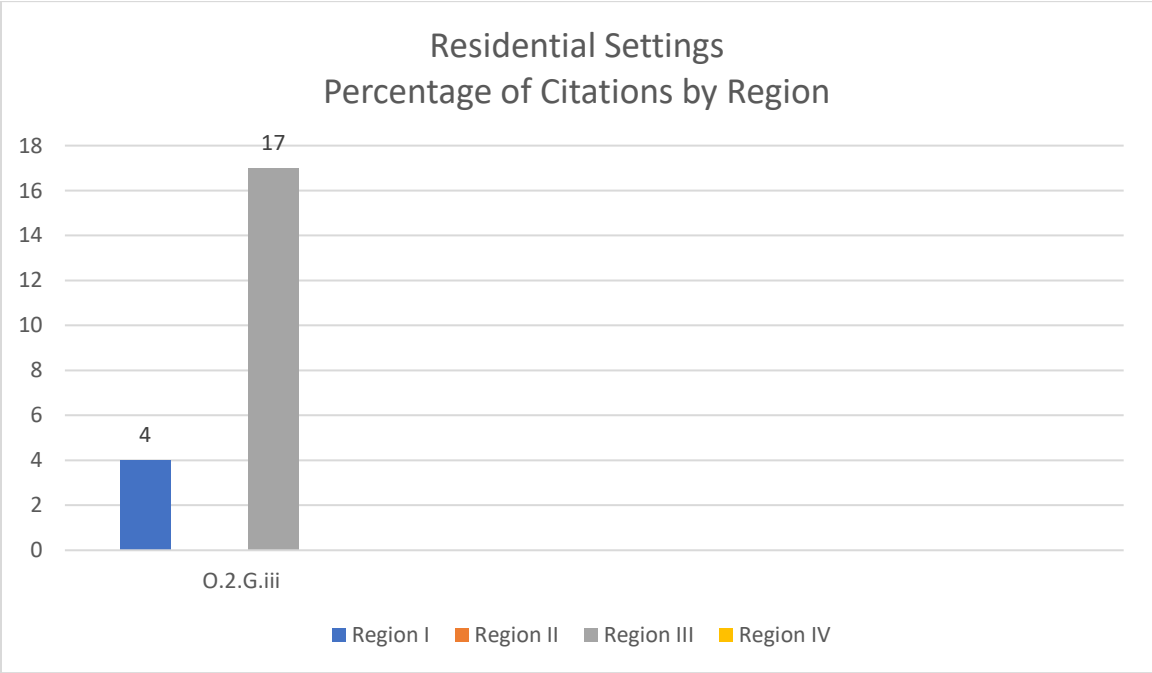
Appliances are accessible to individuals.



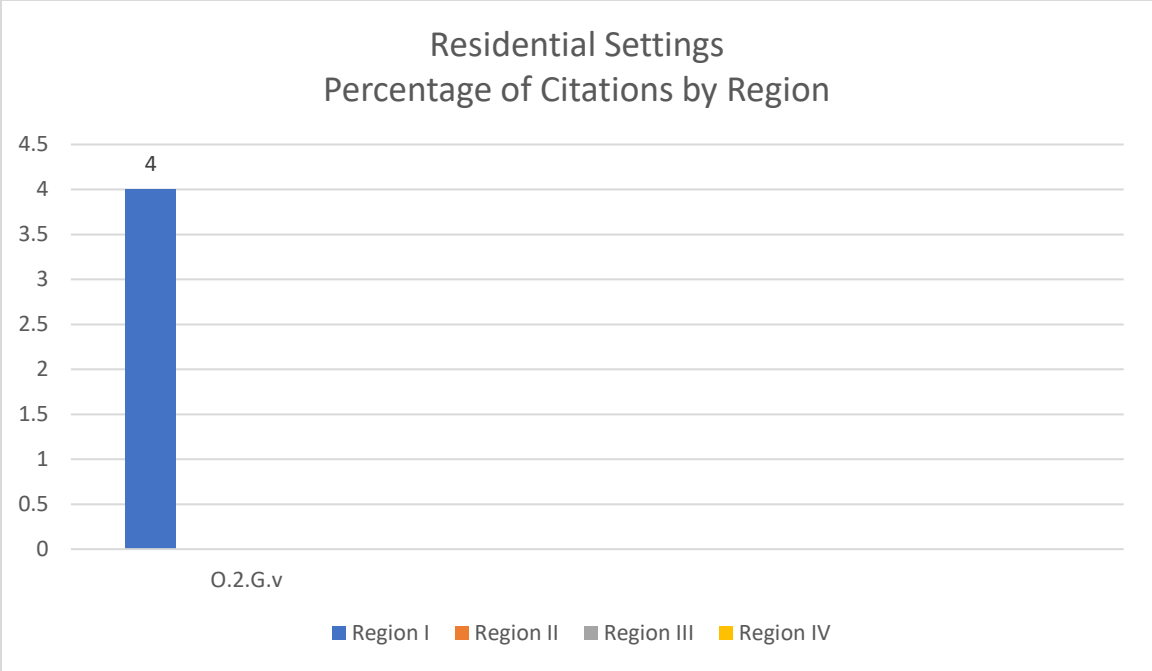
Individuals have full access to the community.



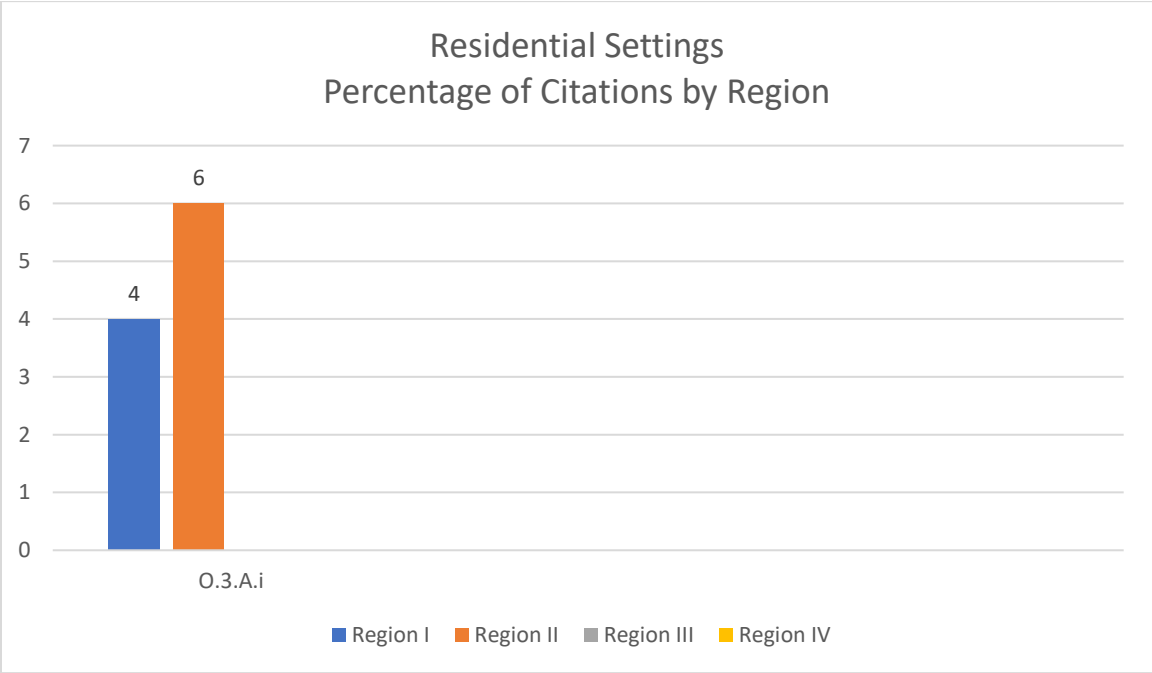
Individuals come and go at will.



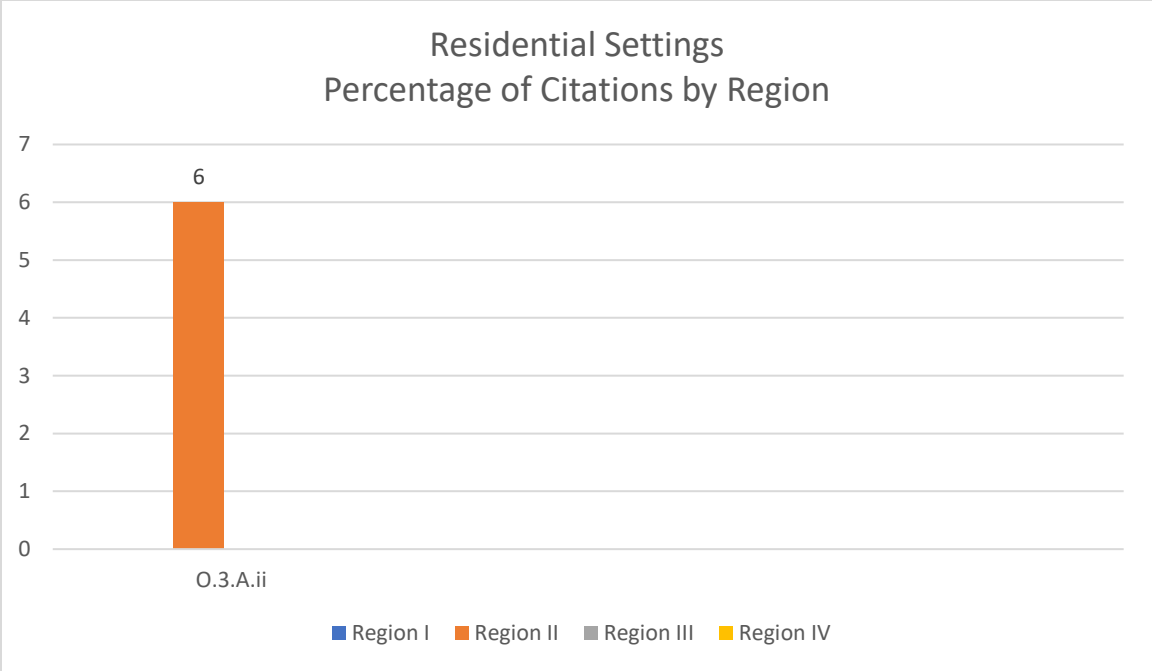
Individuals in the setting have access to public transportation.



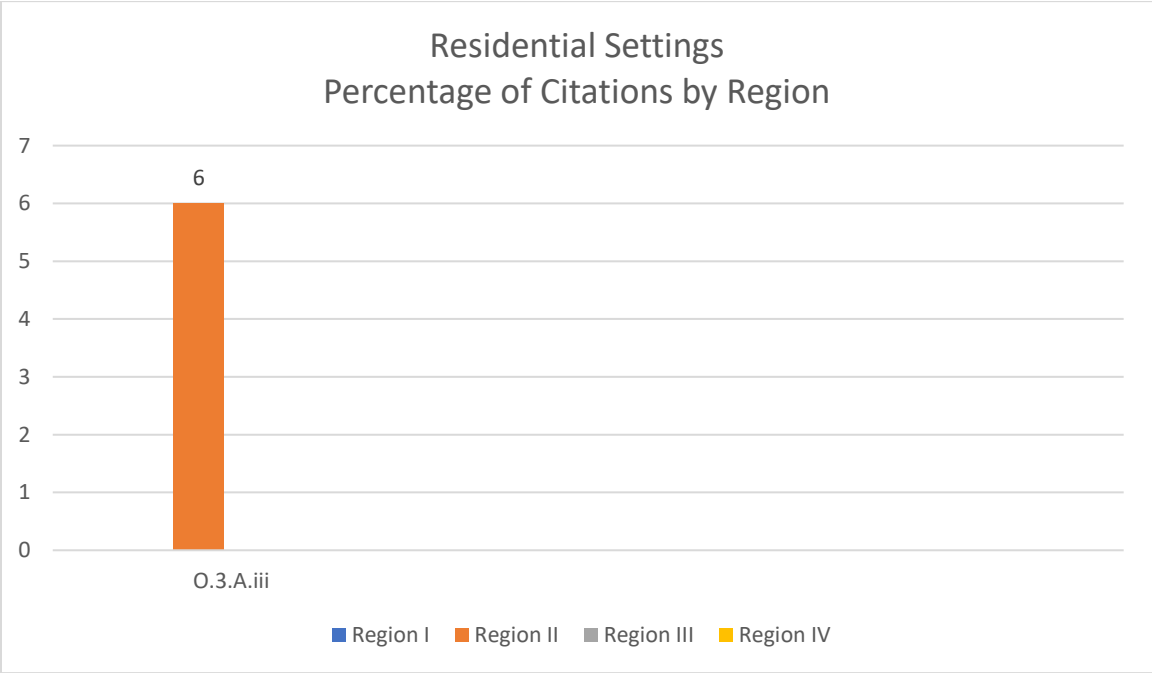
An accessible van is available to transport individuals to appointments, shopping, etc.



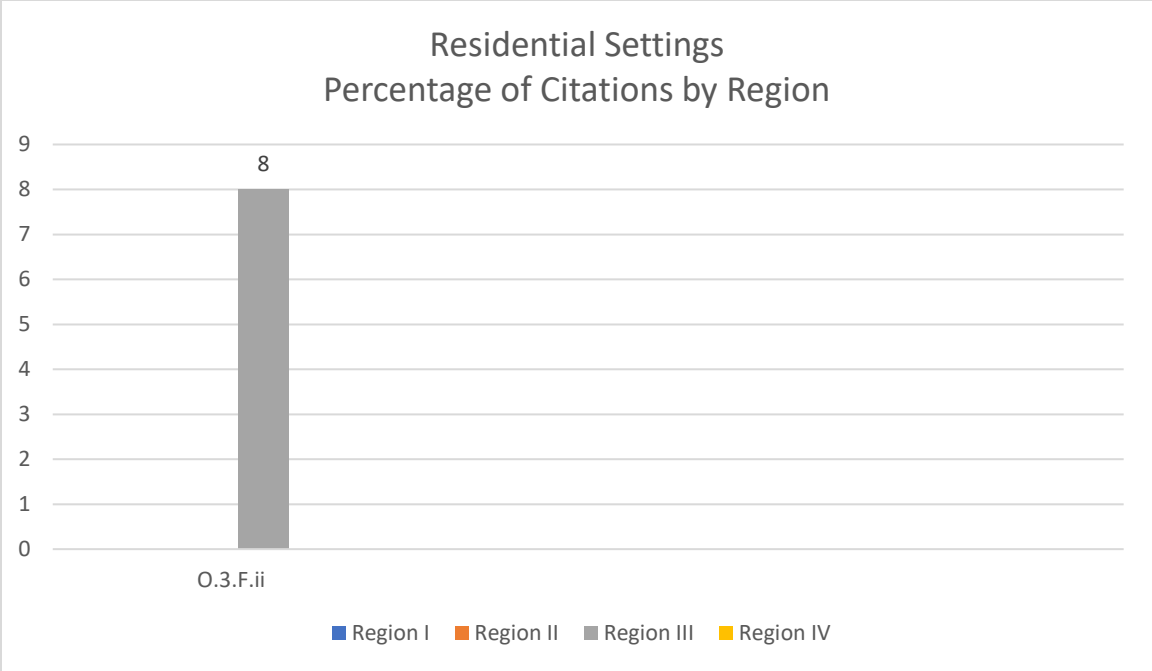
Individuals have a private cell phone, computer or other personal communication device or have access to a telephone or other technology device to use for personal communication in private at any time.



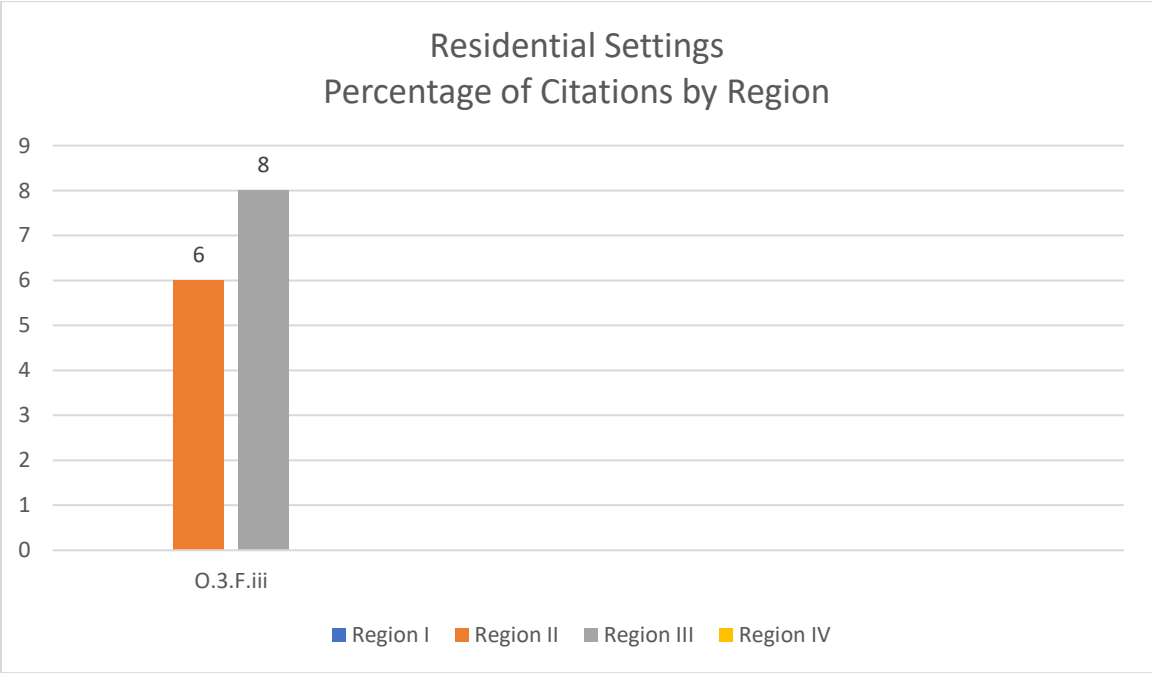
The telephone or other technology device is in a location that has space around it to ensure privacy.



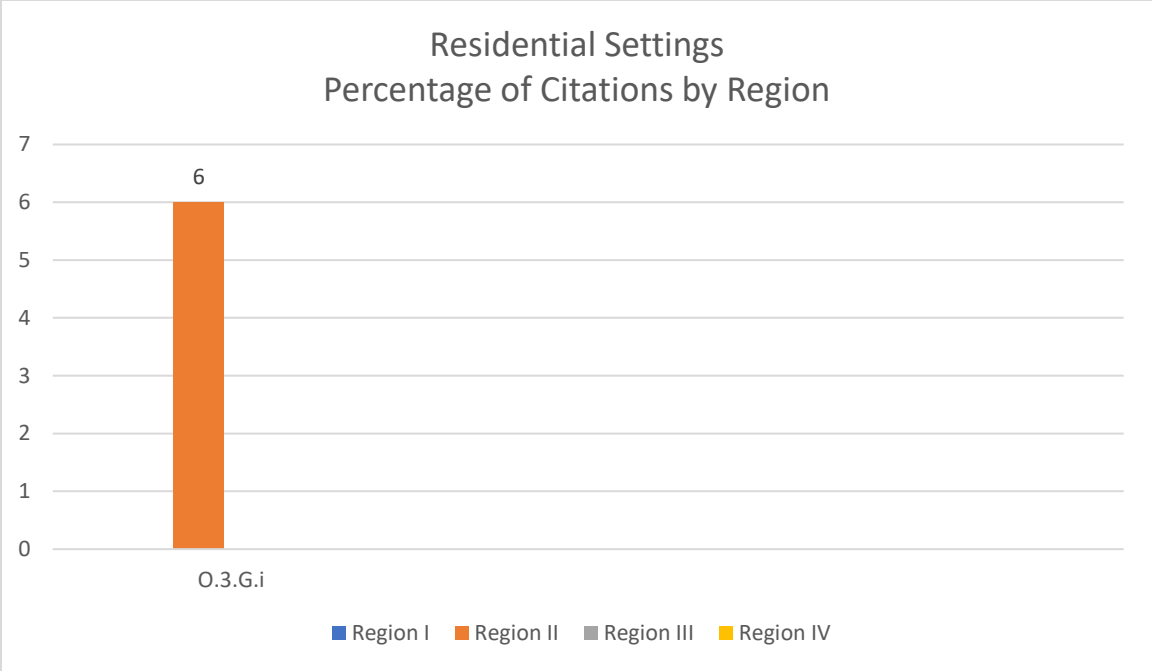
Individuals' rooms have a telephone jack, WI-FI or ETHERNET jack.



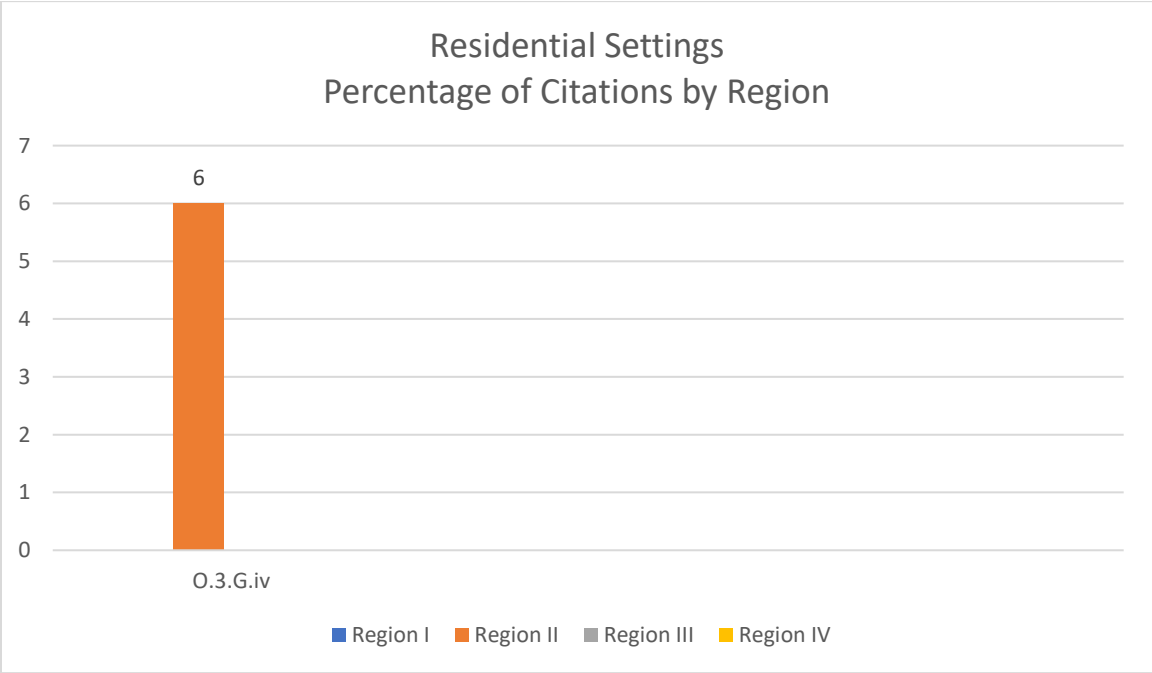
The individual can close and lock his/her bedroom door.



The individual can close and lock the bathroom door.



Cameras are present in the setting, in individual personal living spaces.



Staff only use a key to enter a personal living area or privacy space under limited circumstances agreed upon with the individual.

Appendix A

Non-RESIDENTIAL

Individuals receive HCBS in an area of the setting that is fully integrated with individuals not receiving Medicaid HCBS. O.1.E

The setting encourages visitors or other people from the greater community (aside from paid staff) to be present. There is evidence that visitors have been present at regular frequencies. (For example, customers in a pre-vocational setting).

Guidance: visitors greet/acknowledge individuals receiving services with familiarity when they encounter them; visiting hours are unrestricted; the setting otherwise encourages interaction with the public). O.1.G

The setting provides individuals with contact information, access to and training on the use of public transportation, such as buses, taxis, etc., and these public transportation schedules and telephone numbers are available in a convenient location. O.1.J

The setting options offered include non-disability-specific settings, such as competitive employment in an integrated public setting, volunteering in the community, or engaging in general non-disabled community activities such as those available at a YMCA. O.2.B

The setting offers a secure place for the individual to store personal belongings. O.3.E

There are no gates, Velcro strips, locked doors, fences or other barriers preventing individuals' entrance to or exit from certain areas of the setting. O.4.A

The setting affords a variety of meaningful non-work activities that are responsive to the goals, interests and needs of individuals.

Guidance: Does the physical environment support a variety of individual goals and needs (for example, does the setting provide indoor and outdoor gathering

spaces; does the setting provide for larger group activities as well as solitary activities; does the setting provide for stimulating as well as calming activities?)
O.4.B

The setting posts or provides information on individual rights.
O.4.E

The setting posts or provides information to individuals about how to make a request for additional HCBS, or changes to their current HCBS. O.5.A

RESIDENTIAL

Individuals on the street greet/acknowledge individuals receiving services when they encounter them. O.1.E

Visiting hours are posted. O.1.G

Bus and other public transportation schedules and telephone numbers are posted in a convenient location. O.1.H

The individuals have access to materials to become aware of activities occurring outside of the setting. O.1.I

Gates, Velcro strips, locked doors, or other barriers preventing individual's entrance to or exit from certain areas for the setting are not in evidence. O.2.E.i

Appliances are accessible to individuals. O.2.F.ii

Individuals have full access to the community. O.2.G

Individuals come and go at will. O.2.G.i

Individuals in the setting have access to public transportation. O.2.G.iii

An accessible van is available to transport individuals to appointments, shopping, etc. O.2.G.v

Individuals have a private cell phone, computer or other personal communication device or have access to a telephone or other technology device to use for personal communication in private at any time. O.3.A.i

The telephone or other technology device is in a location that has space around it to ensure privacy. O.3.A.ii

Individuals' rooms have a telephone jack, WI-FI or ETHERNET jack. O.3.A.iii

The individual can close and lock his/her bedroom door. O.3.F ii

The individual can close and lock the bathroom door. O.3.F.iii

Cameras are present in the setting, in individual personal living spaces. O.3.G.i

Staff only use a key to enter a personal living area or privacy space under limited circumstances agreed upon with the individual. O.3.G.iv