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You Know More Than You Realize!

DQI Survey Confidence Builders

NY Alliance Conference
Managing Risk & Safety: Gaining the Edge // Decisions with Confidence
July 11, 2019
Leslie Fuld, Deputy Commissioner, Division of Quality Improvement

Knowledge Builds Confidence

1. Goal of Oversight

2. Know what to expect

3. Use available information about your agency

4. Be Prepared - On-site Strategies

5. Statewide Systemic Risks

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1. Goals of Oversight

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Oversight Goals

Yes, DQI has a regulatory obligation to oversee providers and review programs and services

However

Oversight offers Opportunities

• Opportunity to engage

•Opportunity to think differently

•Opportunity to review and prioritize

•Opportunity for improvement

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* Key Opportunity *

Objective internal and external oversight that includes the review of agency services, programs, and operations is one of many tools focused on

ensuring individuals have the quality life they need and want.

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2. Know What To Expect

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2. Know What to Expect

- Learn from DQI review activities and findings

- Become familiar with DQI's tools and processes

- Use DQI reviews to learn and increase understanding

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Learn from previous review activity

Establish routine processes to review your Exit Conference Forms (ECFs), Statements of Deficiencies (SODs) and Plans of Corrective Actions (POCAs):

- *Identify systemic issues and apply solutions across all sites and programs*

- *Confirm that corrective actions have been implemented for the specific sites or services*

- *Be proactive and think systemically applying those corrections to similar situations*

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Know What to Expect:
Become familiar with DQI's tools and processes

- Review Protocol Manuals for each survey type contain the standards, questions and guidance used by survey teams.

- These manuals are published on the OPWDD Website.

DQI Review Tools | OPWDD

Know What to Expect:
Become familiar with DQI's tools and processes

➢www.opwdd.ny.gov

  ➢Providers & Staff

   ➢Improving Provider Quality

    ➢Provider Stability and Performance

     ➢DQI Review Tools

Know What to Expect:
Become familiar with DQI's tools and processes

Know What to Expect:
Ask questions to increase understanding

- Observe and ask questions about the survey process to survey team and/or Area Director;

- Be sure you understand survey findings:
  - Ask questions at the Exit Conference as needed

- Additional questions about requirements and oversight can be emailed to quality@opwdd.ny.gov

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Use available information about your agency

Use Information about Agency Successes & Opportunities for Improvement

- Internal information sources, e.g.
  - Self-Assessment Findings
  - Personal outcome assessments (e.g. CQL POMs, other)
  - Other required internal reports, e.g.
    - summary reports to BOD;
    - internal Quality Improvement (QI) measures;
    - audit trends (internal, external);
    - complaint and satisfaction survey summaries/analysis

- Required reports: e.g. Incident Trend Reports, Reports to MCOs (anticipated)

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Self-Assessment

- Develop effective strategies for self- assessment of agency provided services to facilitate compliance and quality

- Regularly use internal processes to:
  - identify strengths and areas for improvement
  - prioritize key targets and strategies for quality improvement
  - align organization-wide initiatives

- Quality Improvement Plan Toolkits available on the OPWDD website include a Self-Evaluation Checklist for agency CQI activities

  https://opwdd.ny.gov/dqi/provider-quality/provider-stability/ensuring-quality

Additional Basic Self-Assessment Tools

Use Information Effectively

Analyze the information gathered to determine the agency's issues. Consider, for example:

- Have problems persisted across time and across sites? Are there consistent or repeat deficiencies?

- Are there incident trends; Common contributing factors?

- Are individuals satisfied with the services? Are advocates/family? Do they have opportunities for input into agency decisions? Is it sufficient?

Use Your Information Effectively

- Identify and Prioritize what to address
  - Investigations lack detailed interviews;
  - Individual / advocate concerns about DSP turnover have increased in the last 6 months;
  - Teams lack cohesiveness in planning and implementing objectives.

- Quality Improvement Actions
  - Revise training programs to include team building exercises
  - Include stakeholders in hiring decisions; Conduct "town halls" to solicit input;
  - Act locally think globally.

- Review effectiveness
  - Conduct multiple assessments of QI actions to determine if they've been effective – short-term & long-term;
  - Conduct self-assessments at regular intervals.

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Access Resources to Assist

- Resources to accomplish change: determine what is available to you
  - Benefit from provider associations and affiliations
  - Share successful practices among agencies and colleagues
  - Contract consultants specializing in the problem areas
  - Review internal training programs;
  - OPWDD Resources / SLMS

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4. Be Prepared – On-Site Strategies

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Be Prepared for
External Oversight Activities

- Train survey savvy DSPs
  - Use internal review activities to acclimate DSP staff to the activities, questions and presence of non-routine others;
  - Ensure staff is aware of what information may be requested and where it is located
  - Verify staff understand individuals' services and supports

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When DQI is On-Site

Instill confidence your DSP staff:

1) Remind staff of their training;

2) Be judicious regarding staff on location or "in room";

3) Ensure ready availability of clinical staff;

4) Provide requested information in a timely manner;

5) Be forthright

6) Ask questions

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Be Prepared for
External Oversight Activities

- Help individuals to understand what occurs, why and what may happen;

- Know your vulnerabilities based on your "information"
  - Verify known problems/issues were addressed, including systemic and operationalized approaches
  - Be ready with evidence of implementation, especially when not fully implemented/completed

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Be Prepared for External Oversight Activities

- Verify that information that will be requested is organized and easily retrievable:
  - Ensure responsible staff have the proper codes, keys, and clearances to access the most likely information to be requested
  - Ensure staff understand DQI staff are authorized to information about individuals and operations
  - Ensure staff understand that DQI staff must not have unsupervised access to medication and money
- If a POCA was required for prior review, have information demonstrating implementation readily accessible
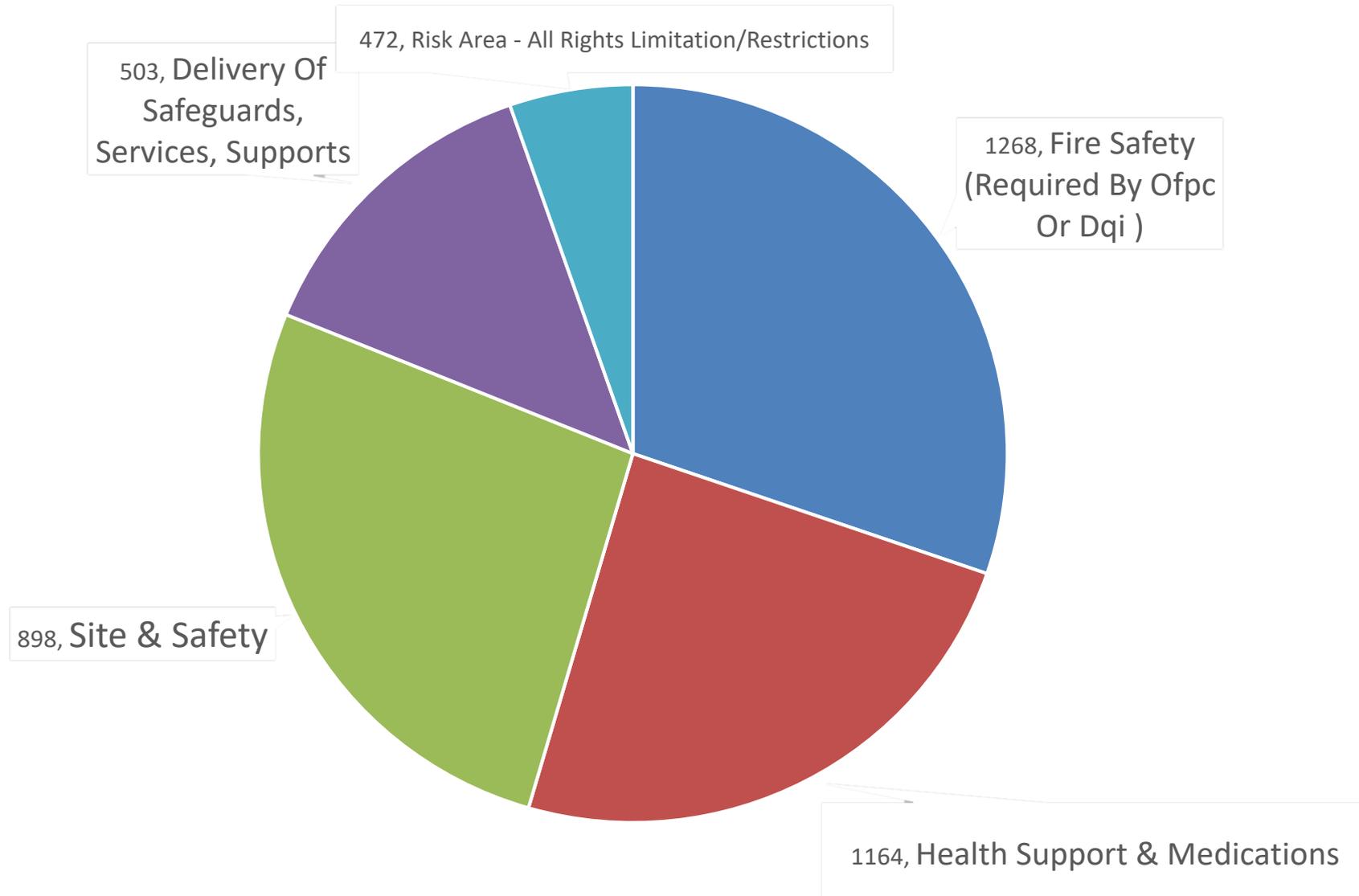
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5. Statewide Systemic Risks

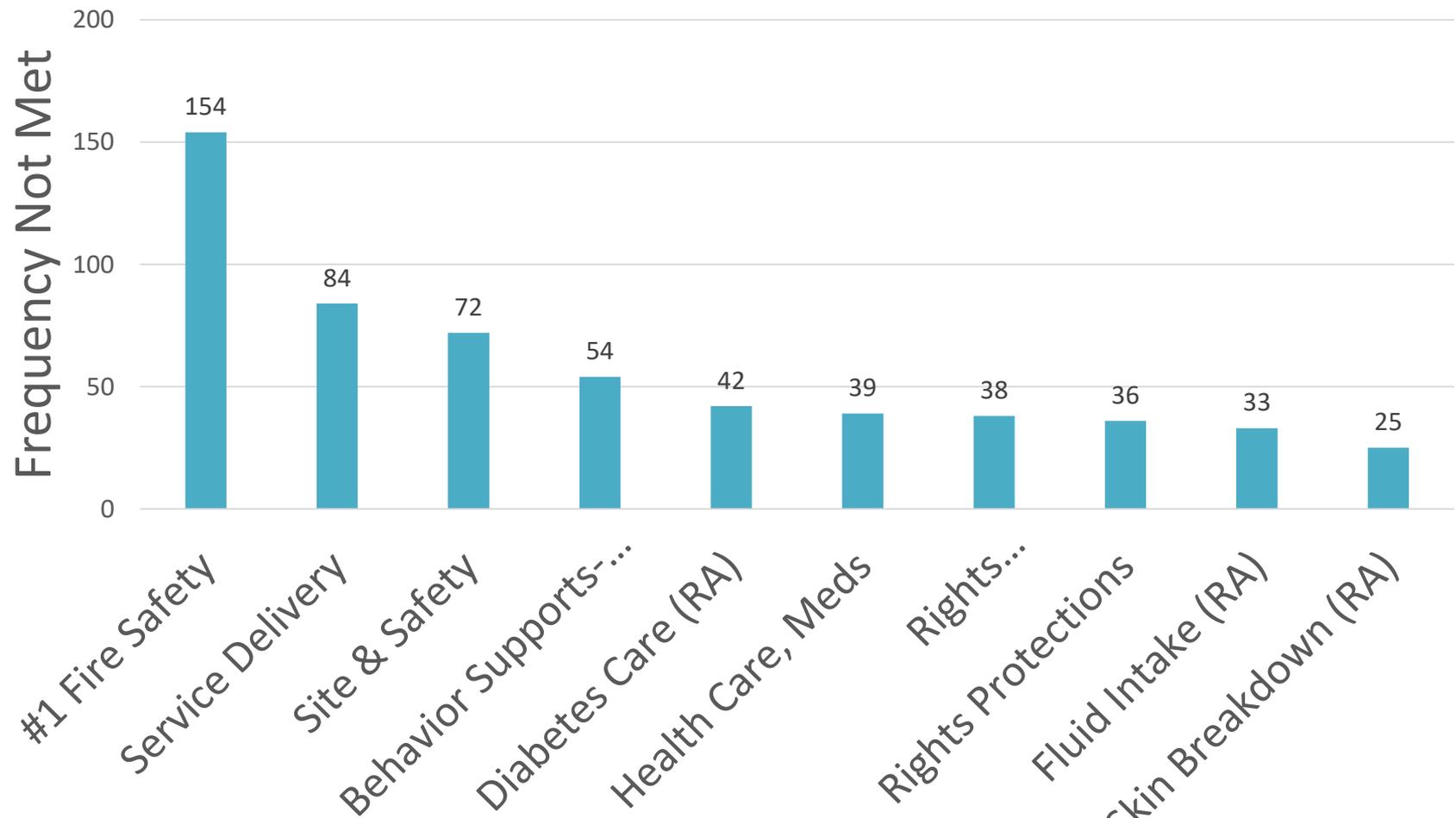# **Systemic Risks: Protocol Findings**

Top 5 Site Review Compliance Risks Areas (Calculated Based On 4759 Total Sites Surveyed)

472, Risk Area - All Rights Limitation/Restrictions

503, Delivery Of Safeguards, Services, Supports

1268, Fire Safety (Required By Ofpc Or Dqi)

898, Site & Safety

1164, Health Support & Medications

Systemic Compliance Risks:
Day Hab Sites-Top 10 Total Citations

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Systemic Compliance Risks:
Day Hab Sites- Top 10 *Percentage* Citations

Day Hab- Rank Perspective

Highest # of Citations	Highest % age per review
1. Fire Safety	1. Skin Breakdown
2. Service Delivery	2. Fluid Intake
3. Site & Safety	3. Mechanical Restraints
4. Behavior Supports	4. Diabetes Care
5. Diabetes Care	5. Physical Interventions
6. Health Care, Meds	6. Rights Limitations
7. Rights Limitations	7. Behavior Supports
8. Rights Protections	8. Oxygen Use
9. Fluid Intake	9. Service Delivery
10. Skin Breakdown	10. Fire Safety

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Systemic Compliance Risks:
Residential Sites-Top 9 Total Citations
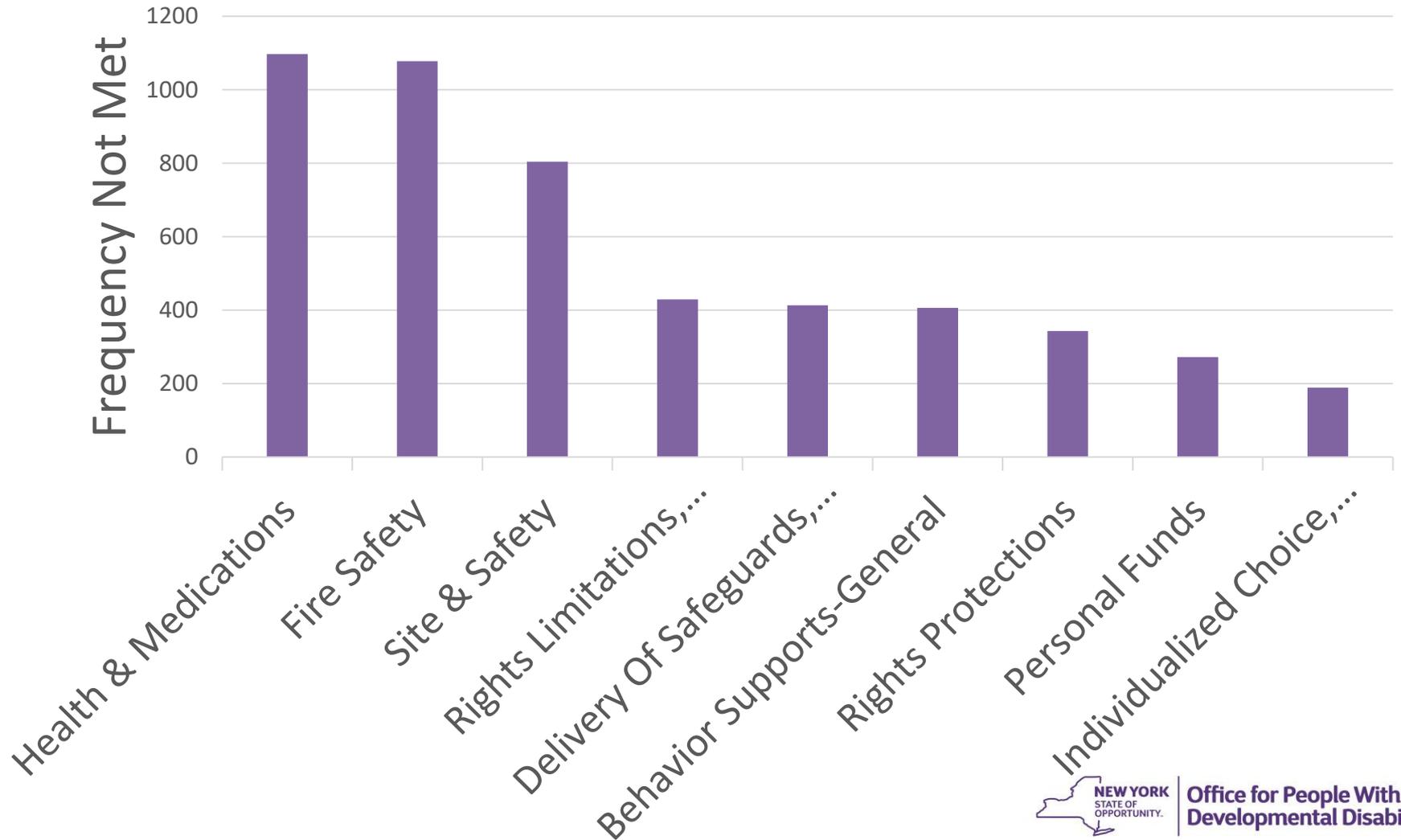
Systemic Compliance Risks:
Residential Sites- Top 10 *Percentage* Citations
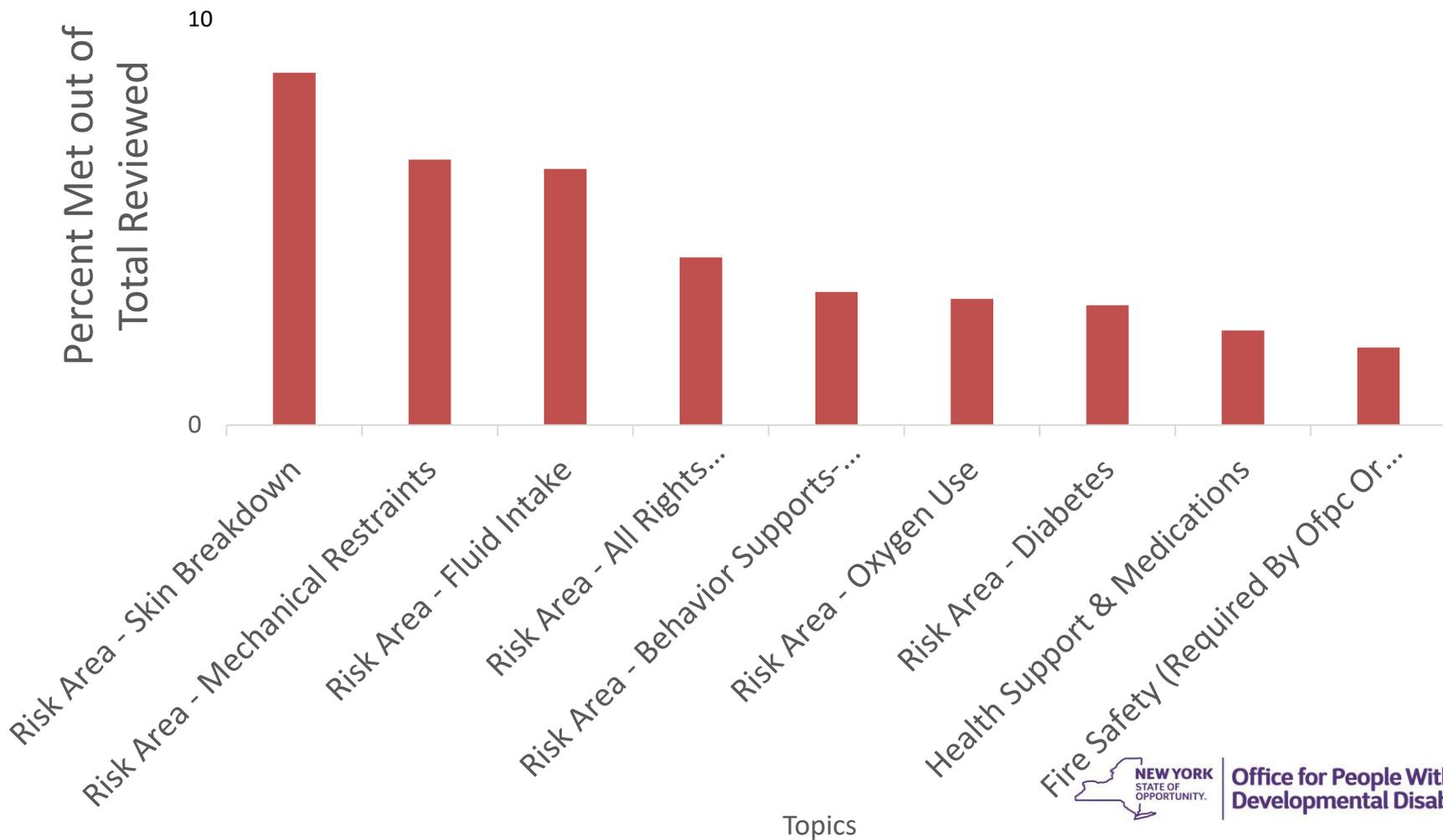
Residential Sites-Rank Perspective

Highest # of Citations	Highest %age per Review
1. Health Care, Meds	1. Skin Breakdown
2. Fire Safety	2. Mechanical Restraints
3. Site & Safety	3. Fluid Intake
4. Rights Limitations, Restrictions	4. Rights Limitations, Restrictions
5. Delivery of Safeguards	5. Behavior Supports, General
6. Behavior Supports	6. Oxygen Use
7. Rights Protections	7. Diabetes
8. Personal Funds	8. Health Care, Meds
9. Individual Choice, Autonomy, Satisfaction	9. Fire Safety

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Site Review Trend Take-Aways

Providers should to be attentive to:

➢ Service delivery of services related to health care:
- Deficiency rates and frequency are highest in this area, even when broken out to specific components:
  - o Medication Administration
  - o Health Care: Professional Care, On-Site Care
  - o Specialized Care:
    - Skin Integrity/Wound Care
    - Fluid Intake Needs
    - Oxygen Administration
    - Diabetes Care

➢ Service delivery related to Behavior Supports & HCBS

➢ Rights protections re: limitations/restrictions (behavior supports or HCBS)

➢ Delivery of supports and safeguards

➢ Fire Safety continues to require consistent attention

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Top 6 Person Centered Review Compliance Risks

HCBS Waiver Supported Employment

Physical Interventions

Health Services & Supports - Day & Temporary Services

Rights Limitations Other Than Behavior Support

Right Limitations, Restrictions, & Intrusive Interventions

Mechanical Restraining Devices

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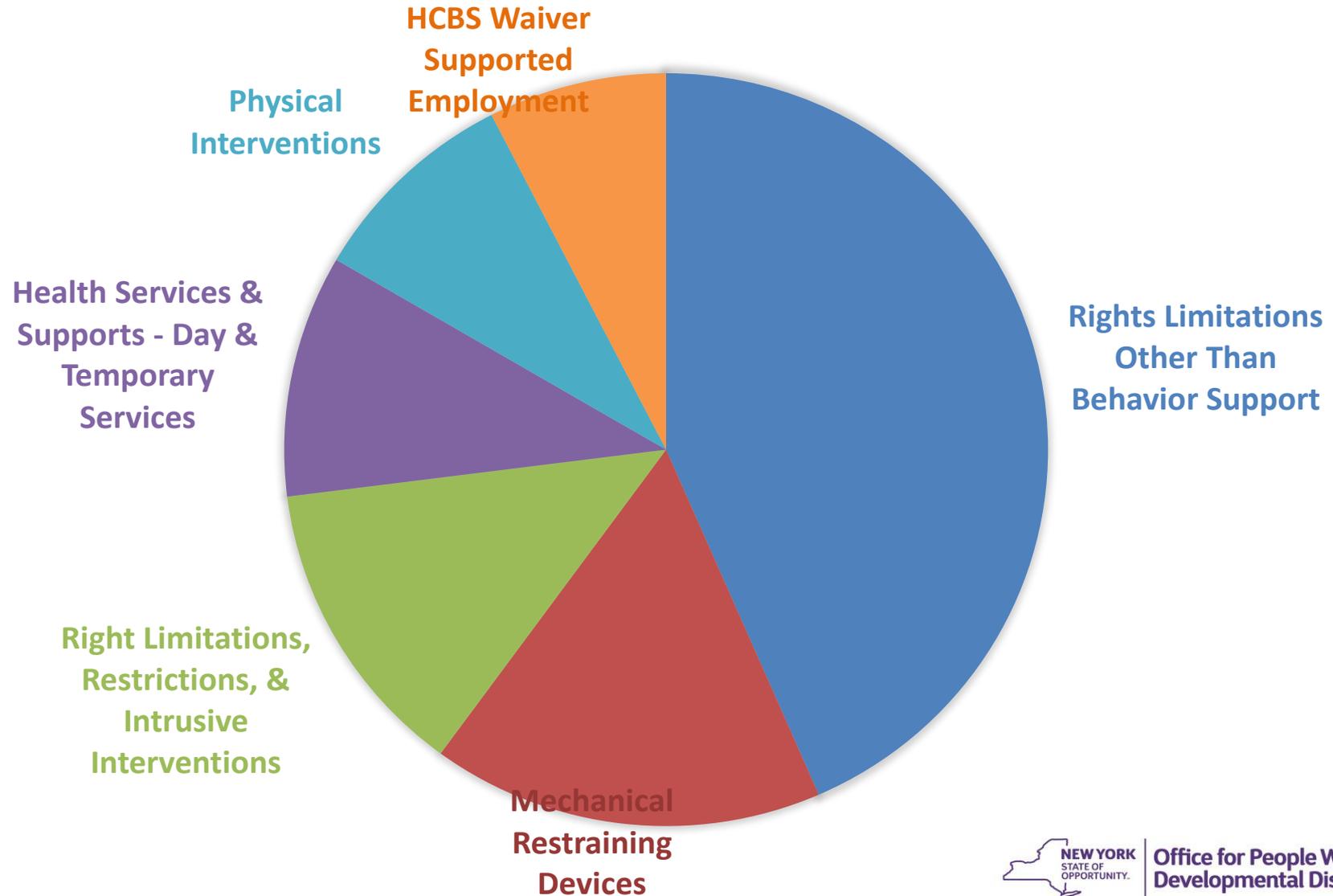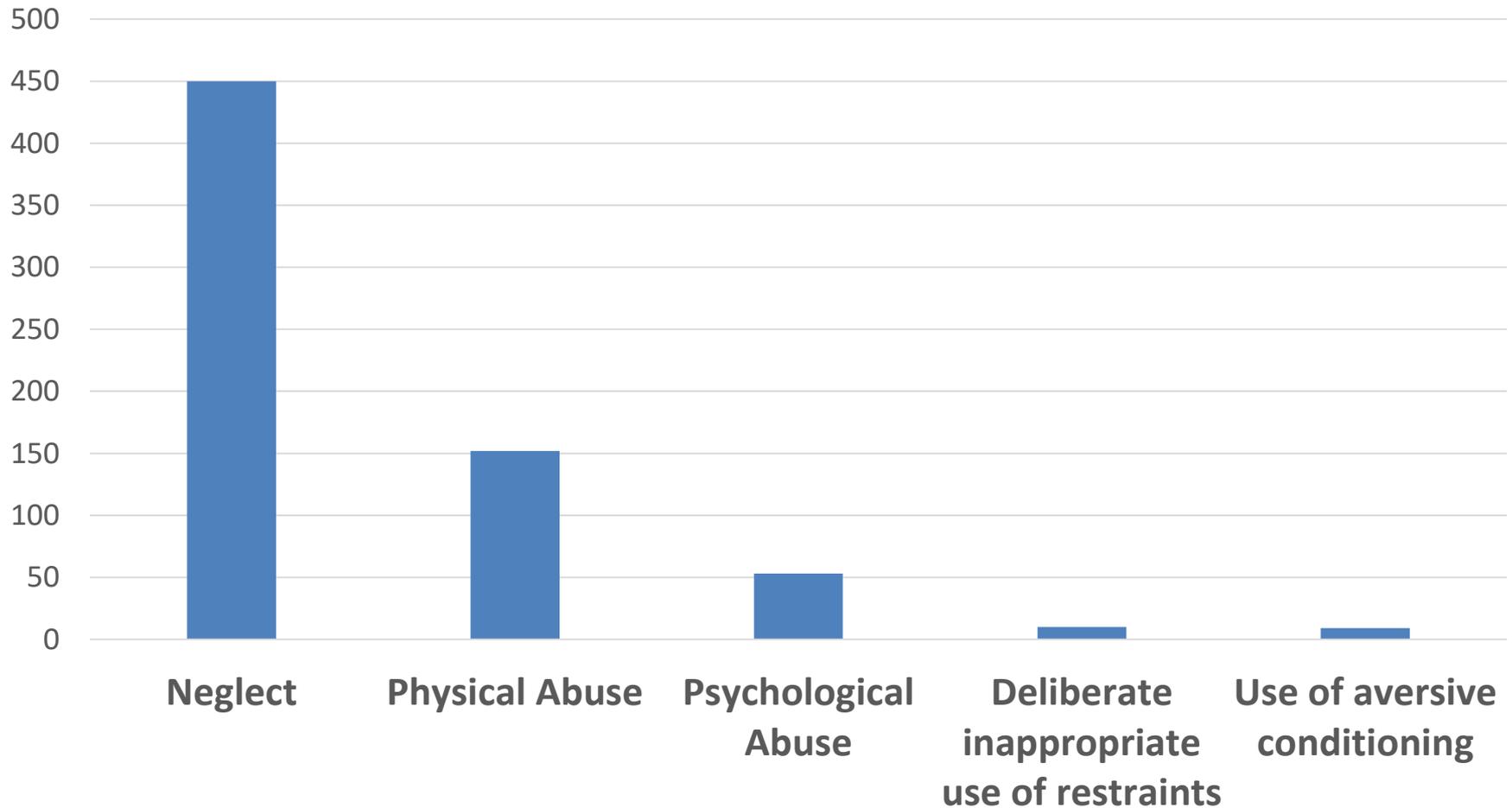
Systemic Risks Incident Trends

Top 6 Reportable Significant Incidents with Staff Action/Inaction as Contributing Factor
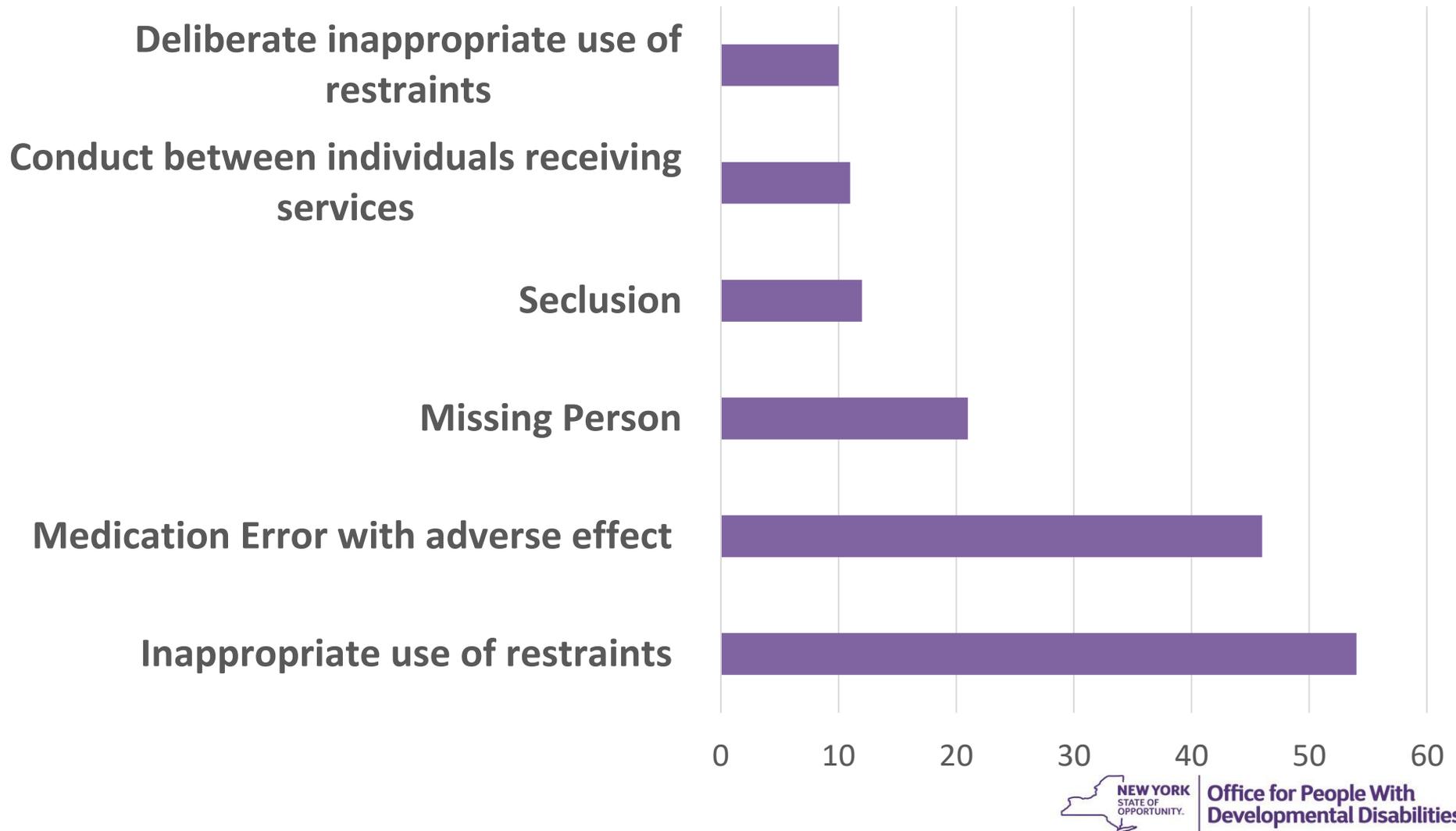
Top 5 Reportable Abuse/Neglect Incidents with Action/Inaction of Staff as Contributing Factor

Conclusions

- Analyze your systems for strengths and weaknesses;

- Use your analysis to target your resources and corrective actions

- Think systemically

- Regularly review your operations and identify areas needing improvement

- Use your available tools

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Questions?