



---

## **Quality Assurance Plan**

### **POLICY**

Inspire Case Management shall develop, implement, maintain, and evaluate a performance improvement quality assessment plan to measure, access, and improve the performance of the company and other processes as needed. This plan will reflect the complexity of Inspire Case Management and its services, including those services provided directly or under arrangement. The plan will be designed to use objective measures to improve individuals' outcomes and perceptions of individuals/families about the quality and value of services.

### **PURPOSE**

Inspire Case Management is committed to the delivery of case management services in an environment characterized by strict conformance with the highest standards of accountability. Inspire strives to provide services with quality by being committed to the prevention and detection of fraud, waste, abuse, fiscal mismanagement, and misappropriation of funds. Inspire Case Management has multi-level approach to providing and monitoring quality assurance and the detection of systemic issues. Inspire Case Management uses the following principles to help monitor quality control and quality assurance.

- Provides Person Centered approach training and supports to Case Managers.
  - o Clearly identify Case Manager requirements and ensure quality.
  - o Identify and provide resources to Case Managers beyond just Waiver Services.
  - o Research and provide new resources and services that specifically meet the needs of the individuals served and their geographical location.
- Ensures objective and transparent quality assurance.
  - o System in place that enables a prompt response to a specific, limited situation(s).
  - o Discussed with entire management team to improve service quality in all geographies of the state.
  - o Give priority to compliance with laws and regulations over the pursuit of any profit.
- Put in place a framework that allows for consistent delivery of quality case management services to individuals served.
  - o Ensure quality assurance through ongoing Quality Audits completed with all Inspire staff.
  - o Adhere strictly to this Quality Assurance Plan, 1915 (c) Waiver Service Definition, any applicable FSSA/BDDS/DDRS/BDDS service standards, guidelines, policies and/or manuals, including written agreements and the FSSA/DDRS HCBS Waivers Provider Reference Module.
- Create a more open corporate culture.
  - o Shared responsibility amongst the entire management team is absolutely necessary for the ongoing improvement of systemic culture of quality.



- Adhere strictly to a policy of “report, contact, and consult;” to promote the sharing of information statewide.
- Undertake the exchange and horizontal deployment of quality assurance information and techniques statewide.

## **DATA DRIVEN APPROACH TO IDENTIFYING TRENDS AND DECISION MAKING**

Inspire Case Management uses a data-driven approach to decision making and ensuring sufficient statewide coverage of individual's served. In order to maintain an average caseload size for our Case Managers, Inspire utilizes Intake Coordinator Case Managers who are paid salary vs per case/per month. This allows their caseloads to fluctuate without any financial burden or concerns and allows for greater influence on quality service delivery. Inspire Case Management has strategically chosen these Coordinators based on their geographical areas they currently reside in. This allows for greater access to resources and a better understanding of the economic factors for that individual to gain services and supports in their areas. As these Intake Coordinators develop and grow the start of a full-time caseload (typically around 25 -30 cases in a specific area), Inspire will recruit and hire in those identified needed areas. Inspire Case Management never “assigns” cases and believes when an Individual is paired with a Case Manager, that this is a mutually agreed upon arrangement. Inspire believes in offering both choice of Case Manager and also Case Manager choice to serve individuals. It is important for individuals served and their families, to feel comfortable, supported and that their Case Manager is there to listen to their wants, needs and struggles. Inspire recognizes that Case Managers often build bonds with the individuals they serve and their families. Interview process allowing for consumers and families to interview and choose the CM that they can build a report with. Giving the consumers and families the knowledge and understanding that they are able to choose a new CM within the organization or to receive a picklist for another CMCO agency.

Inspire currently (and for statewide coverage) has designated specific quality case managers (Intake Coordinators) that have a minimum 10 years experience working in the field, are geographically located in each quadrant of the state and currently 66% of Inspire's Intake Coordinators also have children of their own who are currently receiving services through the waiver program. We feel that our Intake Coordinators not only have the professional experience but also the personal, firsthand experience pf being parents of children on waiver services. This has been found to be extremely valuable to individuals and families new to waiver services.

## **EMPLOYEE QUALIFICATIONS**

Inspire Case Managers are dedicated to being an advocate and fundamental resource to creating the most independent life for the individuals we serve. Inspire Case Management will provide quality case management to the Medicaid waiver for the Family Support and Community Integration waiver. Inspire Case Management will provide advocacy, annual planning, continued level of support, and a strong resource for individuals served. Inspire Case Management will strive to uphold the highest ethical standards of case management practice, address legislative and regulatory issues as they pertain to the effective and efficient delivery of quality services, to maintain the integrity of Case Management values in the implementation of new



funding sources, through offering guidance to administrators and government agencies in the formulation of standards and practices, and to enhance and reinforce the practice of Case Management services which are based on a common perspective, functions skills and knowledge base. Inspire will provide these quality services through the use of Life Course Framework key principles of Focusing on All People, Recognizing the Person Within the Context of Their Family, Trajectory of Life Experiences Across the Lifespan, Achieving Life Outcomes, Holistic Focus Across Life Domains, Supporting the Three Buckets of Need, Integrated Services and Supports Across the Life Course, and Transformational Policy and Systems Change.

Inspire Case Management focuses on being a resource to individuals and families with intellectual and developmental disabilities. When identifying key staff that not only can fulfill Inspire's mission, we are also looking for eligible Case Managers who also bring their own expertise in the field and can also be a resource to other Case Managers/coworkers. All Inspire Case Managers have previous experience in the field, serving similar clients. Inspire feels that this has provided us a solid foundation to be able to provide support to all individuals served through the FSW and CIH waivers. We pride ourselves on being able to provide our Case Managers an environment where they always have access to supports and resources for most any situation an individual is facing. Inspire's management team is not only monitoring quality of work but also helping facilitate, research and explore additional needed supports both through waiver services as well as through community outreach and natural supports building.

460 IAC 6-15-2 Maintenance of personnel files. Authority: IC 12-9-2-3; IC 12-11-1.1-9; IC 12-11-2.1-12 Affected: IC 12-11-1.1; IC 12-11-2.1

- A negative tuberculosis screening prior to providing services and updated in accordance with recommendations of Centers for Disease Control.
- Cardiopulmonary resuscitation certification and recertification, updated every two (2) years, for each employee or agent who works with individuals.
- Auto insurance information, updated when it is due to expire, if the employee or agent will be transporting an individual in the employee's or agent's personal vehicle.
- Limited criminal history information that meets the requirements of 460 IAC 6-10-5 with the information updated at least every three (3) years.
- Case Management Certification
- A copy of the employee's or agent's driver's license, updated when the driver's license is due to expire.
- Record of Case Manager's 20 hours of annually required training.
- Have a bachelor's degree, be a registered nurse licensed under IC 25-23-1, or be employed by the state in a PAT III position.
- Meet the experience requirements for a qualified intellectual disability professional in 42 CFR 483.430(a).



## EMPLOYEE TRAINING REQUIREMENTS

Inspire Case Management provides a comprehensive and competency-based training curriculum developed to ensure a consistently high standard of quality service that is also in alignment with the State's 1915c Waiver Service Definition and FSSA/DDRS/BDDS/BQIS service standards, guidelines, policies and/or manuals.

<b><u>INSPIRE CASE MANAGEMENT ANNUAL TRAINING CURRICULUM</u></b>				
<b><u>Training Title</u></b>	<b><u>To Whom</u></b>	<b><u>Upon Hire</u></b>	<b><u>Annually</u></b>	<b><u>Delivery Method</u></b>
<b>LEADERSHIP</b>				
Education on Ethical Codes of Conduct	Personnel/Stakeholders	x	x	In-Person
Training on Corporate Compliance	Personnel	x	x	In-Person
Education to stay current in the field	Personnel	x	x	In-Person
All BDDS/CMCO Leadership /Meetings and Webinars	Appropriate Personnel		x	Combination
SCORE Webinars/Trainings	Appropriate Personnel		x	Combination
<b>FINANCIAL PLANNING AND MANAGEMENT</b>				
Training related to fiscal policies and written procedures	Appropriate personnel	x	x	In-Person
<b>HEALTH AND SAFETY</b>				
Training in health and safety practices	Personnel	x	x	
Training in identification of unsafe environmental factors	Personnel	x	x	In-Person
Training in Emergency Procedures	Personnel	x	x	In-Person
Training in identification of critical incidents	Personnel	x	x	In-Person
Training in reporting critical incidents	Personnel	x	x	In-Person
Training in reducing physical risks	Personnel	x	x	In-Person
Training regarding workplace violence	Personnel	x	x	In-Person
Necessary education and training of personnel regarding emergency procedures	Personnel	x		In-Person
Necessary education and training of personnel regarding critical incidents	Personnel	x		In-Person
Training regarding infections and communicable diseases	Personnel, persons served, stakeholders	x		Combination
<b>WORKFORCE DEVELOPMENT AND MANAGEMENT</b>				
On the job training included in onboarding and engagement activities	Personnel	x		in-person
Education and training included in workforce development activities	Personnel	x		in-person
All BDDS required Webinars for Case Managers	Personnel	x	x	Combination



<b>1.J. TECHNOLOGY</b>				
Training in equipment features, set up, use, maintenance, safety considerations, infection control and troubleshooting	Personnel	x		in-person
Instruction and training in equipment features, set up, use, maintenance, safety considerations, infection control, and troubleshooting	Persons served, families/support systems and others.	x		Combination
<b>All required SAP Success Factors Trainings (BDDS required)</b>	Personnel	x	x	
BDDS Portal Training 1: Navigating the Portal	Personnel	x		On demand
BDDS Portal Training 2: Dashboard	Personnel	x		On demand
BDDS Portal Training 3: Basic Information & Diagnosis	Personnel	x		On demand
BDDS Portal Training 4: Living Arrangements	Personnel	x		On demand
BDDS Portal Training 5: Relationships	Personnel	x		On demand
BDDS Portal Training 6: Profile: Waiver, Medicaid and Audit	Personnel	x		On demand
BDDS Portal Training 7: Case Notes	Personnel	x		On demand
BDDS Portal Training 8: Transitions	Personnel	x		On demand
BDDS Portal Training 9: Onboarding - CMCO	Personnel	x		On demand
BDDS Portal Training 10: Document Library	Personnel	x		On demand
BDDS Portal Training 11: PCISP	Personnel	x		On demand
<b>QUALITY INDIVIDUALIZED SERVICES &amp; SUPPORTS</b>				
Training in use of positive interventions	Personnel	x	x	in-person
Training in the use of restrictive procedures	Personnel	x	x	in-person
<b>IU CANVAS (BDDS REQUIRED)</b>				
Empowering and Supporting Self-Advocates in Person-Centered Planning	Personnel	x	x	On demand
Developing Natural Supports	Personnel	x	x	On demand
Incident Reporting Process	Personnel	x	x	On demand
Generating Conversations	Personnel	x	x	On demand
Cultural & Linguistic Competence in Developmental Disabilities	Personnel	x	x	On demand
Facilitation 101	Personnel	x	x	On demand
Abuse, Neglect, & Exploitation	Personnel	x	x	On demand
Running Effective Meetings	Personnel	x	x	On demand
Working with Individuals who are Non-Verbal	Personnel	x	x	On demand
Critical Event Process	Personnel	x	x	On demand
Building Relationships through Face-to-Face Visits	Personnel	x	x	On demand
BMR & BRQ Processes	Personnel	x	x	On demand
Human Rights	Personnel	x	x	On demand



<b>PCISP</b>				
What are Integrated Supports? (IU Canvas)	Personnel	x	x	On demand
What does it mean to be Person-Centered? (IU Canvas)	Personnel	x	x	On demand
What does it mean to be Strength-based? (IU Canvas)	Personnel	x	x	On demand
Introduction to the PCISP (Video Training)	Personnel	x		On demand
Full BDDS PCISP Guide Training (In-Person)	Personnel	x		in-person
PCISP Rubric Training	Personnel	x	x	in-person
Addressing Risks in the PCISP	Personnel	x		in-person
<b>LIFECOURSE FRAMEWORK</b>				
Introduction to LifeCourse Framework (Video)	Personnel	x		On demand
Using LifeCourse Reference Tool Training	Personnel	x	x	Combination
Integrated Supports Star	Personnel	x	x	On demand
Exploring Life Domains	Personnel	x	x	in-person
Exploring Life Stages	Personnel	x	x	in-person
<b>EXTERNAL RESOURCE TRAINING ( minimum 5 hours/annually)</b>				
**These are sent out at least monthly and through the following accredited community resource organizations:				
<b>IN*SOURCE</b>	Personnel		x	Combination
Family Voices	Personnel		x	Combination
NCAPPS	Personnel		x	Combination
Hands in Autism	Personnel		x	Combination
Arc of Indiana	Personnel		x	Combination
FUSE	Personnel		x	Combination
Autism Community Connection	Personnel		x	Combination
<b>MANUALS</b>				
DDRS Waiver Manual	Personnel	x	x	On demand
Inspire Employee Handbook	Personnel	x	x	On demand
Inspire Consumer/Family Handbook	Personnel	x	x	On demand



## MONTHLY REVIEWS AND REPORTING

Case Management activities and documentation are reviewed at multiple levels of the management team and on at least a weekly basis to ensure quality and consistent statewide coverage.

- Case Managers are encouraged to run their own caseloads audits and utilize the functions available to them in the Portal to monitor due dates and timelines.
- Supervisors completed and forward caseload audits at least bi-weekly to all Case Managers that directly supervise. These caseload audits include the following; BDDS Incident Reports, BDDS Transition Plans, Service Plans, PCISPs, LOCSIs, Unannounced Visits, Case Notes and Monitoring Checklists. Supervisors are also responsible for completing a detailed Monthly Quality Audit for each of its Case Managers. This Monthly Quality Audit is reviewed with the Case Manager In-Person and is uploaded to their HR file to be referenced during their annual evaluation if needed.
- Quality Compliance Officer also completes weekly audits agency wide for all individuals served, to ensure not only Case Manager conformance but also to ensure quality Supervision and oversight is being provided to the Case Managers. Quality Compliance Officer is also responsible for completing a detailed Quarterly Quality Audit for each Inspire Supervisor. This Quarterly Quality Audit is reviewed with the Case Management Supervisor In-Person and is uploaded to their HR file to be referenced during their annual evaluation if needed.
- In addition to completing quality audits, The Quality Compliance Officer and the entire management staff meet in-person on a monthly basis to discuss the results the of the Quality Audits. During these meetings, management staff look to identify any trends or systemic issues that can be addressed or improved upon. The management team is also looking to improve strategies using available data to anticipate system vulnerabilities, respond to data trends and increase our capabilities of balancing risk and quality of life with the health and safety assurances. Inspire strives to create an environment in which its employees not only follow quality guidelines, but also consistently see each other taking quality-focused actions, hears talking about quality and feels quality all around them. A systemic culture of quality includes a shared understanding of trust and learning. Inspire encourages and promotes feedback from all staff and provides a platform for Case Managers to have access to any member of the management team and not just their direct supervisor. Shared responsibility amongst the entire management team is absolutely necessary for the ongoing improvement of systemic culture of quality in the workplace.
- These reviews and discussions are then incorporated into Inspire's ongoing training curriculum used to train all staff across all areas of the state. Inspire Case Management provides each Case Manager with comprehensive and competency-based training to ensure a consistently high standard of quality service.

## ANNUAL EMPLOYEE PERFORMANCE REVIEWS/EVALUATIONS

Inspire Case Management is committed to the delivery of case management services in an environment characterized by strict conformance with the highest standards of accountability. Inspire strives to provide quality services by being committed to the prevention and detection of fraud, waste, abuse, fiscal mismanagement, and misappropriation of funds. Inspire Case





Management has multi-level approach to providing and monitoring quality assurance and the detection of systemic issues. All Inspire Case Management employees (Case Managers, Supervisors of Case Managers and administrative staff) all receive an Initial 90 Day Evaluation and Annual Performance Evaluations each year.

- Upon hire, every new Inspire employee completes a 90 day self-evaluation and receives an Initial 90 day evaluation. These initial evaluations are used to evaluate where the Case Manager is at with learning the role of Case Management. It also provides feedback and an opportunity for an open discussion with the new hire regarding additional training needs and/or to identify areas of strength.
- Every Inspire employee completes an annual self-evaluation as well as receives an annual employee evaluation. This is completed in-person with at least the Case Manager's direct Supervisor.

As a result of the employee evaluations, SMART goals are discussed and developed with the intent to focus attention and resources on what is most important for that Case Manager to be successful in achieving their priorities. These goals are also incorporated in the Case Manager's Monthly Quality Assurance Audits with progress on these goals being reviewed in-person with their Supervisor at least on a quarterly basis.

## INDIVIDUAL SATISFACTION SURVEYS

Inspire Case Management utilizes a variety of methods to obtain feedback from it's Case Managers, from the individuals' served and from all stakeholders.

- All Inspire employees are solicited to complete an Annual Satisfaction Survey. This is typically made available via a web-based survey system.
- All Individuals/Persons Served by Inspire Case Management are also encouraged to complete Annual Satisfaction Survey's. Understanding that the needs and supports for our Individuals can vary widely, Inspire offers Individuals' various methods for providing this feedback.
  - o Each Individual and/or guardian is emailed a link to complete an online survey. This is done annually.
  - o Any Individual Served, family member or other Stakeholder has access to Inspire's website which also has availability to complete a Satisfaction Survey or simply leave a comment. All comments submitted through the website are reviewed by a member of the management team within 24 hours.
  - o Upon request, these Satisfaction Surveys can also be sent via postal mail with return envelope/stamp provided by Inspire to ensure easy submission for the individual.
  - o Inspire also uses the following methods to share this information with Individuals Served:
    - Our Website
    - Brochures/Folder Packets
    - Individual and Family Handbook provided initially to families when they begin services with Inspire.





- Transition and Vendor Fairs throughout the state.
- Our Monthly Newsletter.
- Social Media platforms

## COMPLAINT PROCEDURE

- NON-DISCRIMINATION - It is the policy of Inspire Case Management to provide services to all individuals regardless of age, race, color, national origin, religion, ancestry, marital status, physical or mental impairment, or military discharge status, or any other discriminating factor.
- GRIEVANCE AND APPEAL PROCESS - It is the policy of Inspire Case Management to ensure eligible individuals may utilize either the Complaint Procedure or the Due Process to resolve issues or problems with services from Inspire Case Management. Initially and at least annually, Inspire Case Management will inform individuals and guardians in writing and in their preferred method of communication of the complaint procedure.
- COMPLAINT RESOLUTION - This process ensures the protections of the rights of individuals currently receiving services or if there is a disagreement with the admission process. Inspire Case Management will assist individuals with the administrative resolution of complaints or any other applicable appeal procedures and processes.
- TIMELINES FOR RESOLVING COMPLAINTS - After Inspire Case Management receives a complaint:
  - The CEO and Quality Compliance Officer have 5 calendar days to investigate.
  - A written report is discussed with the complainant within 10 calendar days to include next steps.
  - The complainant has 10 calendar days to request Administrative Review.
  - The CEO/QCO or designated representative meets with the complainant within 5 days of the review. A written report is then sent to the complainant.
  - An appeal to the CEO/QCO must be made within 10 days of the report.
  - A hearing will be held no earlier than 10 days and no later than 15 days. The participants for the hearing will be: the Individual, Advocate, Case Manager, and CEO/QCO.
  - Within 5 days of the hearing, a written report of the hearing and final decision is issued.



- **DUE PROCESS** - Inspire Case Management will notify in writing of any denial, reduction or termination of service(s) 15 days before any service action occurs (the effective date of action). Inspire Case Management must tell the individual the reason(s) for the action and tell how to request an appeal process.

IAC 6-8-3 Promoting the exercise of rights

Authority: IC 12-9-2-3; IC 12-11-1.1-9; IC 12-11-2.1-12

Affected: IC 12-11-1.1; IC 12-11-2.1

- **TO PROTECT AN INDIVIDUAL'S RIGHTS** and enable an individual to exercise the individual's rights, a provider shall do the following:
  - Provide an individual with humane care and protection from harm.
  - Provide services that are meaningful and appropriate; and (B) comply with:
    - standards of professional practice;
    - guidelines established by accredited professional organizations if applicable; and
    - budgetary constraints; in a safe, secure, and supportive environment.
  - Obtain written consent from an individual, or the individual's legal representative, if applicable, before releasing information from the individual's records unless the person requesting release of the records is authorized by law to receive the records without consent.
  - Process and make decisions regarding complaints filed by an individual within two (2) weeks after the provider receives the complaint.
  - Inform an individual, in writing and in the individual's usual mode of communication, of: (A) the individual's constitutional and statutory rights using a form approved by BDDS; and the complaint procedure established by the provider for processing complaints.

*(Division of Disability and Rehabilitative Services; 460 IAC 6-8-3; filed Nov 4, 2002, 12:04 p.m.:*

*26 IR 765; readopted filed Sep 26, 2008, 11:11 a.m.: 20081015-IR-460080618RFA; readopted filed Aug 11, 2014, 11:20 a.m.:*

*20140910-IR-460140241RFA)*