Raising the Bar: Improving Critical Incident Response and Prevention Planning in Ohio

Ohio Department of Medicaid
Ohio Department of Developmental Disabilities
Ohio Department of Aging

HCBS Conference December 2021
## Topics and Presenters

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<th>Background and Overview</th>
<th>Adriana Pust, Incident Manager, ODM</th>
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| How DODD Raised the Bar | Scott Phillips, Deputy Director, DODD  
                         Connie McLaughlin, Regional Supervisor, DODD |
| How ODA Raised the Bar | Kim Mobley, Manager, Access and Integration, ODA |
| Summary                 | Adriana Pust, Incident Manager, ODM |
Background and Overview
Incident Management Goals

Assure the Health & Safety of all Individuals on Medicaid

Use Incident Data to Identify Opportunities for Improvement

Prevent Future Incidents from Happening

Resolve and Mitigate Risk to individuals on Medicaid
CMS §1915(c) Home and Community Based Services Waivers Assurance: The state demonstrates it has designed and implemented an effective system for assuring waiver participant health and welfare.

These Reviews Addressed
2 of the 4 CMS Sub-assurances

a) State demonstrates on an ongoing basis how it identifies, addresses, and seeks to prevent instances of abuse, neglect or exploitation, and unexplained death.

b) State demonstrate that an incident management system is in place and effectively resolves reported incidents and prevents further similar incidents to the extent possible.
Overall Strategy and Goal

Remedy discovered deficiencies in operating practice.

Identify opportunities to reduce individuals' risk.

Identify strategies to protect individuals from future and similar harm.

Promote improved processes, treatment, and services.

The Health and Safety of all our Individuals on Medicaid

Improved Population Health

Safety is the first measure of quality!
Incident Monitoring with Eight Ohio Waivers and Programs

**ODM Administered Waivers**
- MyCare Waiver.
- Ohio Home Care Waiver.
- Specialized Recovery Services Program.

**DODD Administered Waivers**
- Individual Options Waiver.
- Level One Waiver.
- Self-Empowered Life Funding (SELF) Waiver.

**ODA Administered Waivers**
- PASSPORT Waiver.
- Assisted Living Waiver.
Prior to July 1, 2019

- Reactive, manual, and disparate processes and requirements for ODM Waivers.
- Eight different incident systems used for ODM Waivers.
- Few analytics or trend analysis for ODM Waivers.
- ODM focused on compliance with DODD and ODA.

Since July 1, 2019

- Integrated & aligned IMS Solution for ODM Waivers that includes self service analytics available for Quality Improvement.
- IMS Collaboration calls across all ODM Waivers.
- Aligned Incident Rule for ODM and ODA Waivers.

Since January 2020

- Collaborative and transparent relationship with ODM, DODD, ODA regarding incident management and QI.
- Aligned monitoring and quality improvement processes.

Future 2021

- Incident reporting for all managed care individuals.
- Focus on strategy & process Improvement.
- Tracking and trending across all Waivers.
- Aligned Waiver health and safety performance measures.
Past Practice

Focus on compliance.
Different info in different systems.
Disjointed and fragmented.
Duplicative reporting.
Health & Safety separate from care planning.
Care Managers frustrated and confused.
Copy/paste generic words that could be used for any incident.

Improved Practice

Focus on quality and best practices.
Info is integrated and aligned.
Holistic.
Person-centered.
Build on relationship CC/CM already has with individual.
Health and Safety is incorporated in care planning.
Empower CC/CMs so they can focus on person centered planning.
Documentation that shows how incident was resolved & mitigated.
Incident analytics used for improvement.

Improved Incident Management Practices
Monitoring the quality of care coordination, health/safety actions, and prevention plan strategies and collaborate with Contract Administrators and Policy staff as needed.

Incident Management Process

1. Identify Incidents
2. Assure Immediate Health and Safety of Individual
3. Report Incidents in the incident management systems
4. Document incident investigation findings and Root Causes and Contributing Factors
5. Develop person centered prevention plan and document in the incident management systems
6. Analyze patterns and trends to identify improvement and prevention opportunities
Purpose of Incident Reviews

The goal is to use data for quality improvement to assure the health and welfare of individuals as defined in the HCBS waiver assurances and sub-assurances.

ODM has the responsibility to provide monitoring and oversight of the Ohio Department of Developmental Disabilities (DODD) and Ohio Department of Aging (ODA) administered Home and Community Based Services (HCBS) Waiver incidents.
ODM field review team conducted the reviews.

ODM incident manager managed the reviews, conducted trainings and data analysis.

First review done with ODM Waivers.

ODA and DODD Waivers included two cycles of reviews (2020 and 2021).

Review questions developed & refined in collaboration with policy staff, clinical staff, partner agencies, and reviewers.

Collaborative two-day trainings held.

Alchemer Tool used to record reviews.

Total of 1,879 incidents were reviewed.

Interrater reliability process added in 2021.

ODM share results with ODA & DODD.

ODA and DODD share results with their staff and county partners.
Review Components

- Incident Demographics
- Quality of Immediate Health and Safety Actions
- Quality of Investigations
- Quality of Prevention Plans
- Key Theme & Project Summary Questions
Five Quality Criteria for Prevention Plans

- Support Activities
- Potentially Effective
- Person-Centered
- Realistic
- Addresses Root Causes
**Did Prevention Plan Provide Enough Supports?**

Definition: The prevention plan strategies and activities specify what additional supports the individual was provided or offered. This may include referrals for community resources, added services, counseling, or education.

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<th>Incident Description</th>
<th>Example of Poor Prevention Plan Strategy</th>
<th>Example of Better Prevention Plan Strategy</th>
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<tbody>
<tr>
<td>Individual did not take medication and was hospitalized because of seizures. Individual has history of substance abuse which interferes with their taking medication.</td>
<td>Individual will take all medication as ordered and will refrain from illicit drug use. Individual will be reminded every 90 days.</td>
<td>CM/Provider assessed readiness for substance abuse treatment, then made referral and assisted individual with getting drug treatment assistance. Provider met with family and individual to set up strategies to help ensure medication is taken.</td>
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Was Prevention Plan Potentially Effective?

Definition: There is a good chance that, if implemented, the prevention plan strategies will help prevent another similar incident from happening.

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<td>Son tried to carry individual in wheelchair out of the home and dropped individual.</td>
<td>Son was educated to call 911 if individual falls again.</td>
<td>Ramp will be installed.</td>
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### Was Prevention Plan Person Centered?

Definition: The prevention plan strategies reflect the individual's unique strengths, interests, cultural considerations, abilities, preferences, resources, and desired outcomes as they relate to the individual's support needs.

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<td>Individual’s friend stole his wallet.</td>
<td>Individual will refrain from having friends that may pose a risk to him.</td>
<td>Individual was provided resources and counselling supports to help make safe decisions and a safe was installed in the home.</td>
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## Was Prevention Plan Realistic?

Definition: The prevention plan strategies and activities are realistic and feasible and can be accomplished.

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<td>Individual forgot to take his medication, went into diabetic shock, and was taken to hospital emergency dept.</td>
<td>Individual will always be compliant with doctor’s medication orders.</td>
<td>Medication tower will be set up and monitored by the mother. Worked with the individual to set up reminders that would be helpful for the individual to take medication regularly (i.e. every time individual brushes their teeth).</td>
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Did Prevention Plan Address Contributing Factors?

Definition: The prevention plan strategies address the contributing factors and root causes (“the Five Whys”) the incident happened.

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<td>Individual neglected by family caregivers.</td>
<td>Family was educated on importance of being compliant with waiver requirements.</td>
<td>Individual’s caregivers were provided information regarding respite care, avoiding burnout, and additional supports were added.</td>
</tr>
</tbody>
</table>
Criteria and Scoring

😊 Yes (grade A or B) 2pts
😊 Somewhat (grade C) 1 pt
😊 No (grade D or F) 0 pt

Perfect Score = 10 points (2 points for each of the 5 criteria)
ODM Administered Waivers & Program

**MyCare Waiver**
- 30,180 Individuals
- Age 18+
- Eligible for Medicare and full benefits under Medicaid
- Enrolled in one of 29 MyCare demonstration counties
- Intermediate or skilled Level of Care

**Ohio Home Care Waiver**
- 6,638 Individuals
- Age 59 or younger
- Specific Financial Criteria Eligibility
- Nursing Facility Level of Care

**Specialized Recovery Services Program**
- 13,435 Individuals
- Age 21+
- Specific Financial Criteria Eligibility
- Diagnosed with a severe and persistent mental illness, transplant waiting list, diagnosed HIV/AIDS, ESRD, sickle cell anemia, cystic fibrosis, hemophilia; or previous organ transplant.
ODM Administered Waivers:
Ohio Home Care Waiver, MyCare Waiver, Specialized Recovery Services

- **2,857** Prevention Plans were created in 2020
- **1,300** Staff submitted incidents and Prevention Plans
- **2,140** Individuals experienced a substantiated Critical Incident that warranted a Prevention Plan in 2020
Interventions Done to Improve the Quality of Prevention Plans

• Focus on quality improvement instead of settling for compliance or minimum standards
• Expectations communicated
• Quality criteria for Prevention Plans
• Desk aides
• Incident manual updated
• Monthly IMS collaboration calls
• Individual coaching calls
• Recorded webinar
ODM Administered Waivers Prevention Plan Improvement Results Using Ohio’s New Quality Criteria Tool

Perfect Score = 10 points (2 points x 5 criteria)

The Prevention Plans have continued to improve!
Prevention Plans that Add Value

Value Add

Non Value Add
Busy administrative work that does not help achieve goals or provide value for the business or the customer. Wasted talent and effort. Find ways to minimize or eliminate this!

Customer Value Add
Strategies that help individuals be safe in their homes. Find ways to maximize this!

Business Value Add
Assure compliance with CMS and Ohio Rules/Law requirements. Monitor the quality of Prevention Plans. Find ways to streamline this!
How the Ohio Department of Developmental Disabilities Raised the Bar
DODD Waivers

• **Individual Options (IO) Waiver**
  » 24,000 Enrolled
  » Comprehensive
  » Waiver services are incorporated into each person’s service plan based on the needs identified in their assessment.

• **Level One (L1) Waiver**
  » 15,000 Enrolled
  » People who do not need that many paid support staff to provide services. The L1 relies heavily on natural supports such as family members.
  » Waiver services are incorporated into each person’s service plan based on the needs identified in their assessment.

• **SELF Waiver**
  » 2,000 Enrolled
  » The Self-Empowered Life Funding Waiver is a good fit for people who want to be in charge of some of their service.
  » The SELF Waiver is for people with DD that are able to manage money in a budget, manage their support staff for at least one waiver service, or can choose someone to do these things for them.
DODD MUI Quality Improvement Process

STEP 1: Incident occurs: It's either a UI or MUI

STEP 2: Immediate actions take place

STEP 3: Investigation initiated

STEP 4: Causes and contributing factors identified

STEP 5: Prevention planning occurs
Review Results Used for Quality Improvement

- Summary aggregate analysis shared with the County Boards of Developmental Disabilities, investigators, and providers via webinar.
- DODD uses individual case information to provide additional focused technical assistance and training.
Information from incident reviews inform our training and communication of our “Health and Welfare Alerts” that are required reading for all Direct Support Professionals.

https://dodd.ohio.gov
Why These Reviews are Important and What We Learned

• **Our Strengths**
  » Strong and long history of quality improvement and improving systems.
  » We focus on how we can support the individual and what can we do better.
  » Investigations are thorough and follow investigation protocols.
  » Prevention plans are developed for all incidents and are verified before closure.
Why These Reviews are Important and What We Learned

• **Our Opportunities to Continue to Improve**
  » Continue to find ways to address provider shortages.
  » Continue to share best practices for training and supporting individual direct service providers.
  » Continue to identify topics for our “alerts” that provider education and awareness to providers, families, stakeholders, and individuals.
How the Ohio Department of Aging Raised the Bar
The Ohio Department of Aging

Ohio: The best place to age in the nation!

- **Our Vision:** Ohio - The best place to age in the nation.
- **Our Mission:** Foster sound public policy, research, and initiatives that benefit older Ohioans.
Ohio’s Area Agencies on Aging
Safety Is Our Priority

Emergency Preparedness for Older Adults and Caregivers
For many reasons, older adults may have a harder time adjusting during emergencies and extreme conditions.

Be Your Own Advocate for Medication Safety
Older adults are also more likely to take multiple medications prescribed by several health care providers.

Utility and Energy Assistance
The Department of Aging works with state and local partners to help eligible older Ohioans access help.

Fire Safety and Prevention
Older adults are at increased risk for injury or death from home fires. Simple steps can reduce the risk of a blaze.

Spring and Summer Safety for Older Adults
For many reasons, older adults may find it harder to adjust to extreme weather conditions that come with spring.

Suicide and Older Ohioans
Suicide deaths among Ohioans age 60 and older have increased by 40% over the last 10 years.

Preventing Theft
Theft is most often a crime of convenience. Invite people into your home, but don’t invite theft.

Winter Safety for Older Adults
Tips and resources to help older Ohioans thrive through another Ohio winter.
ODA Waivers

• **PASSPORT Waiver**
  » 19,744 enrolled
  » Specific Financial Criteria
  » Nursing Facility Level of Care
  » Ages 60+
  » Various services such as adult day health, home care attendants, personal care, home delivered meals, etc.

• **Assisted Living Waiver**
  » 3,312 enrolled
  » Specific Financial Criteria
  » Nursing Facility Level of Care
  » Ages 21+
  » Assisted living services and community transition
Incident Categories - Department of Aging Waivers

Reportable and Critical

- Both initiated at AAA level
- Both documented in WIRED
- Critical require State Agency review
- Critical require State Agency sign off
Incident Management – WIRED System

- Standard process for incident documentation
- Focus on individual health and safety
- Uniform data collection
- State level oversight for all reportable incidents
Why These Reviews are Important and What We Learned

Our Strengths

» AAA’s have a commitment to assuring an individual’s health and safety.

» AAA’s link individuals with community resources and supports.

» AAA’s refer appropriate cases to Adult Protective Services (APS).

» Open and regular communication with partners
Why These Reviews are Important and What We Learned

• Our Ongoing Improvement Plan
  » Identify incident trends
  » Identify and address contributing factors
  » Develop new and improve existing effective prevention plan strategies
  » Share best practices with partners
The Keys to Our Success

- We share common goals
- We collaborate and support each other
- We focus on quality improvement, not compliance.
- We focus on the individual
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