

Community Outreach Surveys and Audit FY 2016-2017

Survey/Audit	Department	Division	Who
Family Support Services Program Audit	Community Outreach Department	Family Support Services Program	Division of Intellectual and Developmental Disabilities (DIDD)
Community Outreach Program Satisfaction Survey	Community Outreach Department	Community Outreach Program	Community Outreach Department Management
Feria de Recursos (Spanish Resource Fair) Family Survey	Community Outreach Department/Early Intervention Department	Family Support Services Program, Community Outreach Program, Early Intervention Program	Community Outreach Department & Early Intervention Department staff
Transition Fair Survey	Community Outreach Department/Case Management Department	Waiver Programs, Family Support Services Program, Community Outreach Program	Community Outreach Department & Case Management Department Management
Douglas County Respite Grant Reporting	Community Outreach Department	Community Outreach	Community Outreach Department Management and Admin
Post Payment Reviews aka Payment Error Rate Measurements (PERMs)	Case Management and Program Quality		Health Care Policy and Financing (HCPF) and/or a 3rd party contractor

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Survey/Audit	Department	Division	Who
<p>CCB Performance Audits</p>			<p>Division for Intellectual and Developmental Disabilities (DIDD) a Division under Health Care Policy and Financing (HCPF)</p>
<p>Contract Deliverables for I/DD</p>	<p>Case Management and Program Quality</p>		<p>Division for Intellectual and Developmental Disabilities (DIDD) a Division under Health Care Policy and Financing (HCPF)</p>

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Survey/Audit	Department	Division	Who
Annual Request for Proposal (RFP) Reporting	Case Management and Program Quality		Conducted by Program Quality Dept; Developmental Pathways
Office of the State Auditor (OSA) Survey	Case Management and Program Quality		Conducted by the Office of the State Auditor
CDHS EI Program Supervision	EI	CDHS EI Program	They provide general supervision and generalized and focused monitoring.
EI Colorado Family Outcomes Survey	EI	CDHS EI Program	Annually

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Survey/Audit	Department	Division	Who
CDHS EI Quarterly Fiscal Reporting	EI	CDHS EI Program	Quarterly
CDHS Monthly KPI Reporting	EI	CDHS EI Program	Monthly
Department of Labor and Employment Certificate of Compliance	Properties		Department of Labor and Employment
Building Safety Evaluation	Properties		South Metro Fire Department
ACA- Employee Reports	HR		Benetrac
ACA- Employer Reports	HR		Benetrac
OSHA Posting	HR		Internal
EEO- Filing	HR		Internal
MSEC - Surveys (Salary, Benefits etc.)	HR		MSEC
CMS Medicare Survey	HR		State of Colorado
SS Survey	HR		US Gov

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Survey/Audit	Department	Division	Who
401K Annual Audit	FIN		External Audit Firm (Eide Bailly)
Financial Statement Audit	FIN		External Audit Firm (Eide Bailly)
US Census Bureau Annual Services Report	FIN	US Census Bureau	US Cov
A-133 for Early Intervention	FIN	Colorado Department of Human Services	External Audit Firm (Eide Bailly)
Colorado Department of Human Services EI Year End Revenue and Funding Reporting	FIN	Colorado Department of Human Services	
Mill Levy Report	FIN	Arapahoe County	
Mill Levy Report	FIN	Douglas County	

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Survey/Audit	Department	Division	Who
Mill Levy Agreed Upon Procedures (AUP)	FIN	Douglas/Arapahoe County	
Supported Living Services (State Program) Year End Reporting of Unspent Revenue	FIN	Colorado Department of Health Care Policy & Financing	
Family Support Services Program Year End Reporting of Unspent Revenue	FIN	Colorado Department of Health Care Policy & Financing	
Annual Financial Statement Audit Provided to HCPF	FIN	Colorado Department of Health Care Policy & Financing	
Building Elevator Compliance	Properties	Building Division	Douglas County
Workers Comp Audit	FIN	Pinnacol Assurance	

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When	Where
<p>Unscheduled audits are completed by the State. Last audit was completed in March 2019.</p>	<p>DIDD requested specific information about all areas of FSSP via e-mail. Information was sent electronically to the State.</p>
<p>Annually, typically in June</p>	<p>Electronic surveys are sent to families via e-mail and hard copies are sent by mail for families who do not have e-mail access.</p>
<p>During/after the annual Feria in June</p>	<p>Paper surveys are handed out to families upon entering the Feria</p>
<p>During/after the Transition Fair that occurs annually.</p>	<p>Paper surveys are handed out to families upon entering the Transition Fair. They will alternate between the Inverness and Aurora offices.</p>
<p>Report submitted to Douglas County January. Funds are spent during calendar year.</p>	<p>Funds are distributed to families living in Douglas County</p>
<p>Random schedule (See what/why section)</p>	<p>Post Payment Reviews are primarily desk-review type audits completed by HCPF or a contractor based on information provided by Medicaid providers</p>

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When	Where
3 year cycle	Performance Audits are completed on-site at each CCB's administrative offices and also involve desk review activities.
On a schedule per fiscal year; generally quarterly	Reporting is prepared by each CCB and sent to the DIDD/HCPF for review.

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When	Where
Annually, between Sept and Oct for the previous fiscal year	Reporting and analytics are completed by the Program Quality department based on annual tracking on all RFPs sent the previous fiscal year.
As determined by the state of Colorado	OSA audits are completed through a variety of desk-review and in-person surveys by state staff and/or a contractor
	They monitor data and performance measures from their location and also on site monitoring
	Emails and mailings to families

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When	Where
	Quarterly and year end fiscal reports are sent via email with follow up from CDHS EI Program staff if needed
	Monthly reports are sent by CDHS EI Program staff. CDHS staff also meet monthly to review state and individual CCB performance. CDHS staff also follow up via phone, email or in person to concerns.
Every two years	Onsite
Annually	Onsite
Spring 2019	
Spring 2019	
Spring 2019	
Summer 2019	
As Requested	
As Requested	
As Requested	

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When	Where
Annually around June.	Onsite
Annually beginning in September	Onsite
Annually	Submit via internet.
Annually	Onsite
Annually	
Annually	
Annually	

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When	Where
Annually	Onsite
Annually	
Annually	
Annually	
Annually	Onsite
Annually	Onsite

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What/Why	Additional Information
DIDD did a comprehensive audit of the Family Support Services Program to ensure guidelines were being adhered to across the State of Colorado.	
We are seeking to evaluate the effectiveness and satisfaction level of the CO program. Information is shared with our management team and the Executive Team in a quarterly report.	
We are seeking to evaluate the effectiveness and satisfaction level of the Feria. Results are reviewed by Feria leads from Community Outreach and Early Intervention Departments for future improvements.	Surveys are in Spanish
We are seeking to evaluate the effectiveness and satisfaction level of the Fair. The Fair is geared towards individuals of transition age (and their parents), between the ages of 16 and 22. Results are reviewed by leads from Case Management and Community Outreach for future improvements.	Surveys are in English & Spanish
The final report is sent to Douglas County after all the funds are spent or at the end of the calendar year. The final report also summarizes the amount of funds spent by families and/or providers.	
The Payment Error Rate Measurement (PERM) is an audit program developed by the federal government. HCPF (or a contractor) will examine eligibility decisions and payments to various providers for Medicaid services across a variety of Medicaid programs. The reviews are based on a variety of documentation providers must keep on file; the type of documentation required is outlined in the Medicaid rules in the Colorado Code of Regulations: 10 CCR 2505-10 8.130.2. Documentation may include copies of service plans authorizing supports, copies of assessments, letters of recommendation, invoices, attendance records, etc.	

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What/Why	Additional Information	
<p>When waiver operational and administrative functions are conducted by contracted entities and/or local/regional non-state entities, the Centers for Medicare and Medicaid Services (CMS) requires states to develop a plan for oversight of the performance of such entities to ensure that waiver requirements are met. One of the ways in which Health Care Policy and Financing (HCPF) provides oversight over Community Centered Boards (CCBs) is to complete the performance audits. This requirement is outlined within the waiver document.</p> <p>Historically, these performance audits have occurred approximately once every three years. The next scheduled cycle for all twenty CCBs is fiscal year 2016-2017 through fiscal year 2018-2019.</p>		
<p>Each year, each Community Centered Board (CCB) enters into a contract with Health Care Policy and Financing (HCPF) in order to provide case management, associated utilization review services, and other administrative activities for both applicants of and individuals enrolled into the following I/DD programs: HCBS-CES, HCBS-DD, HCBS-SLS, State SLS, and Family Support Services Program (FSSP). The contract has a robust statement of work attached in which CCBs are asked to both complete and report on the commitments outlined therein.</p> <p>On a set schedule, which is governed by HCPF, CCBs submit a variety of contract deliverables to HCPF for review and validation. Reports sent to the DIDD/HCPF for review include (but are not limited to):</p> <ol style="list-style-type: none"> 1. Quarterly Reporting on critical incidents and critical incident trends, complaints and complaint trends, and case management staff training 2. Long-range, closeout, communication, and business continuity plans. 		

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What/Why	Additional Information
<p>Each year, our Community Centered Board (CCB) commits to providing reporting on Request for Proposal (RFP) outcomes for all individuals receiving case management supports for the following programs: HCBS-CES, HCBS-DD, HCBS-SLS, and State SLS. The reporting looks at the outcomes for every single RFP sent and determines trends across outcomes (placed, withdrawn, no placement found, etc.), as well as by program, and service. The report gives specific information on how many RFPs were placed with a commonly controlled entity as our case management department(s) and, in recent years, has also provided some information on trends by city and zip code. This report takes a 3-6 weeks to develop and is released annually to all program approved service agencies (PASAs) in our catchment area and is available on our website.</p> <p>This report and all analytics are completed by the Program Quality department based on work completed by the Case Management department.</p>	
<p>And audit was conducted in 2017-2018, pursuant to Section 25.5-10-209(4), C.R.S., which requires the State Auditor to conduct, or cause to be conducted, a performance audit of each CCB that receives more than 75 percent of its funding from governmental entities, to assess whether the CCB sare effectively and efficiently fulfilling their statutory obligations. State auditors worked with HCPF and leadership from Developmental Pathways to gather data and complete an in-dept analysis of work conducted and billed for by CCBs. CCBs were presented with deficiencies for remediation, and a final report was presented to the Legislative Audit Committee.</p>	
<p>CDHS EI Program is the responsible for insuring compliance with Federal Part C regulations as well as state focused systematic improvement.</p>	
<p>EI Colorado Family Outcomes Survey - This survey is sent to all families in service and asks them if they understand their rights, if the EI services helped them understand their child's needs and if EI services helped the family help their children develop and learn.</p>	

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What/Why	Additional Information
Quarterly utilization report to measure fiscal compliance. CDHS EI program staff monitor state and federal Part C funding utilization as well as Medicaid use and Private Insurance utilization expectations.	
Performance Indicators capture all of the activities used to meet Federal Part C requirements as well as state systematic improvement plans. Some of the key measurements are percent of infants and toddlers with IFSP's who receive services on their IFSP's in a timely manner, percent of infant and toddlers who demonstrate improved social emotional skills, acquisition and use of knowledge and skills and use of appropriate behaviors to meet their needs. Percent of all children who received timely transition planning prior to existing Part C. CDHS EI Program also tracks and monitors any complaints and their resolution.	
The department inspects our boiler to ensure that it is operating safely and up to code. They will supply us with a Certificate of Compliance when complete. The inspection takes less than 30 minutes.	
The fire department verifies that the company we hire to maintain our system is inspecting and maintaining our fire alarm system and extinguishers. Occasionally, they will do a walkthrough of the building and ensure we do not have fire hazards and the alarm is up to code.	
1095-C Employer Provided Health Offer and Coverage document to employees	
1094-C and 1095-C IRS Filing Transmittal of Employer Provided Offer and coverage to IRS	
Required posting of work place injuries	
Required submission of employee demographics	
Throughout the year, Mountain States sends us survey data requests to gather salary, benefit and other employment data for their total rewards survey results.	
Throughout the year, CMS sends online requests to verify primary medical coverage for employees.	
Throughout the year, SS Administration sends requisitions for verification of employment and salary for both persons in service and occasional employees.	

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What/Why	Additional Information
<p>Developmental Pathways has a consolidated 401K plan that is required to have an annual audit by an independent auditor. Our 401K administrator (Mass Mutual) supplies all the details of the plan for the calendar year to an external audit firm to audit. A sampling of data is selected and tested by the auditors for compliance. The audit typically lasts about 1 week and is conducted at our office location. Once the audit is complete the form 5500-Annual Return/Report of Employee Benefit Plan is filed with the IRS for the previous calendar year.</p>	
<p>Financial Statement Audit. Independent audit of financial statements is performed in accordance with auditing standards generally accepted in the United States of America. The audit is performed to obtain reasonable assurance about whether the financial statements are free from material misstatement. An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.</p>	
<p>Annual Services Report-questionnaire which discloses financial/payroll/location information for different companies within the Developmental Pathways umbrella. Information is used by US Government for statistical purposes only.</p>	
<p>A-133 Audits of States, Local Governments, and Non-Profit Organizations. The results from the A-133 required for the Early Intervention Program must be submitted to each nonfederal agency that passes federal awards through to our organization. Email copy of the audit report including the Single Audit section of the audit report.</p>	
<p>EI Year End Reporting of revenue and funding.</p>	
<p>Report to Arapahoe County to summarize all programs, the quality of services and infrastructure that the Mill Levy supports.</p>	
<p>Report to Douglas County to summarize all programs, the quality of services and infrastructure that the Mill Levy supports.</p>	

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What/Why	Additional Information
Agreed upon procedures performed by external audit firm to review and report on Mill Levy spending based on the procedures defined by the Counties.	
Supported Living Services (State Program) Year End Reporting of Unspent Revenue.	
Family Support Services Program Year End Reporting of Unspent Revenue.	
As part of the Developmental Pathways DIDD contract we are required to provide HCPF with a copy of the annual audit.	
The department inspects our elevator to ensure that it is operating safely and up to code. They will supply us with a Certificate of Compliance when complete. The inspection takes less than 30 minutes.	
Workers Comp Audit is performed to determine if premiums have been set according to the experience rating plan approved by Colorado's Commissioner of Insurance.	