Suggested SADC Evaluation Tool for MLTC Plans

Summary of Changes Made

Version Release Date: 1/1/2026

1 Introduction

The Suggested SADC Site Evaluation Tool has been updated, and changes are documented below.

- Throughout the tool, where applicable, references to "SADC site" or "site" have been updated to "SADC".
- Note: If a tab is not included in this document, no changes were made to that tab.

2 Summary of Changes

2.1 Instructions Tab

- References to the PCSP Template Review tab have been removed as that tab has been merged with the Member Checklist tab.
- "Please Note" has been updated to reflect that copies of all documentation should be retained for 10 years in the event of an audit to align with the model contracts.
- Site Requirements tab has been renamed SADC Requirements.

2.2 Cover Page

- Removed Fields:
  - MLTC Plan MMIS ID
  - If other please specify MLTC Plan Name
  - Date of Last Annual SADC Visit

- Added Field: SADC NPI
- Updated Dropdown Selections: MLTC Plan Name

2.3 General

- Removed Fields:
  - MLTC Plan MMIS ID
  - PACE Contract Type
  - Number of MLTC Plan PACE Members

- Added Fields:
  - SADC NPI

- Added Dropdown Selection: Contract Type(s)
  - Dropdown Includes:
    - MAP

- ▪ Partial
        - ▪ MAP & Partial
        - ▪ Single Case Agreement (SCA)
- Added Note: Number of MLTC Plan Members Served at the SADC by Contract Type
    - o Note: For SCA list the # of MAP and/or Partial Members Attending the SADC Under SCAs.

2.4 Contract and Oversight

Evaluation items have been added and verbiage has been modified to align with requirements outlined in MLTC Policy 24.01 and MLTC Policy 25.05, and for clarification purposes.

2.4.1 Oversight Requirements

- Questions Modified:
    - o Questions 1 & 2: Updated verbiage to align with MLTC Policy 24.01.
    - o Questions 4 & 5: Updated verbiage so selecting "Yes" is an affirmative response, in alignment with other questions.
    - o Questions 6 & 7: Updated verbiage to indicate certification is done via the OMIG portal.
        - ▪ Please note that the certification is a requirement of 9 CRR-NY 6654.20 and just completed through the OMIG portal.
    - o Questions 8 & 9: Corrected acronym for New York City Department for the Aging to NYC Aging, from NYC DFTA.
    - o Question 9: Updated verbiage to reflect that NYC Aging registration should be maintained and is not required to be completed annually.
- Question Added:
    - o Question 10: Does the SADC site have a valid National Provider Identifier (NPI) number that accurately reflects the correct name and physical location?

2.4.2 Contract Requirements

- Question Removed:
    - o Previous Question 2: What is the Date of the Contract or the most recent amendment date?
        - ▪ Questions removed as there can be multiple dates due to multiple lines of business.
- Question Modified:
    - o Question 1: Updated verbiage to reflect that contracts should be in place for all lines of business.
- Question Added:
    - o Question 4: Does the executed contract(s) contain provisions on SADC notification responsibilities related to relocations, temporary/emergency closures, and permanent closures?

2.5 SADC Requirements

Evaluation items have been added, reordered, and verbiage has been modified based on requirements detailed in MLTC Policy 24.01 and MLTC Policy 25.05.The updates are detailed below by section. Additionally, the Guidance column has been removed and, where applicable, evaluation item guidance has been as a note to the evaluation item itself.

2.5.1 Physical Environment and Safety

- Question Removed:
  - Previous Version Question 1: Does the site have sufficient space in facility to accommodate activities and services?
    - Question is addressed on HCBS Final Rule tab.

- Questions Reordered/Modified:
  - Question 1: Removed reference to maximum occupancy as that is now addressed as a standalone item in Question 6.
  - Previous Version Question 3: Does the site have the written notification to local fire jurisdiction of site's -physical location, and hours of operation?
    - Question has been reordered with modified verbiage and is now Question 2: Did the SADC notify the local fire jurisdiction of SADC's physical location and hours of operation in writing?
  - Previous Version Question 4: Does the site have sufficient insurance coverage? Including both personal and professional liability.
    - Question has been reordered with additional verbiage and is now Question 7: Does the SADC and/or transportation vendor possess a valid Certificate of Liability (COL) that demonstrates appropriate personal and professional liability coverage for business operations?

- Questions Added:
  - Question 4: Does the SADC have a valid (not expired) COO that reflects the correct ownership and physical location?
  - Question 5: Did the MLTC plan obtain a copy of the valid COO?
  - Question 6: Do occupancy levels observed during the evaluation indicate that the SADC operates within compliance of the COO?
  - Question 7: Does the SADC and/or transportation vendor possess a Certificate of Liability (COL) that demonstrates appropriate personal and professional liability coverage for business operations?

2.5.2 Member Care

- Questions Added:
  - Question 9: Does the SADC possess a valid (not expired) Food Service Establishment (FSE) permit that reflects the correct ownership and physical location?
  - Question 10: Did the MLTC plan obtain a copy of the valid FSE permit?

2.5.3 Policies and Procedures

- Questions Modified:

    - Questions 13: Updated verbiage to change reference from "participant" to "person centered planning".
    - Question 18: Updated verbiage to change reference from "participant" to "member".

- Questions Added:

    - Question 20: Does the SADC have policies requiring the development of a PCSP within 30 days of admission?
    - Question 21: Does the SADC have policies to ensure the PCSP is reviewed and/or updated at least annually?
    - Question 22: Does the SADC have policies to review the PCSP when there is a change in condition?
    - Question 23 Does the SADC have policies requiring the development of a PCSP within 30 days of admission?
    - Question 24: Does the SADC maintain comprehensive member attendance logs that, at minimum, indicate the member's name, date, and time of attendance?

2.5.4 Emergency Preparedness

- Question Added:

    - Question 27: Does the SADC have the contact number for the MLTC plan and member care managers readily available, in the event of an emergency?

2.6 Member Checklist

The Member Checklist tab has been merged with the PCSP Template Review tab. It is the expectation that MLTC plans will review a statistically valid sample (approximately 10% of enrolled members) of member files and associated Person Centered Service Plans (PCSPs).

Section Updates:

- Questions that are duplicative of PCSP Review questions were removed.

    - Does the member file contain identifying information?
    - Does the member file contain emergency contacts and family member contacts?
    - Does the member file contain primary care contact?
    - Does the member file contain the plan of care/person centered service plan?
    - Is there evidence that the SADC reviewed the plan of care/person centered service plan?
    - Are the plan of care/service plan reviews compliant?
    - Does the plan of care/service plan incorporate or indicate member specific needs or supports?
    - Does the plan of care/service plan detail member specific preferences or wants?
    - Is there evidence that the participant has had input into their plan of care/service plan?
    - Does the member file contain the nutritional assessment?
    - Does the member file contain the list of medications?

- Several questions were modified and added as new Policies and Procedures questions

on the SADC Requirements tab.

- o What is the frequency that the SADC reviewed the plan of care/service plan?
- o Does the SADC review the plan of care/service plan when there is a change in condition?
- o Is there evidence that the participant rights were explained with copies provided to member/caregiver?

- In instances where an evaluation item is answered "No" it is the expectation that the MLTC plan will complete Column F "If no, please describe remediation plan below."

- o This should describe the steps that will be taken for the SADC to bring that item into compliance.

- The Guidance column has been removed and, where applicable, evaluation item guidance has been added as a note to the evaluation question.

2.6.1 Required Documentation

- Question Modified:

- o Question 2: Updated verbiage to change "plan of care" to "MLTC Plan PCSP" to clarify and align with document naming conventions.

- Question Added:

- o Question 3: Does the member file contain case notes?

- Additional comments are required if the response is "Yes" for the following question:
- o Questions 2

2.6.2 PCSP Completion Information

- Additional comments are required if the response is "Yes" for the following question:
- o Questions 5

2.7 Staff Requirements

Evaluation items were added to provide additional specificity on training requirements. Additionally, the Guidance column has been removed and, where applicable, evaluation item guidance has been as a note to the evaluation item itself.

- Questions Modified:

- o Question 1: Updated verbiage to clarify that the SADC should be supplying a copy to the MLTC plan.
- o Question 6: Removed reference to PACE training and clarified trainings.

- Additional comments are required if the response is "Yes" for the following questions:
- o Questions 1

2.8 Staff and Volunteer Checklist

Evaluation items were added to provide additional specificity on training requirements. Additionally, question numbers were added to tab.

- Instructions have been updated to indicate that additional comments are required if the response is "Yes" for all questions.
- Section has been reorganized to include a "If no, please describe remediation plan below" column. It is the expectation that the plan will develop a remediation plan for any "No" responses, in alignment with the rest of the evaluation.
- Question Added:
  - Question 28: Does the staff/volunteer file contain proof of training on the CMS HCBS Final Rule?
  - Question 29: Does the staff/volunteer file contain proof of training on person centered planning, practice, and thinking?

2.9 HCBS Final Rule

Evaluation items have been added, removed, and verbiage modified to align with the Department's annual SADC Compliance Reviews.

- Questions Removed:
  - Previous Version Question 1: Does the setting of the SADC have institutional characteristics?
  - Previous Version Question 2: At some point in time were plan enrollees, (or their representative, if they have one), given options of HCBS sites they could choose from, including the SADC?
  - Previous Version Question 3: Are enrollees provided a choice regarding the site where they receive services when they sign their person centered service plan?
  - Previous Version Question 14: Is public transportation available to/from the site?

- Questions Modified:
  - The following questions have modified verbiage to align with the Department's annual SADC compliance reviews:
    - Questions 3, 5, 6, 9, 11, 12, 14-16, 18-20, 23-32, 35.

- Questions Added:
  - Question 1: Is the setting in a publicly or privately operated facility that provides inpatient institutional treatment?
  - Question 2: Is the setting in a building on the grounds of, or adjacent to, a public institution?
    - Note: Responding "Yes" to either Question 1 or 2 will require additional details on SADC's location and how the SADC overcomes the institutional characteristics.