

A. Waiver Administration and Operation: Administrative Authority of the Single State Medicaid Agency

Assurance: The Medicaid Agency retains ultimate administrative authority and responsibility for the operation of the waiver program exercising oversight of the performance of waiver functions by other state and local/regional non-state agencies (if appropriate) and contracted entities.

Performance Measure	Indicators ND
A1. Number and percent of satisfactory Medicaid-initiated operating agency and contractor (i.e. DBHDS, Xerox & PPL) evaluations.	N: Number of satisfactory Medicaid-initiated operating agency & contractor evaluations.
	D: Total number of Medicaid initiated operating agency & contractor evaluations
Data Source: DMAS Annual Medicaid contractor and operating agency evaluation reports	

Performance Measure	Indicators ND
A2. Number and percent of DBHDS provider memorandums pertaining the waiver approved by DMAS prior to being issued by DBHDS.	N: # waiver provider memorandums issued by DBHDS that were approved by DMAS prior to being issued
	D: Total # of waiver provider memorandums issued by DBHDS.
Data Source: DMAS Operating Agency/ Contract Monitor performance monitoring	

Sub-assurance: The process and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.

Performance Measure	Indicators ND
A3. Number and percent of slots allocated to CSB's in accordance with the standardized statewide slot assignment process.	N: # of slots assigned statewide according to the standardized proc

B. Level of Care

Assurance: The state demonstrates that it implements the processes and instrument(s) specified in its approved waiver for evaluating/reevaluating an applicant's/waiver participant's level of care

Sub-assurance: An evaluation for LOC is provided to all appliants for whom there is reasonable indication that services may be needed in the future.

Performance Measure	Indicators ND
B1. Number and percent of all new enrollees who have a level of care evaluation prior to receiving waiver services	N: # of new enrollees who have a level of care evaluation prior to receiving waiver services
	D: total # of new enrollees
Data Source: DBHDS WaMS	
Performance Measure	Indicators ND
B2. The number and percent of VIDES (LOC) completed within 60 days of application for those for whom there is a reasonable indication that services may be needed in the future.	N: # of new enrollees who have a level of care evaluation prior to receiving waiver services
	D: total # of new enrollees
Data Source: DBHDS WaMS	
a. Sub-assurance: The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine the initial participant level of care.	
Performance Measure	Indicators ND
B3. Number and percent of VIDES determinations that followed the required process, defined as completed by a qualified CM, conducted face-to-face with individual and those who know him (if needed)	N: # of VIDES completed within 60 days for new applicants
	D: : total # of new applicants for whom there is a reasonable indication that services may be needed in the future.
Data Source: DMAS QMR	
Performance Measure	Indicators ND
B4. Number and percent of VIDES determinations for which the appropriate number of criteria were met to enroll or maintain a person in the waiver	N: # of VIDES determinations that use criteria appropriately to enroll or maintain a person in the waiver
	D: total # VIDES forms reviewed
Data Source: DMAS QMR	

C. Qualified Providers

Assurance: The state demonstrates that it has designed and implemented an adequate system for assuring that all waiver services are provided by qualified providers

Performance Measure	Indicators ND
C1. Number and percent of licensed/certified waiver provider agency enrollments for which the appropriate lic./certif. was obtained in accordance with waiver reqmts prior to service provision.	N: :# of lic./certif. waiver agency provider enrollments for which the appropriate lic./certif. was obtained in accordance with waiver reqmts prior to service provision D: total # of waiver agency provider enrollments
Data Source: DMAS Xerox Claims Data	
Performance Measure	Indicators ND
C2. Number & percent of licensed/certified waiver provider agency staff who have criminal background checks as specified in policy/regulation with satisfactory results.	N: : # of lic./certif, waiver provider agency DSPs who have criminal background checks as specified in D: total # licensed/certified provider agency DSP records reviewed.
Data Source: DMAS QMR	
Performance Measure	Indicators ND
C3. Number & percent of enrolled licensed/certified provider agencies, continuing to meet applicable licensure/certification following initial enrollment.	N: # enrolled licensed/certified providers, continuing to meet applicable licensure/certification following initial enrollment D: total # licensed/certified provider agencies.
Data Source: DMAS QMR	
Performance Measure	Indicators ND
Sub-Assurance b) The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.	
Performance Measure	Indicators ND
C4. Number and percent of non-licensed/non-certified provider agencies that meet waiver provider qualifications.	N: Total # non-licensed/non-certified provider agencies that meet waiver provider qualifications. D: total # of non-licensed/non-certified provider agencies
Data Source: DMAS QMR	

Performance Measure	Indicators ND
C5. Number & percent of nonlicensed /noncertified provider agency DSPs who have criminal background checks as specified in policy/regulation with satisfactory results.	N: # of nonlic./noncertif provider agency DSPs who have criminal background checks as specified in policy/regulation with satisfactory results. D: total # nonlic./noncertif. provider agency DSP records reviewed.
Data Source: DMAS QMR - Provider Enrollment Form	
Performance Measure	Indicators ND
C6. # of new consumer-directed employees who have a criminal background check at initial enrollment	N: : # of new consumer-directed employees who have a criminal background check at initial enrollment D: Total # new consumer-directed employees enrolled.
Data Source: DMAS Fiscal Agency Reports	
Performance Measure	Indicators ND
C7. # of consumer-directed employees who have a failed criminal background who are barred from employment	N: # of consumer-directed employees who have a failed criminal background who are barred from employment D: : total # consumer-directed employees who have a failed criminal background check
Data Source: DMAS Fiscal Agency Reports	
Sub-assurance: The State verifies that providers initially and continually meet required licensure andor certification standards and adhere to other standards prior to their furnishing waiver services.	
Performance Measure	Indicators ND
C8. Number and percent of provider agency staff meeting provider orientation training requirements	N: # provider agency staff meeting provider orientation training requirements D: total # of provider agency staff reviewed
Data Source: DMAS QMR Reports	
Performance Measure	Indicators ND
C9. Number and percent of provider agency direct support professionals (DSP's) meeting competency training requirements	N: # provider agency DSP's who meet competency training requirements as specified in regulation D: total # provider agency DSP records reviewed
Data Source: DMAS QMR	
Performance Measure	Indicators ND
C10. # of services facilitators meeting training requirements and passing competency testing	N: # of services facilitators meeting training requirements and passing competency testing

	D: total # of services facilitators reviewed
Data Source: DMAS Training Verification Records	

D. Service Plan

Assurance: The state demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans for waiver participants.

Sub-assurance a) Service plans address all participants assessed needs (including health and safety risk factors (and personal goals, either by the provision of waiver services or through other means.

Performance Measure	Indicators ND
D1. Number and percent of individuals who have Plans for Support that address their assessed needs, capabilities and desired outcomes.	N: # of individuals who have Plans for support that address their needs, capabilities, and desired outcomes
	D: total # of individuals' records reviewed
Data Source: DMAS QMR	
Performance Measure	Indicators ND
D2. Number and percent of individual records that indicate that a risk assessment was completed as required.	N: # of records that indicate that a risk assessment was completed as required.
	D: total # of individual records reviewed.
Data Source: DMAS QMR	
Performance Measure	Indicators ND
D3. Number and percent of individuals whose Plan for Supports includes a risk mitigation strategy when the risk assessment indicates a need.	N: # of individuals whose Plan for Supports includes a risk mitigation strategy when the risk assessment indicates a need.
	D: total # of individuals' records reviewed whose risk assessment indicates a need for a risk mitigation strategy.
Data Source: DMAS QMR	
Performance Measure	Indicators ND
D4. Number and percent of service plans that include a back-up plan when required for services to include in home supports, personal assistance, respite, companion, and shared living.	N: # of service plans that include a back-up plan when required for services to include in home supports, personal assistance, respite, companion, and shared living.
	D: = total # of service plans reviewed that require a back-up plan
Data Source: DMAS QMR	
Sub-assurance: c) Service plans are updated/revised at least annually or when warranted by changes in the waiver participant's needs.	
Performance Measure	Indicators ND

D5. Number and percent of service plans reviewed and revised by the case manager by the individual's annual review date. (completed 365 days or less from last Individual support Plan)	N: # service plans reviewed and revised by the case manager by the individual's annual review date
	D: total # service plans reviewed
Data Source: DMAS QMR	
Performance Measure	Indicators ND
D6. Number and percent of individuals whose service plan was revised, as needed, to address changing needs (Individual Support Plan was updated/revised when individual's needs changed)	N: # individuals whose service plan was revised as needed, to address changing needs
	D: total # individual service plans reviewed that needed to be revised due to changed needs
Data Source: DMAS QMR	
Sub-assurance: d) Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.	
Performance Measure	Indicators ND
D7. Number and percent of individuals who received services in the frequency specified in the service plan	N: : # individuals who received services in the frequency specified in the individual service plan
	D: # service plans reviewed
Data Source: DMAS QMR	
Performance Measure	Indicators ND
D8. Number and percent of individuals who received services in the duration specified in the service plan	N: # individuals who received services in the duration specified in the service plan
	D: service plans reviewed
Data Source: DMAS QMR	
Performance Measure	Indicators ND
D9. Number and percent of individuals who received services in the type specified in the service plan	N: # individuals who received services in the type specified in the service plan
	D: service plans reviewed
Data Source: DMAS QMR	
Performance Measure	Indicators ND

D10. Number and percent of individuals who received services in the scope specified in the service plan	N: # individuals who received services in the scope specified in the service plan
	D: service plans reviewed
Data Source: DMAS QMR	
Performance Measure	Indicators ND
D11. Number and percent of individuals who received services in the amount specified in the service plan	N: # individuals who received services in the amount specified in the service plan
	D: service plans reviewed
Data Source: DMAS QMR	
Sub-assurance: e) Participants are afforded choice: Between/among waiver services and providers.	
Performance Measure	Indicators ND
D12. Number and percent of individuals whose case management records documented that choice of waiver providers was provided to and discussed with the individual.	N: # of case management records that contain documentation that choice of waiver providers was offered to the individual
	D: = total # of records reviewed
Data Source: DMAS QMR	
Performance Measure	Indicators ND
D13. Number and percent of individuals whose case management records contain an appropriately completed and signed form that specifies choice was offered among waiver services	N: = # of case management records that contain documentation of choice among waiver services
	D: = total # of records reviewed
Data Source: DMAS QMR	

G. Health and Welfare

Assurance: The state demonstrates it has designed and implemented an effective system for assuring waiver participant health and welfare

Performance Measure	Indicators ND
G1. Number and percent of closed cases of abuse/neglect/exploitation for which DBHDS verified that the investigation conducted by the provider was done in accordance with regulations.	N: # number of closed cases of abuse/neglect/exploitation verified that the investigation was conducted in accordance with regulations D: number of closed cases of abuse/neglect/exploitation that were reviewed
Data Source: DBHDS OHR Retrospective review	

Performance Measure	Indicators ND
G2. Number and percent of substantiated cases of abuse/neglect/exploitation for which the required corrective action was verified by DBHDS as being implemented	N: = number of substantiated cases of abuse/neglect/exploitation for which the required corrective action was verified as being implemented within 90 days D: = number of substantiated cases of abuse/neglect/exploitation
Data Source: DBHDS CHRIS system via Data Warehouse	

Performance Measure	Indicators ND
G3. # and percent of unexpected deaths where the cause of the death/factor in the death, was potentially preventable & some intervention to remediate was taken	N= # of unexpected deaths where the cause of death/a factor in the death, was potentially preventable & some intervention to remediate was taken D: # of unexpected deaths where the cause of death/a factor in the death, was potentially preventable
Data Source: DBHDS Mortality Review Committee Data Tracking	

Performance Measure	Indicators ND
G4. Number and percent of individuals who receive annual notification of rights and information to report ANE	N: Number of records containing documentation confirming notification of rights and how to report ANE D: = Total number of records received
Data Source: DMAS QMR	

Sub-assurance: The State demonstrates on an ongoing basis that it identifies addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.

Performance Measure	Indicators ND
G5. Number and percent of critical incidents reported to the Office of Licensing within the required timeframes as specified in the approved waiver.	N: = Number of critical incidents reported to the Office of Licensing within the required timeframe. D: = Number of critical incidents reported to the Office of Licensing regarding individuals receiving DD waiver services
Data Source: DBHDS CHRIS system via Data Warehouse	

Performance Measure	Indicators ND
G6. # and % of licensed DD providers that administer medications that were not cited for failure to review medication errors at least quarterly.	N: # of licensed DD providers that administer medications not cited for failure to review medication errors at least quarterly D: # of licensed DD providers that administer medications that were reviewed by Office of Licensing in the quarter

Data Source: Office of Licensing data regulation	
Performance Measure	Indicators ND
G7. Number and percent of individuals reviewed who did not have unauthorized restrictive interventions.	N: = number of individuals reviewed who did not have unauthorized restrictive interventions. D: = number and percent of individuals reviewed
Data Source: DBHDS QSR contractor alerts	
Performance Measure	Indicators ND
G8. Number and percent of individuals who did not have unauthorized seclusion.	N: = number of individuals who did not have unauthorized seclusion D: = number of abuse allegations + complaints submitted via CHRIS
Data Source: DBHDS CHRIS critical incident reports Report	
Performance Measure	Indicators ND
G9. Number and percent of participants 20 years and older who had an ambulatory or preventive care visit during the year.	N: Number of participants 20 years and older who had an ambulatory or preventive care visit during the prior year. D: = Number of participants 20 years and older
Data Source: DMAS NCQA Data	
Performance Measure	Indicators ND
G10. Number and percent of participants 19 and younger who had an ambulatory or preventive care visit during the year.	N: Number of participants 19 and younger who had an ambulatory or preventive care visit during the prior year. D: = Number of participants 19 and younger
Data Source: DMAS NCQA Data	

I. Financial Accountability

Assurance: State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.
 Sub-assurance: a) The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.

Performance Measure	Indicators ND
I1. Number and percent of adjudicated waiver claims that were submitted and reimbursed using the correct rate in accordance with the approved DMAS rate schedule.	N: Number of adjudicated claims reimbursed using the approved rate
	D: Total number of adjudicated claims
Data Source: DMAS MMIS Claims	

Performance Measure	Indicators ND
I2. Number and percent of adjudicated waiver claims that were submitted using the correct procedure codes	N: I2.Total number of adjudicated claims that were submitted using the correct procedure codes.
	D: Total number of adjudicated claims.
Data Source: DMAS MMIS Claims	

Sub-assurance: The process and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.

Performance Measure	Indicators ND
I3. Number and percent of claims adhering to the approved rate/rate methodology in the waiver application	N: Number of claims adhering to the approved rate/rate methodology
Data Source: DMAS MMIS Claims	D: Total # of claims