

Performance Measures and Data Sources by Assurance

Level of Care

Framework: Member Access

Legend	
DD/MR	Developmental Disabilities and Mental Retardation 1915(c) waiver
DOH-DDD	Department of Health, Developmental Disabilities Division
GHP	Going Home Plus Program (under Money Follows the Person grant)
HCBS	Home and Community Based Services
MQD/CSO	Med-QUEST Division/Clinical Standards Office
MQD/HCSB	Med-QUEST Division/Health Care Services Branch
QExA	QUEST Expanded Access Health Plans
PRO	Peer Review Organization
SHOTT	State of Hawaii Organ and Tissue Transplant Program

Assurance Component	Performance Measures	Discovery Data Source	Discovery ➤ Responsible Party ➤ Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis ➤ Responsible Party ➤ Frequency	Nature of Remediation Reports	System Improvement Activities
1)An evaluation for level of care (LOC) is provided to all applicants for whom there is reasonable indication that HCBS may be needed in the future	<p><u>DD/MR</u> Number and percent of DD/MR Waiver Participants with approved DHS 1150C prior to receipt of services</p> <p><u>QExA/GHP/SHOTT</u> Number and percent of HCBS members (with HCBS facility code in HPMMIS) with approved DHS 1147 prior to receipt of services.</p>	<p><u>DD/MR</u> DD/MR LOC Tracking Log</p> <p>Record Reviews</p> <p><u>QExA/GHP/SHOTT</u> 1147 PRO Match File <i>This will capture in an ongoing fashion both new members as well as re-evaluations with approved 1147.</i></p> <p>Record Review</p>	<p><u>DD/MR</u> MQD/HCSB –Monthly</p> <p>DOH-DDD-Quarterly</p> <p><u>QExA/GHP/SHOTT</u> MQD/HCSB-Monthly</p> <p>MQD/HCSB-Quarterly</p>	<p><u>DD/MR</u> 100% Review</p> <p>Representative Sample</p> <p><u>QExA/GHP/SHOTT</u> 100% Review</p> <p>Representative Sample</p>	<p><u>DD/MR</u> MQD/HCSB-Monthly</p> <p>MQD/HCSB-Quarterly</p> <p><u>QExA/GHP/SHOTT</u> MQD/HCSB-Monthly</p> <p>MQD/HCSB-Quarterly</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u> List of individual problems, analysis of trends, and when corrected</p> <p>Corrective Action Reports w/timelines to DOH-DDD/QExA/GHP/SHOTT</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u> DHS will work with DOH-DDD/QExA/GHP/SHOTT to ensure timeliness of initial LOC decisions</p>
2) The LOC of enrolled members is reevaluated at least annually or as specified in the approved waiver	<p><u>DD/MR</u> Number and percent of DD/MR Waiver Participants who received an annual re-</p>	<p><u>DD/MR</u> DD/MR LOC Tracking Log (log provided to MQD/HCSB from</p>	<p><u>DD/MR</u> DHS-HCSB Monthly</p>	<p><u>DD/MR</u> 100% Review</p>	<p><u>DD/MR</u> MQD/HCSB-Monthly</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u> List of individual problems, analysis of trends, and when</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u> Timeliness of LOC forms completion and submittal</p>

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	<p>evaluation of LOC eligibility</p> <p><u>QExA/GHP/SHOTT</u> Number and percent of HCBS members (with HCBS facility code in HPMMIS) who have current approved LOC.</p>	<p>DOH-DDD)</p> <p>Record Reviews</p> <p><u>QExA/GHP/SHOTT</u> PRO LOC Renewal Report</p> <p>Record Reviews</p>	<p>DOH-DDD-Quarterly</p> <p><u>QExA/GHP/SHOTT</u> MQD/HCSB – Monthly</p> <p><u>QExA/GHP/SHOTT</u> - Quarterly</p>	<p>Representative Sample</p> <p><u>QExA/GHP/SHOTT</u> 100% Review</p> <p>Representative Sample</p>	<p>MQD/HCSB-Quarterly</p> <p><u>QExA/GHP/SHOTT</u> MQD-HCSB – Monthly Findings Reports by HCBS Program</p> <p>MQD/HCSB - Quarterly</p>	<p>corrected</p> <p>Findings Reports to DOH-DDD/QExA/GHP/SHOTT including corrective action and timelines if needed.</p>	<p>Timeliness of 1148 and 1138 input by eligibility workers</p> <p>Early ID Activities</p> <p>Tickler Activities</p> <p>Automating Activities</p> <p>Internal DHS-QA Committee</p> <p>QA committee with representation from DD/MR/QExA/GHP/SHOTT</p>
<p>3) The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care</p>	<p><u>DD/MR</u> Number and percent of DD/MR Waiver Participants with completed LOC determination on appropriate 1150C or Annual Re-evaluation Form</p> <p>Number and percent of DD/MR Waiver initial LOC</p>	<p><u>DD/MR</u> DD/MR LOC Tracking Log</p> <p>Record reviews</p>	<p><u>DD/MR</u> MQD/HCSB- Monthly</p> <p>MQD/CSO- Annually</p>	<p><u>DD/MR</u> 100% Review</p> <p>Representative Sample</p>	<p><u>DD/MR</u> MQD/HCSB - Monthly</p> <p>MQD/CSO- Annually</p>	<p><u>DD/MR</u> List of individual problems and when corrected</p> <p>Findings report including corrective action and timelines if</p>	<p><u>DD/MR</u> DHS will work with DOH-DDD to ensure timeliness and accuracy of initial and re-evaluation LOC decisions.</p>

Assurance Component	Performance Measures	Discovery Data Source	Discovery ➤ Responsible Party ➤ Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis ➤ Responsible Party ➤ Frequency	Nature of Remediation Reports	System Improvement Activities
	<p>evaluations are confirmed through peer review</p> <p>Number and percent of DD/MR Waiver re-evaluations denied and resulting in discharge that are validated through MQD/HCSB review</p> <p><u>QExA/GHP/SHOTT</u> Number and percent of HCBS members with completed LOC determination on appropriate form: DHS 1147 or 1147e</p>	<p>Record reviews</p> <p><u>QExA/GHP/SHOTT</u> HPMMIS LOC report of HCBS members with approved LOC will capture only LOC on appropriate form.</p>	<p>MQD/HCSB-Annually</p> <p><u>QExA/GHP/SHOTT</u> MQD/HCSB- Monthly</p>	<p>100% Sample</p> <p><u>QExA/GHP/SHOTT</u> Representative Sample/ ongoing</p>	<p>MQD/HCSB- Annually</p> <p><u>QExA/GHP/SHOTT</u> MQD/HCSB – Quarterly</p>	<p>needed.</p> <p>Findings report including corrective action and timelines if needed.</p> <p><u>QExA/GHP/SHOTT</u> List of individual problems and when corrected</p>	<p><u>QExA/GHP/SHOTT</u> DHS will work with QExA/GHP/SHOTT to ensure timeliness and accuracy of initial and re-evaluation LOC decisions.</p>
<p>The State monitors LOC decisions and takes appropriate action to address inappropriate LOC determinations</p>	<p><u>QExA/GHP/SHOTT</u> Increased Functional Points: Number and percent of HCBS members with increased functional points on</p>	<p><u>QExA/GHP/SHOTT</u> PRO –LOC Increased Functional Points Report</p>	<p><u>QExA/GHP/SHOTT</u> MQD/HCSB – Semi-Annual</p>	<p><u>QExA/GHP/SHOTT</u> 100% Review on criteria</p>	<p><u>QExA/GHP/SHOTT</u> MQD/HCSB-Semi-Annual</p>	<p><u>QExA/GHP/SHOTT</u> Findings Reports to QExA Plans Validation & resubmission of sample of assessments</p>	<p><u>QExA/GHP/SHOTT</u> UR of LOC Points and provide Corrective Action Plan</p>

Assurance Component	Performance Measures	Discovery Data Source	Discovery ➤ Responsible Party ➤ Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis ➤ Responsible Party ➤ Frequency	Nature of Remediation Reports	System Improvement Activities
	<p>the LOC determination either within the same level of care or after a denial in a 12 month period</p> <p>Inter-rater Reliability (IRR) of PRO LOC determinations:</p> <p>Number and percent of PRO LOC denials with ≥ 7 points, also denied by MQD IRR reviews</p> <p>Number and percent of PRO LOC approvals with ≤ 14 points, also approved by MQD IRR reviews</p> <p>Number and percent of PRO LOC reconsiderations in agreement with MQD IRR reviews</p> <p>Number and percent of PRO 1147e-LOC Denials for Children,</p>	<p>PRO Physician IRR report</p> <p>PRO Physician IRR report</p> <p>PRO Physician IRR report</p> <p>PRO Physician IRR report</p>	<p>MQD/HCSB -Quarterly</p> <p>MQD/HCSB -Quarterly</p> <p>MQD/HCSB -Quarterly.</p> <p>MQD/HCSB -Quarterly.</p>	<p>100% Review on criteria</p> <p>100% Review on criteria</p> <p>100% Review on criteria</p> <p>100% Review on criteria</p>	<p>MQD/HCSB – Quarterly</p> <p>MQD/HCSB-Quarterly</p> <p>MQD/HCSB-Quarterly</p> <p>MQD/HCSB-Quarterly</p>	<p>by HP-SC, if needed</p> <p>Findings report from PRO</p> <p>Consultation Meetings w/ PRO- Semi Annually</p>	<p>Consistency with LOC criteria (assessments, interpretation of tool)</p>

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	<p>also denied by MQD IRR reviews</p> <p><u>QExA</u> Health Plan (HP) Provider Validation:</p> <p>Number and percent of health plan delegated providers whose LOC determinations are inappropriate</p> <p><u>DD/MR</u> Number and percent of DD/MR Waiver initial LOC evaluations are confirmed through peer review</p> <p>Number and percent of DD/MR Waiver re-evaluations denied and resulting in discharge that are validated through MQD/HCSB review.</p>	<p><u>QExA</u> QExA Plan-Delegated Provider LOC validation report (includes corrective action taken)</p> <p><u>DD/MR</u> Record reviews</p> <p>Record reviews</p>	<p><u>QExA</u> QExA Plans –Semi Annually</p> <p><u>DD/MR</u> MQD/CSO- Annually</p> <p>MQD/HCSB-Annually</p>	<p><u>QExA</u> 100% Review on criteria</p> <p><u>DD/MR</u> Representative Sample</p> <p>100% Sample</p>	<p><u>QExA</u> MQD/HCSB-Quarterly</p> <p><u>DD/MR</u> MQD/CSO- Annually</p> <p>MQD/HCSB- Annually</p>	<p><u>QExA</u> Findings report and corrective action if needed</p> <p><u>DD/MR</u> Findings report including corrective action and timelines if needed.</p>	

Service Plan

Framework: Member-Centered Service Planning and Delivery, Member Rights and Responsibilities, Member Outcomes and Satisfaction

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis > Responsible Party > Frequency	Nature of Remediation Reports	System Improvement Activities
1) Service plans address all participants' assessed needs (including health and safety risk factors) and personal goals, either by the provision of HCBS services or through other means	<p><u>DD/MR</u> Number and percent of DD/MR Waiver Participants who have ISP/IPs that are adequate and appropriate to their needs, capabilities and desired outcomes, as indicated in the assessment.</p> <p>(Survey) Number and percent of DD/MR Waiver Participants who report:</p> <ul style="list-style-type: none"> > Their case managers asked about their preferences. > Their case managers help them get what they need. > They have adequate transportation when they want to go somewhere. 	<p><u>DD/MR</u> Record Reviews</p> <p>ISP/IP Audit Validation Reports</p> <p>DD/MR Waiver Participants Survey</p>	<p><u>DD/MR</u> MQD/HCSB validates a sample of DD/MR audits- Annually</p> <p>DOH-DDD-Quarterly</p> <p>DOH-DDD and PRO- Annually > DOH-DDD mail surveys to members/clients > Surveys returned to and analyzed by PRO</p>	<p><u>DD/MR</u> Representative Sample of DD/MR audits</p> <p>Representative Sample</p> <p>100% Review</p>	<p><u>DD/MR</u> MQD/HCSB – Annually</p> <p>MQD/HCSB –Quarterly</p> <p>PRO and MQD/HCSB- Annual</p>	<p><u>DD/MR</u> List of individual problems, corrective action plans (CAPs), timeliness of CAP implementation.</p>	<p><u>DD/MR</u> Training for case managers</p> <p>Use of standardized tools to ensure consistency with implementation</p>

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis > Responsible Party > Frequency	Nature of Remediation Reports	System Improvement Activities
	<p><u>QExA/GHP/SHOTT</u> Number and percent of HCBS members who have service plans that are adequate and appropriate to their needs, capabilities and desired outcomes, as indicated in the assessment</p> <p>(Survey) Number and percent of HCBS members who report:</p> <ul style="list-style-type: none"> ➤ Their service coordinators asked about their preferences. ➤ Their service coordinators help them get what they need. ➤ They have adequate transportation when they want to go somewhere. 	<p><u>QExA/GHP/SHOTT</u> Record Reviews</p> <p>Service Plan Audit Validation Reports</p> <p>HCBS Consumer Survey</p>	<p><u>QExA/GHP/SHOTT</u> MQD/HCSB validates a sample of QExA/GHP/SHOTT audits - Annually</p> <p>QExA/GHP/SHOTT – Quarterly</p> <p>QExA/GHP/SHOTT and PRO – Annually > QExA plans/GHP/SHOTT mail surveys to participants >Surveys returned to and analyzed by PRO</p>	<p><u>QExA/GHP/SHOTT</u> Representative Sample of QExA/GHP/SHOTT audits</p> <p>Representative Sample</p> <p>100% Review</p>	<p><u>QExA/GHP/SHOTT</u> MQD/HCSB - Annually</p> <p>MQD/HCSB – Quarterly</p> <p>PRO and MQD/HCSB - Annually</p>	<p><u>QExA/GHP/SHOTT</u> List of individual problems, corrective action plans (CAPs), timeliness of CAP implementation</p>	<p><u>QExA/GHP/SHOTT</u> Training for service coordinators and case managers</p> <p>Use of standardized tools to ensure consistency with implementation</p>

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis > Responsible Party > Frequency	Nature of Remediation Reports	System Improvement Activities
2) The state monitors service plan development in accordance with its policies and procedures.	<p><u>DD/MR</u> Number and percent of DD/MR Waiver Participants who received quarterly monitoring contacts as specified in waiver</p> <p><u>QExA/GHP/SHOTT</u> Number and percent of HCBS members who received monitoring contacts as specified in contract</p>	<p><u>DD/MR</u> Record Review</p> <p>ISP/IP Audit Validation Reports</p> <p><u>QExA/GHP/SHOTT</u> Record Review</p> <p>Service Plan Audit Validation Reports</p>	<p><u>DD/MR</u> MQD/HCSB validates a sample of DD/MR audits- Annually</p> <p>DOH-DDD-Quarterly</p> <p><u>QExA/GHP/SHOTT</u> MQD/HCSB validates a sample of QExA/GHP/SHOTT audits - Annually</p> <p><u>QExA/GHP/SHOTT</u> – Quarterly</p>	<p><u>DD/MR</u> Representative Sample of DD/MR audits</p> <p>Representative Sample</p> <p><u>QExA/GHP/SHOTT</u> Representative Sample of QExA/GHP/SHOTT audits</p> <p>Representative Sample</p>	<p><u>DD/MR</u> MQD/HCSB -Annually</p> <p>MQD/HCSB -Quarterly</p> <p><u>QExA/GHP/SHOTT</u> MQD/HCSB - Annually</p> <p>MQD/HCSB – Quarterly</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u> Identify problem areas, reasons for member lack of participation, corrective action plans (CAPs), and CAP implementation</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u> Policy and Procedure reviews and revisions</p>
3) Service plans are updated/revised at least annually or when warranted by changes in the waiver participant/ HCBS member’s needs	<p><u>DD/MR</u> Number and percent of DD/MR Waiver Participants with reassessment performed and ISP/IPs updated as required (annual for DDD)</p> <p>Number and percent of DD/MR Waiver Participants with reassessment</p>	<p><u>DD/MR</u> Record reviews</p> <p>ISP/IP Audit Validation Reports</p> <p>Record reviews</p>	<p><u>DD/MR</u> MQD/HCSB validates a sample of DD/MR audits- annually</p> <p>DOH-DDD-Quarterly</p> <p>MQD/HCSB validates a sample DD/MR audits- annually</p>	<p><u>DD/MR</u> Representative Sample of DD/MR audits</p> <p>Representative Sample</p> <p>Representative Sample of DD/MR audits</p>	<p><u>DD/MR</u> MQD/HCSB –Annually</p> <p>MQD/HCSB -Quarterly</p> <p>MQD/HCSB -Annually</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u> List of individual problems, corrective action plans (CAPs), timeliness of CAP implementation.</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u> Utilization of tickler systems</p> <p>Feasibility of Automated Tickler systems</p> <p>Training for Documentation Practices</p>

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis > Responsible Party > Frequency	Nature of Remediation Reports	System Improvement Activities
	<p>performed and ISP/IPs updated when needs/condition changed</p> <p>(Survey) Number and percent of DD/MR Waiver Participants who report:</p> <ul style="list-style-type: none"> ➤ They make choices about their everyday lives, including: housing, roommates, daily routines, jobs, case manager, support staff or providers, and social activities. ➤ “Needed” services are not available. <p><u>QExA/GHP/SHOTT</u> Number and percent of HCBS members with reassessment performed and service plan updated as required</p> <p>Number and percent of HCBS members with reassessment performed and service</p>	<p>ISP/IP Audit Validation Reports</p> <p>DD/MR Waiver Participants Survey</p> <p><u>QExA/GHP/SHOTT</u> Record reviews</p> <p>Service Plan Audit Validation Reports</p> <p>Record reviews</p>	<p>DOH-DDD-Quarterly</p> <p>DOH-DDD and PRO-Annual (see above for details)</p> <p><u>QExA/GHP/SHOTT</u> MQD/HCSB validates a sample of QExA/GHP/SHOTT audits- Annually</p> <p>QExA/GHP/SHOTT - Quarterly</p> <p>MQD/HCSB validates a sample of QExA/GHP/SHOTT audits - Annually</p>	<p>Representative Sample</p> <p>100% Review</p> <p><u>QExA/GHP/SHOTT</u> Representative Sample</p> <p>Representative Sample</p> <p>Representative Sample</p>	<p>MQD/HCSB -Quarterly</p> <p>PRO and MQD/HCSB – Annual</p> <p><u>QExA/GHP/SHOTT</u> MQD/HCSB –Annually</p> <p>MQD/HCSB -Quarterly</p> <p>MQD/HCSB -Annually</p>		<p>Standardization of Documentation practices</p>

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis > Responsible Party > Frequency	Nature of Remediation Reports	System Improvement Activities
	<p>plans updated when needs/condition changed</p> <p>(Survey) Number and percent of HCBS members who report:</p> <ul style="list-style-type: none"> ➤ They make choices about their everyday lives, including: housing, roommates, daily routines, case manager, support staff or providers, and social activities. ➤ “Needed” services are not available. 	<p>Service Plan Audit Validation Reports</p> <p>HCBS Consumer Survey</p>	<p>QExA/GHP/SHOTT - Quarterly</p> <p>QExA/GHP/SHOTT and PRO - Annually (see above for details)</p>	<p>Representative Sample</p> <p>100% Review</p>	<p>MQD/HCSB -Quarterly</p> <p>PRO and MQD/HCSB – Annually</p>		
4) Services are delivered in accordance with the SP including the type, scope, amount, duration, and frequency specified in the service plan	<p><u>DD/MR</u> Number and percent of DD/MR Waiver Participants whose services (type, amount, frequency, duration) were provided as specified in the ISP/IPs</p> <p><u>QExA/GHP/SHOTT</u> Number and percent of HCBS members whose services (type, amount, frequency, duration)</p>	<p><u>DD/MR</u> Record Review.</p> <p>ISP/IPs Audit Validation Reports</p> <p><u>QExA/GHP/SHOTT</u> Record Review</p>	<p><u>DD/MR</u> MQD/HCSB validates a sample of DD/MR audits- Annually</p> <p>DOH-DDD-Quarterly</p> <p><u>QExA/GHP/SHOTT</u> MQD/HCSB validates a sample of QExA/GHP/SHOTT audits- Annually</p>	<p><u>DD/MR</u> Representative Sample of DD/MR audits</p> <p>Representative Sample</p> <p><u>QExA/GHP/SHOTT</u> Representative Sample of QExA/GHP/SHOTT audits- Annually</p>	<p><u>DD/MR</u> MQD/HCSB –Annually</p> <p>MQD/HCSB-Quarterly</p> <p><u>QExA/GHP/SHOTT</u> MQD/HCSB -Annually</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u> List of individual problems, corrective action plans (CAPs), timeliness of CAP implementation.</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u> Training for case managers and service coordinators</p> <p>Use of standardized tools to ensure consistency with implementation</p>

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis > Responsible Party > Frequency	Nature of Remediation Reports	System Improvement Activities
	were provided as specified in the service plan	Service Plan Audit Validation Reports	QExA/GHP/SHOTT - Quarterly	Representative Sample	MQD/HCSB-Quarterly		
5) Waiver participants are afforded choice: between HCBS services and institutional care, and between/among HCBS services and providers	<p><u>DD/MR</u> Number and percent of DD/MR Waiver Participants with documentation of choice offered</p> <p>1. Between institutional care and HCBS, and</p> <p>2. Among available providers</p> <p>Number and percent of DD/MR Waiver Participants with signed ISP/IPs by members or authorized representative.</p>	<p><u>DD/MR</u> Record Review</p> <p>ISP/IPs Audit Validation Reports</p> <p>Record Review</p> <p>ISP/IPs Audit Validation Reports</p>	<p><u>DD/MR</u> MQD/HCSB validates a sample DD/MR audits- annually</p> <p>DOH-DDD-Quarterly</p> <p><u>MQD/HCSB</u> MQD/HCSB validates a sample DD/MR audits- annually</p> <p>DOH-DDD-Quarterly</p>	<p><u>DD/MR</u> Representative Sample of DD/MR audits</p> <p>Representative Sample</p> <p>Representative Sample of DD/MR audits</p> <p>Representative Sample</p>	<p><u>DD/MR</u> MQD/HCSB -Annually</p> <p>MQD/HCSB-Quarterly</p> <p>MQD/HCSB -Annually</p> <p>MQD/HCSB-Quarterly</p>	<p><u>DD/MR</u> List of members who were not offered choice and the way in which compliance was achieved</p> <p>Problems identified and remediation completed</p>	<p><u>DD/MR</u> Training for case managers</p> <p>Use of standardized tools to ensure consistency with implementation</p>
	<u>QExA/GHP/SHOTT</u> Number and percent of HCBS members with documentation of choice offered between	<u>QExA/GHP/SHOTT</u> Record Review	<u>QExA/GHP/SHOTT</u> MQD/HCSB validates a sample of QExA/GHP/SHOTT audits- Annually	<u>QExA/GHP/SHOTT</u> Representative Sample of QExA/GHP/SHOTT audits- Annually	<u>QExA/GHP/SHOTT</u> MQD/HCSB -Annually	<u>QExA/GHP/SHOTT</u> List of members who were not offered choice and the way in which compliance was achieved	<u>QExA/GHP/SHOTT</u> Training for service coordinators and case managers

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis > Responsible Party > Frequency	Nature of Remediation Reports	System Improvement Activities
	<p>institutional care and HCBS care and choice offered among available providers</p> <p>Number and percent of HCBS members with signed service plans by members or guardians</p>	<p>Service Plan Audit Validation Reports</p> <p>Record Review</p> <p>Service Plan Audit Validation Reports</p>	<p>QExA/GHP/SHOTT – Quarterly</p> <p>MQD/HCSB validates a sample of QExA/GHP/SHOTT audits - Annually</p> <p>QExA/GHP/SHOTT - Quarterly</p>	<p>Representative Sample</p> <p>Representative Sample of QExA/GHP/SHOTT audits</p> <p>Representative Sample</p>	<p>MQD/HCSB - Quarterly</p> <p>MQD/HCSB - Annually</p> <p>MQD/HCSB - Quarterly</p>	<p>Problems identified and remediation completed</p>	<p>Use of standardized tools to ensure consistency with implementation</p>

DRAFT

Qualified Providers

Framework: Provider Capacity and Capabilities

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis >Responsible Party >Frequency	Nature of Remediation Reports	System Improvement/ Next Steps
1) The state verifies that providers, initially and continually, meet required licensing and/or certification standards and adhere to other standards prior to their furnishing HCBS services	<u>DD/MR/QExA/GHP/SHOTT</u> Number and percent of licensed/certified providers (by provider type) that meet required licensing, certification, and other state standards	<u>DD/MR/QExA/GHP/SHOTT</u> Quality Assurance/Improvement Review of Hawaii’s DD/MR Waiver Providers Report QExA/ GHP/SHOTT Providers Report Current Contract/ Provider Agreements Provider Personnel Records CTA License Certification Report (QExA/GHP/SHOTT only) DOH-DDD/QExA/ GHP/SHOTT Provider On-site Reviews	<u>DD/MR/QExA/GHP/SHOTT</u> DOH-DDD/QExA/GHP/SHOTT-Quarterly MQD/HCSB validates sample of DOH-DDD/ QExA/GHP/SHOTT Provider On-site Reviews– Semi-Annually	<u>DD/MR/QExA/GHP/SHOTT</u> Representative Sample/Ongoing Sample of DOH-DDD/ QExA/GHP/SHOTT provider on-site reviews	<u>DD/MR/QExA/GHP/SHOTT</u> MQD/HCSB- Quarterly MQD/HCSB – Semi-Annually	<u>DD/MR/QExA/GHP/SHOTT</u> List of providers applying to become DD/MR Waiver service providers, reasons why service provider applications were denied, and steps that should be taken to reapply List of organizations/ CCFFHs/ CDPAs that were reviewed, compliance issues uncovered, deficiencies (by type, category of deficiency, #/types of sanctions applied and corrections made Corrective Action Reports	<u>DD/MR/QExA/GHP/SHOTT</u> Methods to increase provider network/ shortage areas Automated linkages between payment systems and qualified providers

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis >Responsible Party >Frequency	Nature of Remediation Reports	System Improvement/ Next Steps
						w/timelines for DOH-DD/QExA/. GHP/SHOTT and specific providers as needed	
2) The state monitors non-licensed/non-certified providers to assure adherence to HCBS requirements	<u>DD/MR/QExA/GHP/SHOTT</u> Number and percent of non-licensed/non-certified providers (includes consumer directed providers) that meet HCBS requirements (or has waiver for requirements)	<u>DD/MR/QExA/GHP/SHOTT</u> Quality Assurance/Improvement Review of Hawaii’s DD/MR Waiver Providers Report QExA/ GHP/SHOTT Providers Report Current Provider Agreements Provider Personnel Records DOH-DDD/ QExA/ GHP/SHOTT Provider On-site Reviews	<u>DD/MR/QExA/GHP/SHOTT</u> DOH-DDD/QExA/GHP/SHOTT-Quarterly MQD/HCSB validates sample of DOH-DDD/ QExA/ GHP/SHOTT provider on-site reviews- Semi-Annually	<u>DD/MR/QExA/GHP/SHOTT</u> Representative Sample Sample of DOH-DDD/ QExA/ GHP/SHOTT provider on-site reviews	<u>DD/MR/QExA/GHP/SHOTT</u> MQD/HCSB-Quarterly MQD/HCSB- Semi-Annually	<u>DD/MR/QExA/GHP/SHOTT</u> List of organizations and CDPAs that were reviewed, compliance issues uncovered, deficiencies (by type, category of deficiency, #/types of sanctions applied, and corrections made Corrective Action Reports w/timelines and specific providers as needed	<u>DD/MR/QExA/GHP/SHOTT</u> Development of back up plans for staffing coverage Management issues with hard to staff individuals Compliance with AER reports Implementation of provider organization QI procedures and trending Reduce # of providers with repeat deficiencies

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data aggregation and analysis >Responsible Party >Frequency	Nature of Remediation Reports	System Improvement/ Next Steps
3) The state implements its policies and procedures for verifying that provider training has been conducted in accordance with state requirements and the approved waiver	<u>DD/MR/QExA/GHP/SHOTT</u> Number and percent of contracted providers (both licensed/certified and non-licensed/non-certified) that meet training requirements	<u>DD/MR/QExA/GHP/SHOTT</u> Quality Assurance/ Improvement Review of Hawaii’s DD/MR Waiver Providers Report QExA/ GHP/SHOTT Providers Report Provider Personnel Records DOH-DDD/QExA/ GHP/SHOTT Provider On-site Reviews	<u>DD/MR/QExA/GHP/SHOTT</u> DOH-DDD/QExA/GHP/SHOTT- Quarterly MQD/HSCB validates sample of DOH-DDD/ QExA/GHP/SHOTT provider on-site reviews- Semi-Annually	<u>DD/MR/QExA/GHP/SHOTT</u> Representative Sample Sample of DOH-DDD/ QExA/GHP/SHOTT provider on-site reviews	<u>DD/MR/QExA/GHP/SHOTT</u> MQD/HCSB- Semi-Annually MQD/HCBS-Semi-Annually	<u>DD/MR/QExA/GHP/SHOTT</u> List of organizations, individual providers that were reviewed, compliance issues uncovered, and corrections made Corrective Action Reports w/timelines and specific providers as needed	<u>DD/MR/QExA/GHP/SHOTT</u> Support staff training as needed.

Health and Welfare

Framework: Member Safeguards, Member Outcomes and Satisfaction

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data Aggregation/ Analysis >Responsible Party >Frequency	Nature of Remediation Reports	System Improvement/ Next Steps
1) The state, on an on-going basis, identifies, addresses and seeks to prevent instances of abuse, neglect and exploitation	<p><u>DD/MR/QExA/GHP/SHOTT</u> Adverse Events Reporting</p> <p>Number & percent of adverse event reports (AERs) for abuse/neglect/exploitation, deaths, falls, medication errors, pressure ulcers:</p> <ul style="list-style-type: none"> ➤ By type ➤ Reported w/in required timeframe ➤ Reported to appropriate authorities if applicable (APS, CPS, police) ➤ Substantiated by type ➤ Investigated within the required timeframe ➤ Corrective action reviewed and verified within the required timeframe <p>Average number of AERs per participant/</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u></p> <p>AERs Summary Report [includes APS/CPS Reports]</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u></p> <p>DOH-DDD/QExA/GHP/SHOTT- Quarterly</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u></p> <p>100% Review</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u></p> <p>MQD/HCSB- Quarterly</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u></p> <p>List of individual problems, interventions for remediation, and when documented completed.</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u></p> <p>Identify indicators that</p> <ul style="list-style-type: none"> ➤ Services are not being provided, Services need to be modified, and/or ➤ Participant/HCBS member's health and welfare are at risk. <p>Comprehensive development of back-up plans for each HCBS individual</p>

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data Aggregation/ Analysis >Responsible Party >Frequency	Nature of Remediation Reports	System Improvement/ Next Steps
	<p>HCBS member</p> <p>Grievance, Complaints, Appeals</p> <p>Total number and percent of authorizations</p> <ul style="list-style-type: none"> ➤ Denied ➤ Appealed and overturned ➤ Appealed and upheld <p>Total number and percent of provider complaints and member grievances related to HCBS</p> <ul style="list-style-type: none"> ➤ Investigated w/in required timeframe ➤ Corrective action reviewed and verified w/in required timeframe <p>Satisfaction and QOL</p> <p>(Survey) Number and percent of DD/MR Waiver participants/ HCBS members who report:</p> <ul style="list-style-type: none"> ➤ Most support staff 	<p>Prior Authorization Denial Report</p> <p>Participant/HCBS Member Grievances and Appeals Report</p> <p>Provider Complaints Report</p> <p>DD/MR Waiver Participants/HCBS Consumer Survey</p>	<p>DOH-DDD/QExA/GHP/ SHOTT- Quarterly</p> <p>DOH-DDD/QExA/GHP/ SHOTT- Quarterly</p> <p>DOH-DDD/QExA/GHP/ SHOTT-Quarterly</p> <p>DOH-DDD/QExA/GHP/ SHOTT and PRO- Annually (see above for details)</p>	<p>100% Review</p> <p>100% Review</p> <p>100% Review</p> <p>100% Review</p>	<p>MQD/HCSB- Quarterly</p> <p>MQD/HCSB- Quarterly</p> <p>MQD/HCSB- Quarterly</p> <p>PRO and MQD/HCSB- Annually</p>	<p>List of individual problems, interventions for remediation, and when documented completed.</p>	<p>Identify indicators that services are not being provided, services need to be modified, and/or the participant/HCBS member's health and welfare are at risk</p> <p>Identify indicators that services are not being provided, services need to be modified, and/or the participant's health and welfare are at risk</p>

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data Aggregation/ Analysis >Responsible Party >Frequency	Nature of Remediation Reports	System Improvement/ Next Steps
	<p>treat them with respect.</p> <ul style="list-style-type: none"> ➤ They feel safe in their home and neighborhood. ➤ Their basic rights are respected by others. <p>Number and percent of DD/MR Waiver participants/HCBS members living in Developmentally Disabled (DD) Domiciliary homes or foster homes (either DD or community care family foster home (CCFFH) who report:</p> <ul style="list-style-type: none"> ➤ They are satisfied with where they live. ➤ Satisfaction with the amount of privacy they have. ➤ They are able to see their families and friends when they want. 						

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Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data Aggregation/ Analysis >Responsible Party >Frequency	Nature of Remediation Reports	System Improvement/ Next Steps
	<p><u>Under development:</u> HEDIS-like measures for Emergency Visits, Hospitalizations, Preventive Care, Chronic Illness, Medication Safety</p> <ul style="list-style-type: none"> ➤ Rate of ED Visits ➤ Rate of inpatient acute admissions ➤ Adult access to preventive and ambulatory health services ➤ F/u after hospitalization for mental illness ➤ Cervical cancer screening ➤ Breast cancer screening ➤ Colon cancer screening ➤ Osteoporosis management in women who have had a fracture ➤ Comprehensive diabetes measures ➤ Cholesterol management in patients with cardiovascular 	<p>HEDIS-like measures for Emergency Visits, Hospitalizations, Preventive Care, Chronic Illness, Medication Safety Data Warehouse- HEDIS-like measures extracts</p>	<p>HEDIS-like measures for Emergency Visits, Hospitalizations, Preventive Care, Chronic Illness, Medication Safety MQD- Annually</p>	<p>Selected data warehouse extracts</p>	<p>MQD/HCBS- Annually</p>	<p>Findings report for DD/MR/QExA/ GHP/SHOTT with corrective action or recommendations if needed.</p>	<p>Collaborative identification of system issues and best practices</p>

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data Aggregation/ Analysis >Responsible Party >Frequency	Nature of Remediation Reports	System Improvement/ Next Steps
	conditions ➤ Potentially harmful drug-drug interactions in the elderly ➤ Use of high-risk meds in the elderly ➤ Annual monitoring for patients on persistent meds						

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Administrative Authority
Framework: System Performance

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data Aggregation and Analysis >Responsible Party >Frequency	Nature of Remediation Reports	System Improvement/Next Steps
<p>1) The Medicaid agency retains ultimate authority and responsibility for the operation of the 1115 and 1915(c) by exercising oversight over the performance of waiver functions by other state and local/regional non-state agencies (if appropriate) and contracted entities</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u> Policies and Procedures</p> <p>DD/MR/QExA/GHP/SHOTT policies and procedures (P&P) in compliance with Provider Agreements/MOA/Contracts</p> <p>Number and percent of DD/MR/QExA/GHP/SHOTT P&Ps changed/ updated in the previous year reviewed and approved by MQD</p> <p>Contracts and MOA QExA contracts, DDMR MOA, and SHOTT contract reviewed and updated within the past year.</p> <p>Report Reviews and Remediation</p> <p>Number and percent</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u></p> <p>DD/MR/QExA/GHP/SHOTT P&Ps</p> <p>DD/MR/QExA/GHP/SHOTT P&Ps revisions during the waiver year.</p> <p>QExA Plan contracts, DDMR MOA, SHOTT contract</p> <p>Scheduled Reports from</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u></p> <p>DOH-DDD/QExA/GHP/SHOTT- Annually</p> <p>DOH-DDD/ QExA/GHP/SHOTT-Ongoing</p> <p>MQD/HCSB-BiAnnual, upon expiration or as problems occur</p> <p>MQD/HCSB- per schedule</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u></p> <p>P&P schedule/sample size, (e.g 2 per quarter)</p> <p>100% Review</p> <p>100% Review</p> <p>100% Review</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u></p> <p>MQD/HCSB-Annually</p> <p>MQD/HCSB-Ongoing</p> <p>MQD/HCSB- Upon expiration or as problems occur</p> <p>MQD/HCSB –per schedule</p>	<p><u>DD/MR/QExA/GHP/SHOTT</u></p> <p>Review and ensure that P&Ps are in agreement with DD/MR waiver, standards, and Provider Agreement</p> <p>Review and approval of revised P&Ps</p> <p>Recommendations for new P&Ps and revisions to existing P&Ps</p> <p>Results reviewed</p>	<p>Updating the QIS</p>

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data Aggregation and Analysis >Responsible Party >Frequency	Nature of Remediation Reports	System Improvement/Next Steps
	<p>of reports reviewed within 30 days of receipt</p> <p>Validation Activities</p> <p>Number and percent of planned validation activities completed (see specific assurance sections for each validation activity)</p> <p>Internal Process for Monitoring and Quality</p> <p>MQD/HCSB internal process for monitoring and quality (including report receipt, review, and revisions, tracking/ trending of results, corrective action/ remediation requests, systematic issues addressed in collaborative QA/UR) assessed and revised if needed within the past year</p>	<p>DOH-DDD/QExA/ GHP/SHOTT</p> <p>Scheduled Validation Activities and Documentation Completed</p> <p>MQD/HCSB Internal Monitoring/Quality Process and Calendar (written procedures and schedule)</p>	<p>MQD/HCSB-Quarterly/ Semi-Annually/Annually (see individual assurance sections for details)</p> <p>MQD/HCSB quality group assesses and updates process and calendar for monitoring / quality yearly.</p>	<p>100% of Planned Validation Activities</p> <p>100% Review</p>	<p>MQD/HCSB-Quarterly/ Semi-Annually/Annually (see individual assurance sections for details)</p> <p>MQD/HCSB - Based on schedule</p>	<p>within appropriate quality committees, including follow-up on CAP/ remediation activities, plans for systemic changes and other quality improvement.</p> <p>MQD/HCSB -</p>	<p>process including work plan >milestones >tasks</p> <p>QIS activities revised</p>

Assurance Component	Performance Measures	Discovery Data Source	Discovery >Responsible Party >Frequency	Discovery Sampling Approach	Remediation Data Aggregation and Analysis >Responsible Party >Frequency	Nature of Remediation Reports	System Improvement/Next Steps
	<p>Collaborative Quality Assurance /Improvement and Utilization Review</p> <p>MQD/HCSB joint meetings with DOH- DDD/QExA/GHP/ SHOTT within the past quarter to discuss systemic issues and quality issues discovered through reporting or validation activities and follow-up on CAP/remediation activities</p>	<p>Documentation from collaborative quality meetings with DOH- DDD/QExA/GHP/ SHOTT</p>	<p>DOH- DDD/QExA/GHP/ SHOTT - Quarterly</p> <p>MQD/HCSB sets calendar and agenda, documents meetings, ensures follow-up.</p>	<p>Representative Sample</p> <p>100% participation</p>	<p>MQD/HCSB-Quarterly</p>	<p>prepares findings Reports</p> <p>Findings/trends presented quarterly to the joint QA committee with representation from DD/MR/QExA/GHP/SHOTT</p> <p>Validation calendar updated annually</p> <p>Minutes: analysis of information; recommendations for system improvements; and effectiveness of improvement initiatives.</p>	<p>based on findings and committee recommendations</p> <p>Updated QIS tasks and milestones</p>

Financial Accountability

Framework: System Performance and Provider Capacity and Capabilities

Assurance Component	Performance Measures	Discovery: Data Source	Discovery: Responsible Party Frequency	Discovery: Sampling Approach	Remediation: Data Aggregation/ Analysis Responsible Party Frequency	Nature of Remediation Reports	System Improvement/ Next Steps
1) State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.	<p><u>DD/MR/GHP/ SHOTT</u> Number and percent of HCBS claims paid in a timely manner (as specified in Provider Agreements)</p> <p>Under development: Number and percent of DD/MR claims with fiscal irregularities by irregularity >Not listed in the ISP >HCBS rate overrides; >Payments for suspended clients, >Cost Share Errors; >Non-payments, >Overbillings, >Deductions).</p> <p><u>DD/MR/GHP/ SHOTT/QExA</u> Number and percent of DD/MR/GHP/SHOTT/ QExA denials and number and percent of complaints/grievances related to HCBS authorization and payment.</p>	<p><u>DD/MR/GHP/ SHOTT</u> MMIS (FFS) Reports</p> <p>MMIS (FFS) Reports and/or DOH/DDD/ GHP/SHOTT financial information</p> <p><u>DD/MR/GHP/ SHOTT/QExA</u> Member Grievance and Appeals Report</p> <p>PA Denials report</p>	<p><u>DD/MR/GHP/ SHOTT</u> MQD/HCSB</p> <p>MQD/HCSB</p> <p><u>DD/MR/GHP/ SHOTT/QExA</u> DOH-DDD/ GHP/ SHOTT/QExA- Quarterly</p>	<p><u>DD/MR/GHP/ SHOTT</u> Representative Sample</p> <p>Representative Sample</p> <p><u>DD/MR/GHP/ SHOTT/QExA</u> 100% Review</p>	<p><u>DD/MR/GHP/ SHOTT</u> MQD/HCSB conducts electronic audits of expenditure reports and claims files monthly for all the HPMMIS payments.</p> <p>MQD/HCSB- Quarterly</p> <p><u>DD/MR/GHP/ SHOTT/QExA</u> MQD/HCSB- Quarterly</p>	<p><u>DD/MR/GHP/ SHOTT</u> MQD/HCSB staff reconcile PAs submitted for FFS-DD/MR services</p> <p>MQD/HCSB reviews reports, requests and follows-up with corrective action / remediation</p> <p><u>DD/MR/GHP/ SHOTT/QExA</u> MQD/HCSB reviews reports, requests and follow-up with corrective action/ remediation</p>	<u>DD/MR/GHP/ SHOTT</u>

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