

PM #	Rem. Code	Remediation Description	Nov 10	Dec 10	Jan 11	Feb 11	Mar 11	Apr 11	May 11	YTD Total	Remediation Action Outstanding					
Level of Care			<i>Waiver applicants for whom there is reasonable indication that services may be needed in the future are provided an individual level of care (LOC) evaluation.</i>													
Initial Level of Care			Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N		
LOC 1		Number and percentage of participants who received initial level of care determination indicating need for institutional level of care prior to receipt of waiver services	49	49												
		Percentage compliant	100.0%													
<i>Data source: DS3</i>																
Annual Level of Care			Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N		
LOC 2		Number and percentage of participants who received an annual level of care determination within 12 months of initial determination or previous level of care determination.	112	115												2
		Percentage compliant	97.4%													
		Level of care determined within 3 weeks	1													
		Level of care determined within 4 weeks	1													2
		Level of care determined within 6 weeks	1													
<i>Data source: DS3</i>																
Level of Care Process/Forms			Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N		
LOC 3		Number and percentage of level of care determinations completed by a Registered Nurse or Qualified Mental Retardation Professional as required in waiver.	171	171												
		Percentage compliant	100.0%													
<i>Data source: DS3</i>																
LOC 4		Number and percentage of initial and annual levels of care determined using approved forms.	171	171												
		Percentage compliant	100.0%													
<i>Data source: DS3</i>																
LOC 6		Number and percentage of initial and annual level of care determination criteria applied correctly.	28	28												
		Percentage compliant	100.0%													
<i>Data source: Case Record Review</i>																
Service Plan			<i>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.</i>													
			Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N		
SP 8		Number and percentage of waiver participants who have service plans that were adequate and appropriate based on the needs identified in the assessment.	28	28												
		Percentage compliant	100.0%													
<i>Data source: Case Record Review</i>																
SP 9		Number and percentage of participants who have documented personal goals identified in the service plan.	21	28												
		Percentage compliant	75.0%													
		Technical assistance provided to care coordinators regarding personal goal development	6													
		Remediation in progress	1													
<i>Data source: Case Record Review</i>																
SP 10		Number and percentage of waiver participants whose service plans address health and safety factors.	28	28												
		Percentage compliant	100.0%													

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		Data source: Case Record Review																
SP 11		Number and percentage of completed service plans submitted to SDS within required regulatory timeframes	120	213														
		Percentage compliant	56.3%															
		Complete service plan received within 1 week	23															
		Complete service plan received within 2 weeks	20															
		Complete service plan received within 3 weeks	14															
		Complete service plan received >= 4 weeks	15															
		Service plan requested from care coordinator	21															
		Data source: DS3																
		The state monitors service plan development in accordance with its policies and procedures.																
SP 12		Number and percentage of service plans that were submitted on approved forms.	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N		
			244	244														
		Percentage compliant	100.0%															
		Data source: Case Record Review																
SP 13		Number and percentage of service plans that include participant signature indicating participation in plan development.	28	28														
		Percentage compliant	100.0%															
		Data source: Case Record Review																
		Service Plans are updated/revised at least annually or when warranted by changes in waiver participation needs.																
SP 14		Number and percentage of service plans reviewed and updated as needed prior to the annual redetermination date.	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N		
			20	23														
		Percentage compliant	87.0%															
		Service plan reviewed and updated within 1 week	1															
		Service plan reviewed and updated within 3 weeks	1															
		Service plan reviewed and updated within 4 weeks	1															
		Data source: DS3																
SP 15		Number and percentage of participants whose change in needs required a change in their service plan, and whose service plan was appropriately revised to address those changing needs.	27	28														
		Percentage compliant	96.4%															
		Service plan amended	1															
		Data source: Case Record Review																
		Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.																
SP 16		Number and percentage of participants who received services by type of service.	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N		
			22	28														
		Percentage compliant	78.6%															
		Provider record review process in development	6															
		Data source: Case Record Review																

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			Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N			
SP 17		Number and percentage of participants who received services in the amount, duration and frequency described in the service plan.	18	28																	
		Percentage compliant	64.3%																		
		Provider record review process in development	10																		
		<i>Data source: Case Record Review</i>																			
<i>Participants are afforded choice between waiver services and institutional care and between / among waiver services and providers.</i>																					
SP 18		Number and percentage of participant records with an appropriately completed freedom of choice form that specified choice was offered among waiver services.	27	28																	
		Percentage compliant	96.4%																		
		Freedom of choice form updated	1																		
		<i>Data source: Case Record Review</i>																			
SP 19		Number and percentage of participant records with documentation that the participant received a list of qualified providers and was provided a choice of providers.	27	28																	
		Percentage compliant	96.4%																		
		Freedom of choice form updated	1																		
		<i>Data source: Case Record Review</i>																			
SP 20		Number and percentage of participant records with an appropriately completed and signed freedom of choice form that specified that choice was offered between institutional care and home and community-based waiver services.	27	28																	
		Percentage compliant	96.4%																		
		Freedom of choice form updated	1																		
		<i>Data source: Case Record Review</i>																			
Qualified Providers																					
<i>The state verifies that providers initially and continually meet required licensure and / or certification standards and adhere to other standards prior to their furnishing waiver services.</i>																					
QP 23a		Number and percentage of providers who are certified prior to providing waiver services.	871	871																	
		Percentage compliant	100.0%																		
		<i>Data source: Provider Certification Records</i>																			
		QP 23b		Number and percentage of providers who continue to meet state certification requirements following the initial certification.	827	828															
Percentage compliant	99.9%																				
Provider under corrective action plan	1																				
<i>Data source: Provider Certification Records</i>																					
QP 24a		Number and percentage of care coordinators in compliance with required SDS training	343	343																	
		Percentage compliant	100.0%																		
		<i>Data source: Provider Certification Records</i>																			
		QP 24b		Number and percentage of providers who are in compliance with critical incident report training requirements.	441	482															
Percentage compliant	91.5%																				
Training requested via letter and email	41																				
<i>Data source: Provider Certification Records</i>																					

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Health and Welfare												
<i>On an ongoing basis the state identifies, addresses and seeks to prevent instances of abuse, neglect and exploitation.</i>												
			Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N
HW 25		Number and percentage of participants who received information on reporting abuse, neglect or exploitation.	26	28								
		Percentage compliant	92.9%									
		Signature date expired - clerical error - corrected	2									
		Data source: Critical Incident Reporting System										
HW 26		Number and percentage of critical incident reports that were reported by a provider within required timeframes	181	221								
		Percentage compliant	81.9%									
		Reported late - technical assistance provided	40									
		Data source: Critical Incident Reporting System										
HW 27a		Number and percentage of critical incident reports (CIRs) reviewed by Adult Protective Service within one business day of receipt	219	221								
		Percentage compliant	99.1%									
		Reviewed late - staff retraining initiated	2									
		Data source: Critical Incident Reporting System										
HW 27b		Number and percentage of critical incident reports (CIRs) involving children reviewed by SDS within one business day of receipt	NA	NA								
		Percentage compliant										
		Data source: Critical Incident Reporting System										
HW 29		Number and percentage of critical incident reports received by type of incident.	221	221								
		Percentage compliant	100.0%									
		Accident/Incident	153									
		Death	51									
		Harm to self/others	6									
		Law response	2									
		Medication error	0									
		Missing person	0									
		Other	15									
		Data source: Critical Incident Reporting System										
HW 30		Number and percentage of deaths reviewed by Mortality Review Task Committee	74	74								
		Percentage compliant	100.0%									
		Data source: DS3										
Financial Accountability												
<i>State financial oversight exists to ensure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.</i>												
			Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N
FA 31		Number and percentage of claims that were coded and paid correctly	20839	20839								
		Percentage compliant	100.00%									
		Data source: MMIS										
FA 32		Number and percentage of claims for services that were prior authorized.	19112	19112								
		Percentage compliant	100.0%									
		Data source: MMIS										