

## Appendix A: Waiver Administration and Operation

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1. **State Line of Authority for Waiver Operation.** Specify the state line of authority for the operation of the waiver (*select one*):

- The waiver is operated by the State Medicaid agency.**

Specify the Medicaid agency division/unit that has line authority for the operation of the waiver program (*select one*):

- The Medical Assistance Unit.**

Specify the unit name:

(*Do not complete item A-2*)

- Another division/unit within the State Medicaid agency that is separate from the Medical Assistance Unit.**

Specify the division/unit name. This includes administrations/divisions under the umbrella agency that has been identified as the Single State Medicaid Agency.

**Developmental Disabilities Program of the Disability Services Division of the Department of Public Health and Human Services**

(*Complete item A-2-a*).

- The waiver is operated by a separate agency of the State that is not a division/unit of the Medicaid agency.**

Specify the division/unit name:

In accordance with 42 CFR §431.10, the Medicaid agency exercises administrative discretion in the administration and supervision of the waiver and issues policies, rules and regulations related to the waiver. The interagency agreement or memorandum of understanding that sets forth the authority and arrangements for this policy is available through the Medicaid agency to CMS upon request. (*Complete item A-2-b*).

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2. **Oversight of Performance.**

- a. **Medicaid Director Oversight of Performance When the Waiver is Operated by another Division/Unit within the State Medicaid Agency.** When the waiver is operated by another division/administration within the umbrella agency designated as the Single State Medicaid Agency. Specify (a) the functions performed by that division/administration (i.e., the Developmental Disabilities Administration within the Single State Medicaid Agency), (b) the document utilized to outline the roles and responsibilities related to waiver operation, and (c) the methods that are employed by the designated State Medicaid Director (in some instances, the head of umbrella agency) in the oversight of these activities:  
Appendix A.2. Oversight of Performance

(a) The Developmental Disabilities Program (DDP) is responsible for the design, implementation and monitoring of all activities associated with this waiver.

(b) There is no single document serving to outline the roles and responsibilities of all staff related to waiver operation. There are many documents serving to outline the responsibilities of assigned staff regarding

specific aspects of the waiver, including DDP rules and policies relating directly to the operation of the waiver. DDP maintains organizational charts, individual position descriptions, and web based information serving to assist persons who need assistance in accessing information about the waiver, and the staff within the DDP who are responsible for decision making based on waiver issues. The waiver application is the authoritative document serving to outline the persons/positions responsible for ensuring all the requirements of the waiver are met; more detail regarding implementation detail is available in various DDP and provider forms, handbooks, policies, administrative directives and rules.

(c) The Medicaid Director and his/her designee are ultimately responsible for ensuring that problems in the administration of the waiver are resolved. The Medicaid Director and his/her designee are not directly involved in the day to day operational decisions of DDP staff. The Medicaid Program Officer and DDP Bureau Chief share information and a copy of the waiver with the State Medicaid Director and/or his/her designee prior to the submittal of waiver renewals, amendments or new waiver applications to CMS.

- b. **Medicaid Agency Oversight of Operating Agency Performance.** When the waiver is not operated by the Medicaid agency, specify the functions that are expressly delegated through a memorandum of understanding (MOU) or other written document, and indicate the frequency of review and update for that document. Specify the methods that the Medicaid agency uses to ensure that the operating agency performs its assigned waiver operational and administrative functions in accordance with waiver requirements. Also specify the frequency of Medicaid agency assessment of operating agency performance:

**As indicated in section 1 of this appendix, the waiver is not operated by a separate agency of the State. Thus this section does not need to be completed.**

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3. **Use of Contracted Entities.** Specify whether contracted entities perform waiver operational and administrative functions on behalf of the Medicaid agency and/or the operating agency (if applicable) (*select one*):

- Yes. Contracted entities perform waiver operational and administrative functions on behalf of the Medicaid agency and/or operating agency (if applicable).**

Specify the types of contracted entities and briefly describe the functions that they perform. *Complete Items A-5 and A-6.:*

Initial and Ongoing Level of Care (LOC) Activities:

Evaluation and Diagnostic (E&D) service providers were under contract with the DDP to establish initial eligibility for placement on the Children's Autism Waiver waiting list. Children aged 15 months through 4 years found to have ASD and who had formal training needs based on adaptive behavior assessment were considered eligible for the waiting list.

Following the Department's selection of an eligible applicant from the waiting list, ongoing level of care activities for children enrolled in autism waiver services included an initial meeting with the DDP Quality Improvement Specialist (QIS), a primary caregiver, the case manager (if requested by the DDP QIS) and a Registered Nurse (RN) from the Mountain Pacific Quality Health Foundation (Foundation). The DDP QIS and Foundation RN could meet with the applicant and primary caregiver at the same meeting, or via separate meetings with the family. LOC forms were completed to verify the member continued to meet current eligibility requirements for the waiver. The Foundation nurse provided a basic medical screening and completed a Waiver 1 form serving to document child-specific medical issues and the Long Term Care Patient Evaluation Abstract (LTCPEA). The LTCPEA serves as a summary of medical information and a brief medical history specific to the child. The brief medical review may have resulted in medical recommendations to the primary caregiver and/or the child's planning team. The DDP QIS ensured that families understood their rights as outlined on the Waiver 5 Freedom of Choice form. Following the initial onsite LOC review, subsequent annual re-determinations of level of care do not require involvement of the RN.

Case Management:

Contracted children's case management is integral with required waiver level of care determination activities as it related to the coordination of the initial onsite face to face visit with the family (if requested by the DDP QIS)

and the sharing of assessment information, as requested, to assist the DDP QIS in completing the Waiver 3 and specialized services needs forms.

All children served in the children's autism waiver receive waiver case management from Family Support Specialists (FSSs). The case management service is entitled Waiver-Funded Children's Case Management (WCCM).

Case management contracted entities (individuals or agencies with DDP contracts, or individuals subcontracting with an OHCDS in the provision of case management services) may also provide other services to a waiver service member. Multiple protections designed to reduce the potential for conflict of interest in these situations follow:

1. The parents have the right to approve or deny any of the planning meeting (IFSP) outcomes.
2. The W-5 freedom of choice form is reviewed with the parents annually by the DDP QIS. This form and the W-5 addendum section helps ensure that parents understand their choices related to services, providers and dispute resolution/fair hearing rights. The W-5 form specifies that parents retain the right to request a fair hearing at any time.
3. Annual consumer satisfaction surveys are sent to all families by C&F provider staff. These results are summarized in the DDP QA Review Report. 100% of families in the CAW participate in this survey.
4. 100% of plans of care (IFSP) are reviewed and approved by the DDP QIS.
5. Choice of provider is clearly spelled out in the notification letter from the DDP central office upon an applicant's selection for waiver services. The notification letter also included contact information for the Developmental Disabilities Program (DDP) Medicaid Program Officer, if information was needed or desired from a DDP central office staff person.
6. C&F providers have their dispute resolution processes and protocols reviewed annually by the DDP QIS, as part of the DDP annual QA review process of provider policies. Provider policies specify that parents can go straight to the fair hearing process, if desired.
7. Prior authorization by the DDP Regional Manager will be needed in 100% of all cases when the staff person providing WCCM to a child will also be providing the PDM service to the same child. Prior to approving this arrangement, the RM or designee will contact the child's parent to ensure their service provider options are fully understood. Parental understanding of the right to choose another person to provide their PDM service, and/or to choose another individual or another agency provider to provide their PDM service or WCCM will be ensured.
8. Waiver-funded Children's Case Management services may not exceed \$6,000 annually.

#### Financial Management Services:

The DDP contracts with a financial management service to perform fiscal agent duties for self-direct services with employer authority. They educate employers on their responsibilities, process employee and employer paperwork, and process employee timesheets according to the individual cost plan. They provide workers' compensation for all employees and pay employee and employer related taxes. The FMS also generates expense reports for the employer, case manager, and the state.

Note: Contracts with E&D service providers and the Foundation for a registered nurse will not be continued for the purposes of this renewal. Due to the proposed phase-out schedule and not enrolling new applicants into the waiver, their operational and administrative activities are a former function. All children who are currently enrolled, however, have been through the eligibility and initial LOC processes. The Quality Assurance for these activities will be reviewed and reported for waiver year 1, at which point all of the children's files who have been referred for autism waiver services will have been reviewed.

- No. Contracted entities do not perform waiver operational and administrative functions on behalf of the Medicaid agency and/or the operating agency (if applicable).**

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4. **Role of Local/Regional Non-State Entities.** Indicate whether local or regional non-state entities perform waiver operational and administrative functions and, if so, specify the type of entity (*Select One*):

**Not applicable**

**Applicable** - Local/regional non-state agencies perform waiver operational and administrative functions.

Check each that applies:

**Local/Regional non-state public agencies** perform waiver operational and administrative functions at the local or regional level. There is an **interagency agreement or memorandum of understanding** between the State and these agencies that sets forth responsibilities and performance requirements for these agencies that is available through the Medicaid agency.

*Specify the nature of these agencies and complete items A-5 and A-6:*

**Local/Regional non-governmental non-state entities** conduct waiver operational and administrative functions at the local or regional level. There is a contract between the Medicaid agency and/or the operating agency (when authorized by the Medicaid agency) and each local/regional non-state entity that sets forth the responsibilities and performance requirements of the local/regional entity. The **contract(s)** under which private entities conduct waiver operational functions are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

*Specify the nature of these entities and complete items A-5 and A-6:*

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**5. Responsibility for Assessment of Performance of Contracted and/or Local/Regional Non-State Entities.** Specify the state agency or agencies responsible for assessing the performance of contracted and/or local/regional non-state entities in conducting waiver operational and administrative functions:  
Initial and Ongoing Level of Care Functions: Roles and Responsibilities

Children who have been referred for autism waiver services were evaluated for eligibility in accordance with the Department's Evaluation and Diagnostic (E&D) Contracts and waiver requirements. The assessments and evaluations used to establish eligibility and the credentials of the staff that completed and/or interpreted these assessments will meet the applicable qualified provider standards.

100% of E&D assessment and evaluation outcomes will be reviewed by the DDP QIS as part of the annual review process. This review process will help ensure that assessments and evaluations were completed in conformity with the requirements, and that staff involved in completing and/or interpreting the assessment/evaluation results were credentialed in accordance with the applicable standards, as outlined in contract and waiver requirements.

Case management services in the children's autism waiver services are reviewed against the performance requirements outlined in the Developmental Disabilities Program (DDP) quality assurance review tools specific to children's case management. Case management duties may have included scheduling and participating in the initial LOC home visits.

The Developmental Disabilities Program contracted directly with The Foundation for registered nurse assistance. Specifically, the nurse completed the medical portion of the level of care process. The timeliness of nurses in responding to requests for assistance in the completion of the initial onsite LOC review is monitored by DDP QIS staff, or their designee. This information is forwarded to the DDP Medicaid Program Officer for compilation, monitoring and follow up, if needed.

Note: Contracts with the Evaluation and Diagnostic (E&D) and Mountain Pacific Quality Health Foundation (Foundation) for a registered nurse will not be continued for the purposes of this renewal. Due to the proposed phase-out schedule and not enrolling new applicants into the waiver, their operational and administrative activities

are a former function. All children who are currently enrolled, however, have been through the eligibility and initial LOC processes. The Quality Assurance for these activities will be reviewed and reported for waiver year 1, at which point all of the children's files who have been referred for autism waiver services will have been reviewed.

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6. **Assessment Methods and Frequency.** Describe the methods that are used to assess the performance of contracted and/or local/regional non-state entities to ensure that they perform assigned waiver operational and administrative functions in accordance with waiver requirements. Also specify how frequently the performance of contracted and/or local/regional non-state entities is assessed:

Assessment of Contractor Performance in the Completion of Assigned Level of Care Activities

Assessment of Evaluation and Diagnostic Contractor Performance

Children who have been referred for autism waiver services were evaluated for eligibility in accordance with the Department's Evaluation and Diagnostic (E&D) Contracts and applicable waiver language. The assessments and evaluations used to establish eligibility and the credentials of the staff that completed and/or interpreted these assessments and evaluations will meet the applicable qualified provider standards. Specifically:

100% E&D evaluations will be reviewed by the DDP QIS as part of the DDP annual review process, to ensure that assessments, evaluations and diagnoses were completed in conformity with the DDP-funded E&D contracts and waiver language requirements, and that staff involved in completing and/or interpreting the assessments/evaluations and rendering diagnoses were credentialed in accordance with the applicable standards, as outlined in contract and in waiver language.

Assessment of Contracted Case Management Performance

Entities providing case management in the Children's Autism Waiver are annually reviewed against the performance requirements outlined in the Developmental Disabilities Program (DDP) quality assurance review tools specific to children's case management. Case management level of care activities (LOC) may have included scheduling and participating in the initial LOC home visit.

Assessment of Contracted Foundation Nurse Performance

The Developmental Disabilities program contracted directly with the Foundation for nurse completion of forms applicable to the medical portion of the LOC process. The timeliness of nurses in responding to requests for assistance in the completion of the initial onsite LOC review is monitored on an annual basis by DDP QIS as part of the QA review process of the Foundation Contract. QA review information is forwarded to the DDP Medicaid Program Officer for compilation, monitoring and follow up if needed.

Assessment of Financial Management Service Performance

The Financial Management Service entity is responsible for enrolling individuals in self-directed services who choose employer authority. The FMS functions outlined in their DDP contract are annually monitored by the DDP QIS.

Note: Contracts with the Evaluation and Diagnostic (E&D) service providers and Mountain Pacific Quality Health Foundation (Foundation) for a registered nurse will not be continued for the purposes of this renewal. Due to the proposed phase-out schedule and not enrolling new applicants into the waiver, their operational and administrative activities are a former function. All children who are currently enrolled, however, have been through the eligibility and initial LOC processes. The Quality Assurance for these activities will be reviewed and reported for waiver year 1, at which point all of the children's files who have been referred for autism waiver services will have been reviewed.

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7. **Distribution of Waiver Operational and Administrative Functions.** In the following table, specify the entity or

entities that have responsibility for conducting each of the waiver operational and administrative functions listed (check each that applies):

In accordance with 42 CFR §431.10, when the Medicaid agency does not directly conduct a function, it supervises the performance of the function and establishes and/or approves policies that affect the function. All functions not performed directly by the Medicaid agency must be delegated in writing and monitored by the Medicaid Agency.

Note: More than one box may be checked per item. Ensure that Medicaid is checked when the Single State Medicaid Agency (1) conducts the function directly; (2) supervises the delegated function; and/or (3) establishes and/or approves policies related to the function.

Function	Medicaid Agency	Contracted Entity
Participant waiver enrollment	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Waiver enrollment managed against approved limits	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Waiver expenditures managed against approved levels	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Level of care evaluation	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Review of Participant service plans	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Prior authorization of waiver services	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Utilization management	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Qualified provider enrollment	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Execution of Medicaid provider agreements	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Establishment of a statewide rate methodology	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Rules, policies, procedures and information development governing the waiver program	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Quality assurance and quality improvement activities	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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### Quality Improvement: Administrative Authority of the Single State Medicaid Agency

As a distinct component of the State's quality improvement strategy, provide information in the following fields to detail the State's methods for discovery and remediation.

#### a. Methods for Discovery: Administrative Authority

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

##### i. Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance, complete the following. Performance measures for administrative authority should not duplicate measures found in other appendices of the waiver application. As necessary and applicable, performance measures should focus on:

- Uniformity of development/execution of provider agreements throughout all geographic areas covered by the waiver
- Equitable distribution of waiver openings in all geographic areas covered by the waiver
- Compliance with HCB settings requirements and other new regulatory components (for waiver actions submitted on or after March 17, 2014)

Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the

method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

**Performance Measure:**

The SMA ensures that E&D contractor eligibility outcomes are reviewed by DDP QISs to verify eligibility outcomes met applicable scoring criteria. This standard applies to children found eligible and not eligible. The numerator is the sum of children seeking services with E&D eligibility outcomes in compliance with the criteria. The denominator is the number of all children seeking services.

**Data Source (Select one):**

Record reviews, on-site

If 'Other' is selected, specify:

Review of screening results and evaluation results in conjunction with the applicable scoring criteria.

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval =
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify:
	<input checked="" type="checkbox"/> Other Specify: Quality Assurance reviews for E&D contractors will be completed after waiver year 1 and will no longer be applicable for waiver years 2 and 3.	

**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):

<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input checked="" type="checkbox"/> Other Specify: Quality Assurance reviews for E&D contractors will be completed after waiver year 1 and will no longer be applicable for waiver years 2 and 3.

**Performance Measure:**

The SMA ensures the DDP review of the FMS provider's compliance with the DDP contract. The numerator is the number of individuals with files in compliance with the contract. The denominator is the number of individuals utilizing self-directed services.

**Data Source (Select one):**

Record reviews, off-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval =
<input type="checkbox"/> Other Specify:	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify:
	<input type="checkbox"/> Other Specify:	

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**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify:	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify:

**Performance Measure:**

The SMA ensures the E&D contractor provided parents seeking autism waiver services an eligibility determination outcome for their child within 90 days of the referral request. The numerator is the number of referrals or requests for an eligibility determination with outcomes generated within 90 days. The denominator is the sum of all referrals/requests for children's autism waiver services.

**Data Source (Select one):**

**Other**

If 'Other' is selected, specify:

**Review of E&D records, either on site or offsite.**

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval =
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:

	<input type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify:
	<input checked="" type="checkbox"/> <b>Other</b> Specify: Quality Assurance reviews for E&D contractors will be completed after waiver year 1 and will no longer be applicable for waiver years 2 and 3.	

**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input checked="" type="checkbox"/> <b>Other</b> Specify: Quality Assurance reviews for E&D contractors will be completed after waiver year 1 and will no longer be applicable for waiver years 2 and 3.

**Performance Measure:**

The SMA ensures that E&D staff using screening assessments and evaluation tools and/or rendering eligibility determination outcomes were credentialed with the applicable standards. The numerator is the number of eligibility outcomes in compliance with the staff credentialing standards. The denominator is the number of children seeking autism waiver services during the review period.

**Data Source (Select one):**

**Other**

If 'Other' is selected, specify:

**Record reviews on site or off site**

Responsible Party for data collection/generation	Frequency of data collection/generation	Sampling Approach (check each that applies):

<i>(check each that applies):</i>	<i>(check each that applies):</i>	
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>	<input checked="" type="checkbox"/> <b>100% Review</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>	<input type="checkbox"/> <b>Less than 100% Review</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>	<input type="checkbox"/> <b>Representative Sample</b> Confidence Interval =
<input type="checkbox"/> <b>Other</b> Specify:	<input type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group:
	<input type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify:
	<input checked="" type="checkbox"/> <b>Other</b> Specify: Quality Assurance reviews for E&D contractors will be completed after waiver year 1 and will no longer be applicable for waiver years 2 and 3.	

**Data Aggregation and Analysis:**

<b>Responsible Party for data aggregation and analysis</b> <i>(check each that applies):</i>	<b>Frequency of data aggregation and analysis</b> <i>(check each that applies):</i>
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>
<input type="checkbox"/> <b>Other</b> Specify:	<input checked="" type="checkbox"/> <b>Annually</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input checked="" type="checkbox"/> <b>Other</b> Specify: Quality Assurance reviews for E&D contractors will be completed after

	waiver year 1 and will no longer be applicable for waiver years 2 and 3.
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**Performance Measure:**

The SMA ensures that Foundation nurses involved in the initial onsite level of care process met the qualified provider requirements. The numerator is the number of initial LOC meetings in which the participating Foundation nurse was credentialed in accordance with waiver language. The denominator is the number of initial onsite RN LOC meetings held during the review period.

Data Source (Select one):

**Other**

If 'Other' is selected, specify:

**Documentation supporting current licensure as a Registered Nurse**

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval =
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify:
	<input checked="" type="checkbox"/> Other Specify: Quality Assurance reviews for Foundation nurses will be completed after waiver year 1 and will no longer be applicable for waiver years 2 and 3.	

**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):

<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input checked="" type="checkbox"/> Other Specify: Quality Assurance reviews for Foundation nurses will be completed after waiver year 1 and will no longer be applicable for waiver years 2 and 3.

**Performance Measure:**

The SMA ensures the E&D contract and waiver language defined the E&D eligibility determination process and ensured valid and reliable eligibility determination outcomes statewide. The numerator is the number of referral outcomes in which the assessments and evaluations administered are in compliance with applicable standards and timeframes. The denominator is the sum of eligibility outcomes.

**Data Source (Select one):**

**Other**

If 'Other' is selected, specify:

**Record reviews, on site and off site**

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval =
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify:

	<input checked="" type="checkbox"/> <b>Other</b> Specify: Quality Assurance reviews for E&D contractors will be completed after waiver year 1 and will no longer be applicable for waiver years 2 and 3.	

**Data Aggregation and Analysis:**

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input checked="" type="checkbox"/> <b>Other</b> Specify: Quality Assurance reviews for E&D contractors will be completed after waiver year 1 and will no longer be applicable for waiver years 2 and 3.

**Performance Measure:**

The SMA ensures the RN met with the child's primary caregiver within 30 days of the DDP QIS request and completed the required nursing LOC forms (Waiver 1 and the LTCPEA). The numerator is the number of children having medical forms dated within 30 days of the date of the DDP request. The denominator is the number of initial onsite level of care reviews due during the review period.

**Data Source (Select one):**

**Other**

If 'Other' is selected, specify:

1. The DDP QIS notification form documenting the DDP QIS request for the Foundation Nurse 2. The Waiver 1 Medical needs form. 3. The Long Term Care Patient Evaluation Abstract (LTCPEA) form.

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review

<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>	<input type="checkbox"/> <b>Less than 100% Review</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>	<input type="checkbox"/> <b>Representative Sample</b> Confidence Interval =
<input type="checkbox"/> <b>Other</b> Specify:	<input type="checkbox"/> <b>Annually</b>	<input type="checkbox"/> <b>Stratified</b> Describe Group:
	<input type="checkbox"/> <b>Continuously and Ongoing</b>	<input type="checkbox"/> <b>Other</b> Specify:
	<input checked="" type="checkbox"/> <b>Other</b> Specify: Quality Assurance reviews for Foundation nurses will be completed after waiver year 1 and will no longer be applicable for waiver years 2 and 3.	

**Data Aggregation and Analysis:**

<b>Responsible Party for data aggregation and analysis (check each that applies):</b>	<b>Frequency of data aggregation and analysis(check each that applies):</b>
<input checked="" type="checkbox"/> <b>State Medicaid Agency</b>	<input type="checkbox"/> <b>Weekly</b>
<input type="checkbox"/> <b>Operating Agency</b>	<input type="checkbox"/> <b>Monthly</b>
<input type="checkbox"/> <b>Sub-State Entity</b>	<input type="checkbox"/> <b>Quarterly</b>
<input type="checkbox"/> <b>Other</b> Specify:	<input type="checkbox"/> <b>Annually</b>
	<input type="checkbox"/> <b>Continuously and Ongoing</b>
	<input checked="" type="checkbox"/> <b>Other</b> Specify: Quality Assurance reviews for Foundation nurses will be completed after waiver year 1 and will no longer be applicable for waiver years 2 and 3.

If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.

The DDP Medicaid Program Officer, or designee, is responsible for aggregating the data generated by the DDP QIS in the monitoring of the performance standards, above. Data will be maintained as a percentage of annual compliance with these measures. Performance data will be forwarded electronically by the DDP QIS to the DDP Medicaid Program Officer at least annually, and the data will be entered onto a spreadsheet. Annual percent compliance with the performance measures will enable reviewers to determine compliance trends. Problem areas would result in the DDP Medicaid Program Officer notifying the entities responsible for performance compliance.

The identification of problems in the delivery of contracted services is generally the result of the application of the DDP QA review process. The annual QA Review Process is applied by the DDP QIS to providers of direct member services, case management, Foundation nurse services and evaluation and diagnostic services. The QA review process is updated at least annually to include measures designed to monitor compliance with new waiver requirements, policies, rules, or contracting requirements.

**b. Methods for Remediation/Fixing Individual Problems**

- i. Describe the State’s method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.

The delivery of direct member services by DDP-funded agencies with a DDP contract is subject to annual quality assurance reviews by DDP field staff. In general, identified problems are resolved via the application of the Quality Assurance Observation Sheet (QAOS). This form requires short turnaround times and negotiated timeframes for resolution of problems. At such time the problem is resolved, the QAOS sheet has been signed and dated by both parties and the finding is considered closed. This document becomes part of the permanent QA record and is maintained by the provider, the DDP field office and the DDP central offices.

The annual DDP QA reviews are reviewed by the executive directors of the provider agencies, the agency board chairpersons, the assigned DDP regional managers, the DDP bureau chiefs, the DDP QIS and a DDP Medicaid Program Officer. The QA review results are also posted on the DDP website. Given the level of scrutiny and follow-up by assigned provider agency and DDP staff, many significant issues in the service delivery system are identified and resolved in a timely manner. The Quality Assurance Observation Sheet (QAOS) is the primary document used to verify closure of significant findings resulting from the QA review process. These documents are maintained as part of the permanent QA record.

- ii. Remediation Data Aggregation

**Remediation-related Data Aggregation and Analysis (including trend identification)**

Responsible Party <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input checked="" type="checkbox"/> Other Specify: Quality Assurance reviews for E&D contractors and Foundation nurses will be completed after waiver year 1 and

	will no longer be applicable for waiver years 2 and 3.
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**c. Timelines**

When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Administrative Authority that are currently non-operational.

**No**

**Yes**

Please provide a detailed strategy for assuring Administrative Authority, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

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