

Appendix B: HCBS Assurances Reporting Requirements for DHS & Quest Integration Managed Care Health Plans

HCBS Requirement	Domain Name	Goal	Performance Measure	Numerator	Denominator	DISCOVERY DATA							REMEDATION DATA	
						Data Source	Data Collection	Frequency Data Collection	Sampling (CI) or Census Data Collection	Data Reporting / Aggregation & Analysis	Frequency of Reporting / Aggregation & Analysis	Data Reporting / Aggregation & Analysis	Frequency of Reporting / Aggregation & Analysis	
Administrative Authority	System Performance and Accountability	Ensure that the State Medicaid Agency provides monitoring and oversight over the contracted entity.	Percent of scheduled monitoring activities (on-site or desk review) completed by DHS/MQD	# of scheduled monitoring activities (on-site or desk reviews) completed by DHS/MQD	# of scheduled monitoring activities (on-site or desk review) initiated by DHS/MQD	MCO Monitoring Review	DHS/MQD	Quarterly	Census	DHS/DHS	Quarterly	DHS/DHS	Quarterly	
Administrative Authority	Community Inclusion	All settings are in full compliance with the HCBS Final Rule 42CFR301(c)(4)/42 CFR 441.710(a)(1)	Percent of all providers delivering HCBS services who are in full compliance with the HCBS settings requirements	# of providers in full compliance with the HCBS settings requirements	# providers delivering HCBS services	Provider Record Review	MCO	Annually	Census	MCO/DHS	Annually	MCO/DHS	Annually	
Administrative Authority	Community Inclusion		Percent of new providers delivering HCBS services who are in full compliance with the HCBS settings requirements prior to service delivery	# of new providers in full compliance with the HCBS settings requirements prior to service delivery	# new providers delivering HCBS services	Provider Record Review	MCO	Annually	Census	MCO/DHS	Annually	MCO/DHS	Annually	
Administrative Authority	Workforce	Establish adequate provider networks in accordance with the State contract requirements.	licensed providers received during the prior year	providers received during the prior year that were	licensed providers received during the prior	Provider Record Review	MCO	Annually	Census	MCO/DHS	Annually	MCO/DHS	Annually	
Administrative Authority	Workforce		Percent of new HCBS provider applications from non-licensed/self-directed providers received during the prior year that were approved and appropriately contracted, by provider type and island	# of new HCBS provider applications from non-licensed/self-directed providers received during the prior year that were contracted, by provider type and island	# of new HCBS provider applications from non-licensed/self-directed providers received during the prior year, by provider type and island	Provider Record Review	MCO	Annually	Census	MCO/DHS	Annually	MCO/DHS	Annually	
Financial Accountability	System Performance and Accountability	Verify that claims are coded and paid for in accordance with the reimbursement methodology and only for services rendered.	Percent of service units billed or paid that are supported by the appropriate documentation, by category and in total	# service units billed or paid with service dates during the reporting timeframe, by category and in total	# service units authorized to be provided during the reporting timeframe, by category and in total	Fiscal Record Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Financial Accountability	System Performance and Accountability	Validate that rates remain consistent with the approved rate methodology throughout the contract cycle.	Ratio of paid amount to allowed amount for service units paid with service dates during the reporting timeframe	Total health plan paid amounts for service units paid with service dates during the reporting timeframe	Total health plan allowed amounts for service units paid with service dates during the reporting timeframe	Fiscal Record Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Health and Welfare	Service Delivery and Effectiveness	Establish overall health care standards and monitor those standards based on the responsibility level of the service provider.	Percent of members whose service plans include an individualized contingency plan for emergencies	# of members whose service plans include an individualized contingency plan for emergencies (e.g., pandemic, natural disaster, or unscheduled absence of caregiver)	# of service plans reviewed	Case Management Record Review	MCO	Quarterly	Sample (95% CI)	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Health and Welfare	Human and Legal Rights	Demonstrate that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.	Percent of deaths that required follow-up for which follow-up was completed	# of deaths that required follow-up for which follow-up was completed	# of adverse event reports (AERs) related to deaths that required follow-up	AER Report Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Health and Welfare	Human and Legal Rights		Percent of members prohibited restrictive interventions who have had one or more adverse event reports	# of members with prohibitive restrictive interventions that resulted in an adverse event report	# of members with prohibitive restrictive interventions	AER Report Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Health and Welfare	Human and Legal Rights		Percent of AERs initiated by the provider agency or self-directed provider that was reported verbally to the service coordinator or case manager within 24 hours	# of AERs initiated by the provider agency or self-directed provider that was reported verbally to the service coordinator or case manager within 24 hours	# of AERs initiated by the provider agency or self-directed provider	AER Report Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Health and Welfare	Human and Legal Rights		Percent of AERs initiated by the provider agency or self-directed provider that was reported in writing to the service coordinator or case manager within 72 hours	# of AERs initiated by the provider agency or self-directed provider that was reported in writing to the service coordinator or case manager within 72 hours	# of AERs initiated by the provider agency or self-directed provider	AER Report Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Health and Welfare	Human and Legal Rights	Policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed in accordance with the State and contract requirements.	Percent of providers delivering HCBS services trained on how to identify, address, and seek to prevent A/N/E/D	# providers delivering HCBS services trained on how to identify, address, and seek to prevent A/N/E/D	# providers delivering HCBS services	AER Report Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Health and Welfare	Human and Legal Rights		Percent of members receiving HCBS services educated on how to identify, address, and seek to prevent A/N/E/D, parsed by new and existing members	# members receiving HCBS services educated on how to identify, address, and seek to prevent A/N/E/D, parsed by new and existing members	# members receiving HCBS services, parsed by new and existing members	AER Report Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Health and Welfare	Holistic Health and Functioning	Demonstrate on an ongoing basis that the system identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.	Percent of adverse event reports (AERs) by provider, member, and type of adverse event (A/N/E/D)	# of adverse event reports (AERs) by provider, member, and type of adverse event (A/N/E/D)	# of adverse event reports (AERs)	AER Report Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Health and Welfare	Holistic Health and Functioning		Percent of AERs with an appropriate immediate action by provider agency/self-direct/caregiver of licensed or certified home to safeguard member	# of AERs with an appropriate immediate action by provider agency/self-direct/caregiver of licensed or certified home to safeguard member	# of adverse event reports (AERs)	AER Report Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Level of Care	Equity	Level of care evaluations are provided to all members for whom there is a reasonable indication that HCBS services may be needed.	Percent of new members who had an approved LOC determination prior to receiving HCBS services	# new members who had an approved LOC determination prior to receiving HCBS services	# new members who had a LOC completed	LOC Record Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Level of Care	Equity	Ensure processes and instruments for determination of level of care are applied appropriately to determine initial level of care.	Percent of LOC evaluations/revaluations completed using the approved LOC form and process	# of LOC evaluations/revaluations completed using the approved LOC form and process	# of LOC evaluations/revaluations that were completed	LOC Record Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Person Centered Plan	Person Centered Planning and Coordination	Service plans are person center and address all members assessed needs (including health and safety risk factors) and personal goals 42CFR301(c)(1)-(3)/42 CFR 441.710(a)(1)	Percent of members whose service plans address personal goals and preferences	# of members whose current service plans address personal goals and preferences	# of service plans reviewed	Case Management Record Review	MCO	Quarterly	Sample (95% CI)	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Person Centered Plan	Person Centered Planning and Coordination		Percent of members whose service plans address assessed risks and safety factors	# of members whose current service plans address assessed risks and safety factors	# of service plans reviewed that include assessments of risk and safety factors	Case Management Record Review	MCO	Quarterly	Sample (95% CI)	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Person Centered Plan	Person Centered Planning and Coordination		Percent of members whose service plans address all assessed services and supports needs	# of members whose service plans include services and supports that address all assessed services and supports needs	# of service plans reviewed that include an assessment of services and supports needs	Case Management Record Review	MCO	Quarterly	Sample (95% CI)	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Person Centered Plan	Person Centered Planning and Coordination	Service plans are updated/ revised at least annually or when warranted by changes in the member's needs.	Percent of members whose service plan is updated annually or revised, as needed, to address changing needs	# of members whose service plan is updated at least annually or was revised, as needed, to address changing needs	# of service plans reviewed	Case Management Record Review	MCO	Quarterly	Sample (95% CI)	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Person Centered Plan	Choice and Control	Services are delivered in accordance with the service plan, including the type, scope, amount, duration, and frequency specified in the service plan.	Percent of members whose services are delivered in accordance with the service plan, including the type, scope, amount, duration, and frequency specified in the service plan	# of members whose services were delivered in accordance with the service plan, including the type, scope, amount, duration, and frequency specified in the service plan	# of service plans reviewed	Case Management Record Review	MCO	Quarterly	Sample (95% CI)	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Person Centered Plan	Choice and Control	Members are afforded choice between/among waiver services and providers.	Percent of members who are offered choice among providers.	# of members who are offered choice among providers.	# of service plans reviewed	Case Management Record Review	MCO	Quarterly	Sample (95% CI)	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Person Centered Plan	Choice and Control	Members are afforded choice between/among waiver services and providers.	Percent of members who are offered choice among services.	# of members who are offered choice among services.	# of service plans reviewed	Case Management Record Review	MCO	Quarterly	Sample (95% CI)	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Qualified Providers	Workforce	Ensure that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to furnishing services.	Percent of new HCBS provider applications from licensed providers received during the prior year that met the appropriate credential requirements prior to service delivery, by provider type and island	# of new HCBS provider applications from licensed providers received during the prior year that met the appropriate credential requirements prior to service delivery, by provider type and island	# of new HCBS provider applications from licensed providers received during the prior year, by provider type and island	Provider Record Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Qualified Providers	Workforce	Ensure monitoring and oversight non-licensed/non-certified providers to assure adherence to contract requirements.	Percent of new HCBS provider applications from non-licensed/self-directed providers received during the prior year that met the appropriate credential requirements prior to service delivery, by provider type and island	# of new HCBS provider applications from non-licensed/self-directed providers received during the prior year that met the appropriate credential requirements prior to service delivery, by provider type and island	# of new HCBS provider applications from non-licensed/self-directed providers received during the prior year, by provider type and island	Provider Record Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Qualified Providers	Workforce	Ensure implementation of policies and procedures for verifying that training provided in accordance with the State contract requirements.	Percent of employees in agencies providing HCBS services that meet training requirements prior to providing services to HCBS members, parsed by new and existing employees	Number of employees in agencies providing HCBS services that meet training requirements prior to providing services to HCBS members, parsed by new and existing employees	Number of employees in agencies providing HCBS services who are actively providing services to HCBS members, parsed by new and existing employees	Provider Record Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	
Qualified Providers	Workforce		Percent of non-licensed/self-directed providers, parsed by new and existing providers that meet training requirements prior to providing services to HCBS members, parsed by new and existing providers	Number of non-licensed/self-directed providers, parsed by new and existing providers that meet training requirements prior to providing services to HCBS members, parsed by new and existing providers	Number of non-licensed/self-directed providers, parsed by new and existing providers	Provider Record Review	MCO	Quarterly	Census	MCO/DHS	Quarterly	MCO/DHS	Quarterly	