Form CMS-372(S) Annual Report on Home and Community-Based Services (HCBS) Waivers Quality Section Revision Prototype

Findings of Monitoring:														
Assurance	Sub-assurance	Performance Measure	Sample Size	Sample Universe	Numerator	Denominator	Percent Compliance	Deficiency?	Sampling Methodology	Data Source	Data Collection Entity	Data Collection Frequency	Data Analysis Entity	Data Analysis Frequency
The Medicaid Agency retains utilinate administrative suthority and responsibility for the operation of the waiver program by exercising oversignt of the performance of waiver functions by other state and local/regional non- state agencies (if appropriate) and contracted entities		PM A1 (Pulled from approved waiver)	State Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved walver)	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved waiver)
The state demonstrates that it implements the processes and instrument(s) specified in its approved waiver for evaluating an applicant-shuatver participant's level of care consistent with level of care provided in a hospital. NF or ICFRID.	LOC is provided to all applicants for whom there is reasonable indication that services may be	PM B1: (Pulled from approved waiver)	State Entry	State Entry	State Entry	State Entry	Auto Calculated	- Auto Determination	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved walver)	(Pulled from approved waiver)
The state demonstrates that it implements the processes and instrument(s) specified in its approved waiver for evaluating me applicant swaver participant's level of care provided in a hospital. NF or ICF/IID	care of enrolled participants are reevaluated at least annually or as specified in the approved	PM B2 (Not required to report on this sub-assurance)	State Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved waver)
The state demonstrates that it implements the processes and instrument(s) specified in its approved waiver for evaluating/revariating an applicant's/waiver participant's level of care consistent with level of care provided in a noospital. NF or ICF/IID.	and instruments described in the approved waiver are applied appropriately and according to	PM 83: (Pulled from approved waiver)	State Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)
The state demonstrates had it has designed and implemented an adequate system for assuring that all waiver services are provided by qualified providers.	verifies that providers initially and continually meet required	PM C1; (Pulled from approved waiver)	State Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved walver)	(Pulled from approved walver)	(Pulled from approved Malver)	(Pulled from approved walver)

The state demonstrates that it has designed and implemented an adequate system for assuring that all waiver services are provided by qualified providers.	The State monitors non-licensed/mon-certified providers to assure adherence to waiver requirements	PM C2 (Pulled from approved walver)	56	96	81	96	84%	Auto Determination	(Pulled from approved waiver)	(Pulled from approved warver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved warver)
The state demonstrates that it has designed and implemented an adequate system for assuring that all waver services are provided by qualified providers.	implements its policies and procedures for verifying that	PM C3 (Pulled from approved walver)	State Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved waiver)	(Pulled from approved walver)	(Pulled from approved walver)	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved wakver)
The state demonstrates if has designed and implemented an effective system for reviewing the adequacy of service plans for waiver participants.	address all participants	PM D1. (Pulled from approved walver)	16	16	12	16	754	Auto Determination	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved walver)	(Pulled from approved walver)	(Pulled from approved waiver)
The state demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans to waiver participants.	monitors service plan	PM D2: (Pulled from approved waiver)	State Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)
The state demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans for waver participants	are updated/revised	PM D3: (Must track this but not required to repo	State Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved walver)	(Pulled from approved waver)	(Pulled from approved walver)	(Pulled from approved waver)

The state demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans for waiver participants.	delivered in accordance with	PM D4. (Philled from approved walver)	< >	State Entry	State Entry	State Entry	State Entry	Auto Celculated	Auto Determination	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Fulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved walver)
The state demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans for waiver participants.	afforded choice.	PM D5. (Pulled from approved waiver)	<	State Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved walver)	(Pulled from approved warver)	(Pulled from approved walver)	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved waiver)
The State demonstrates it has designed and implemented an effective system for assuring waiver participant health and wetfare.	demonstrates on	PM G1 (Pulled from approved walver)	< >	State Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved walver)	(Pulled from approved warver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved walver)	(Pulled from approved waiver)
The State demonstrates it has designed and implemented an effective system for assuring waiver participant health and welfare	The State demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible	PM G2. (Pulled from approved walver)	< ·	State Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved walver)	(Pulled from approved waiver)
The State demonstrates it has designed and implemented an effective system for assuring waiver participant health and welfare.	The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and sectusion) are followed.	PM G3 (Pulled from approved walver)	< >	5	5	(4)	5	00%	Auto Determination	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)

The State demonstrates it has designed and implemented an effective system for assuring waiver participant health and welfare.	establishes overall health care standards	PM G4: (Pulled from approved waiver)	State Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved warver)
The State must demonstrate that it has designed and implemented an adequate system for ensuring financial accountability of the waiver program.	The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services	PM It: (Pulled from approved waiver)	State Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved waver)	(Pulled from approved waiver)	(Pulled from approved warver)	(Pulled from approved warver)	(Pulled from approved waiver)	(Pulled from approved waiver)
The State must demonstrate that it has designed and implemented an adequate system for ensuring financial accountability of the walver program.	The State provides evidence that rates remain consistent with the approved rate methodology throughout the five year waiver cycle	PM I3. (Pulled from approved waiver)	Stato Entry	State Entry	State Entry	State Entry	Auto Calculated	Auto Determination	(Pulled from approved waiver)	(Pulled from approved walver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved walver)

6. Deficiencies were de	tected.	The state of the s								
Provide a summary	of the significant are	as where deficiencies	were det	tected, (Note: Individ	ual reports or asses	sment forms for waive	r			
		deficiencies and which	docume	nt the summary are n	ot necessary):					
7. Deficiencies have been	en, or are being corre	cted.								
Assurance	Sub-assurance	Performance Measure		Numerator Denominator	Percent Compliance	Individual or Systemic Deficiency	Remediation/QIP	Entity Responsible for Remediation/QIP	Timeline	Comment
The state demonstrates that it has designed and implemented an adequate system for assuring that all waiver services are provided by qualified providers.	The State monitors non- licensed/non- certified providers to assure adherence to waiver requirements.	PM C2 Example	•	81 96	84%	Systemic V	The State maintains a registry of not licensed/non- certified providers. The Operating Agent will implement edits in this system to disenroll providers that	Operating Agency	The State has discussed business requirements for the system edits and plans to implement them in SFY2020.	The State alread conducts program integrity review of providers. We will add provide qualifications a a component of t review until our system edits are implemented.
The state demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans for waiver participants.	are	PM D1. Example	^	12 16	75%	Systemic V	The State will issue a memo to the Case Management Agencies to remind them the they are responsible for updating service plans when participant needs change.	State Medicaid Agency V	The State will issue this memo by the end of July 2020.	*
The State demonstrates it has designed and implemented an effective system for assuring waiver participant health and welfare	The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are	PM G3 Example	^	4 5	80%	Remediation not required.	The State has taken corrective action against the provider and case manager that did not complete a prevention plan.	State Medicald Agency V	This issue has been resolved.	

followed.