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 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.		PM A1: (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 waiver)	(Pulled from approved waiver)	(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/reevaluating an applicant's/waiver participant's level of care consistent with level of care provided in a hospital, NF or ICF/IID.	An evaluation for LOC is provided to all applicants for whom there is reasonable indication that services may be needed in the future.	PM B1: (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 waiver)	(Pulled from approved waiver)	(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/reevaluating an applicant's/waiver participant's level of care consistent with level of care provided in a hospital, NF or ICF/IID.	The levels of care of enrolled participants are reevaluated at least annually or as specified in the approved waiver.	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 waiver)	(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/reevaluating an applicant's/waiver participant's level of care consistent with level of care provided in a hospital, NF or ICF/IID.	The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine the initial participant level of care.	PM B3: (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 waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)
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 verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services.	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 waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)

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: (Pulled from approved waiver)	96	96	81	96	84%	☑ Auto Determination	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)	(Pulled from approved waiver)
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 implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and the approved waiver.	PM C3:(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 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 reviewing the adequacy of service plans for waiver participants.	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.	PM D1: (Pulled from approved waiver)	16	16	12	16	75%	☑ Auto Determination	(Pulled from approved waiver)	(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 reviewing the adequacy of service plans for waiver participants.	The State monitors service plan development in accordance with its policies and procedures.	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 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 reviewing the adequacy of service plans for waiver participants.	Service plans are updated/revised at least annually or when warranted by changes in the waiver participant's needs.	PM D3: (Must track this but not required to rep	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 waiver)	(Pulled from approved waiver)

The state demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans for waiver participants.	Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.	PM D4: (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 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 reviewing the adequacy of service plans for waiver participants.	Participants are afforded choice. Between/among waiver services and providers.	PM D5: (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 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.	The State demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.	PM G1: (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 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.	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 waiver)	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 waiver)	(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 seclusion) are followed.	PM G3: (Pulled from approved waiver)	5	5	4	5	80%	☑ Auto Determination	(Pulled from approved waiver)	(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.	The State establishes overall health care standards and monitors those standards based on the responsibility of the service provider as stated in the approved waiver.	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 waiver)	(Pulled from approved waiver)	(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 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 I1: (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 waiver)	(Pulled from approved waiver)	(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 waiver 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)	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 waiver)	(Pulled from approved waiver)

5. ☐ **No deficiencies were detected during the monitoring process;**

6. ☑ **Deficiencies were detected.**

Provide a summary of the significant areas where deficiencies were detected, (Note: Individual reports or assessment forms for waiver individuals and/or providers disclosing deficiencies and which document the summary are not necessary):

7. ☑ **Deficiencies have been, or are being corrected.**

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	The State maintains a registry of non licensed/non-certified providers. The Operating Agency 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 already conducts program integrity review of providers. We will add provider qualifications as a component of the 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.	Service plans are updated/revised at least annually or when warranted by changes in the waiver participant's needs.	PM D1: Example	12/16	75%	Systemic	The State will issue a memo to the Case Management Agencies to remind them that they are responsible for updating service plans when participant needs change.	State Medicaid Agency	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 followed.	PM G3: Example	4/5	80%	Individual Remediation not required.	The State has taken corrective action against the provider and case manager that did not complete a prevention plan.	State Medicaid Agency	This issue has been resolved.	