

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	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	6	6														
		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	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.	28	29														
		Percentage compliant	96.6%															
		Level of care determined within 1 week	1															
		<i>Data source: DS3</i>																
		Level of Care Process/Forms	Compliant	N	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.	39	39														
		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.	39	39														
		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.	13	14														
		Percentage compliant	92.9%															
		Missing SDS approval signature - corrected	1															
		<i>Data source: Case Record Review</i>																

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		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	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.	14	14														
		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.	14	14														
		Percentage compliant	100.0%															
		<i>Data source: Case Record Review</i>																
SP 10		Number and percentage of waiver participants whose service plans address health and safety factors.	14	14														
		Percentage compliant	100.0%															
		<i>Data source: Case Record Review</i>																
SP 11		Number and percentage of completed service plans submitted to SDS within required regulatory timeframes	1	18														
		Percentage compliant	5.6%															
		Complete service plan received within 1 week	2															
		Complete service plan received within 2 weeks	1															
		Complete service plan received within 3 weeks	1															
		Complete service plan received >= 4 weeks	6															
		Service plan requested from care coordinator	7															
		<i>Data source: DS3</i>																
		<i>The state monitors service plan development in accordance with its policies and procedures.</i>																
SP 12		Number and percentage of service plans that were submitted on approved forms.	20	20														
		Percentage compliant	100.0%															
		<i>Data source: Case Record Review</i>																

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SP 13		Number and percentage of service plans that include participant signature indicating participation in plan development.	14	14														
		Percentage compliant	100.0%															
		<i>Data source: Case Record Review</i>																
		<i>Service Plans are updated/ revised at least annually or when warranted by changes in waiver participation needs.</i>																
			Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N		
SP 14		Number and percentage of service plans reviewed and updated as needed prior to the annual redetermination date.	13	15														
		Percentage compliant	86.7%															
		Service plan reviewed and updated within 2 weeks	1															
		Service plan reviewed and updated within 3 weeks	1															
		<i>Data source: DS3</i>																
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.	14	14														
		Percentage compliant	100.0%															
		<i>Data source: Case Record Review</i>																
		<i>Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.</i>																
			Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N		
SP 16		Number and percentage of participants who received services by type of service.	8	14														
		Percentage compliant	57.1%															
		Provider record review process in development	6															
		<i>Data source: Case Record Review</i>																
SP 17		Number and percentage of participants who received services in the amount, duration and frequency described in the service plan.	1	14														
		Percentage compliant	7.1%															
		Provider record review process in development	13															
		<i>Data source: Case Record Review</i>																

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		<i>Participants are afforded choice between waiver services and institutional care and between / among waiver services and providers.</i>																
			Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N		
SP 18		Number and percentage of participant records with an appropriately completed freedom of choice form that specified choice was offered among waiver services.	14	14														
		Percentage compliant	100.0%															
		<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.	14	14														
		Percentage compliant	100.0%															
		<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.	14	14														
		Percentage compliant	100.0%															
		<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>																

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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>																
		Health and Welfare																
		<i>On an ongoing basis the state identifies, addresses and seeks to prevent instances of abuse, neglect and exploitation.</i>																
HW 25		Number and percentage of participants who received information on reporting abuse, neglect or exploitation.	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N		
		Percentage compliant	85.7%															
		Signature date expired - clerical error - corrected	2															
		<i>Data source: Critical Incident Reporting System</i>																
HW 26		Number and percentage of critical incident reports that were reported by a provider within required timeframes	1	2														
		Percentage compliant	50.0%															
		Reported late - technical assistance provided	1															
		<i>Data source: Critical Incident Reporting System</i>																
HW 27a		Number and percentage of critical incident reports (CIRs) reviewed by Adult Protective Service within one business day of receipt	1	1														
		Percentage compliant	100.0%															
		<i>Data source: Critical Incident Reporting System</i>																

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HW 27b		Number and percentage of critical incident reports (CIRs) involving children reviewed by SDS within one business day of receipt	1	1															
		Percentage compliant	100.0%																
		<i>Data source: Critical Incident Reporting System</i>																	
HW 29		Number and percentage of critical incident reports received by type of incident.	2	2															
		Percentage compliant	100.0%																
		Law response	1																
		Other	1																
		<i>Data source: Critical Incident Reporting System</i>																	
HW 30		Number and percentage of deaths reviewed by Mortality Review Task Committee	2	2															
		Percentage compliant	100.0%																
		<i>Data source: DS3</i>																	
		Financial Accountability																	
		State financial oversight exists to ensure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.																	
			Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N	Compliant	N			
FA 31		Number and percentage of claims that were coded and paid correctly	5041	5041															
		Percentage compliant	100.0%																
		<i>Data source: MMIS</i>																	
FA 32		Number and percentage of claims for services that were prior authorized.	4809	4809															
		Percentage compliant	100.0%																
		<i>Data source: MMIS</i>																	