

# Home and Community Based Services-Adult Mental Health Quality Management Plan

## A. Administrative Authority

### A.a. Sub-Assurance

The State Medicaid Agency retains ultimate authority and responsibility for program operations and oversight.

### A.1. Performance Measure

DSHS generates the number and percent of aggregated performance measure reports that contain discovery, remediation, and system improvements for ongoing compliance of the assurances.

Data Source: Reports

Frequency of Data Collection: Annually

Sampling Approach: 100% sample size

Frequency of Analysis: Annually

### A.2. Performance Measure

DSHS generates the number and percent of SPA amendments, renewals and financial reports approved by HHSC prior to implementation.

Data Source: Reports

Frequency of Data Collection: Annually

Sampling Approach: 100% sample size

Frequency of Analysis: Annually

### A.3. Performance Measure

DSHS generates the number and percent of SPA concepts and policies requiring MMIS programming and approved by HHSC prior to the development of a formal implementation plan.

Data Source: Reports

Frequency of Data Collection: Annually

Sampling Approach: 100% sample size

Frequency of Analysis: Annually

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## B. Qualified Providers

### B.a. Sub-Assurance

The state verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to and during the provision of services.

### B.1. Performance Measure

Number and percent of HCBS providers initially meeting licensure and certification requirements prior to furnishing HCBS services

Data Source: OE Application, Record reviews

Frequency of Data Collection: Annually

Sampling Approach: Representative Sample, 95% Confidence Interval

Frequency of Analysis: Annually

### B.2. Performance Measure

Number and percent of HCBS providers meeting licensure and certification requirements while furnishing HCBS services.

Data Source: Record reviews

Frequency of Data Collection: Annually

Sampling Approach: Representative Sample, 95% Confidence Interval

Frequency of Analysis: Annually

### B.b. Sub-Assurance

The State implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and HCBS service requirements.

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### B.3. Performance Measure

Number and percent of HCBS providers who meet training requirements for delivering HCBS services
Data Source: Record reviews
Frequency of Data Collection: Annually
Sampling Approach: Representative Sample, 95% Confidence Interval
Frequency of Analysis: Annually

### B.c. Sub-Assurance

The State implements its policies and procedures for verifying that providers initially and continually maintain an active provider agreement.
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### B.4. Performance Measure

Number and percent of HCBS providers with an active agreement with DSHS/HHSC.
Data Source: Record reviews
Frequency of Data Collection: Annually
Sampling Approach: Representative Sample, 95% Confidence Interval
Frequency of Analysis: Annually

### B.d. Sub-Assurance

The State implements its policies and procedures for verifying enrolled HCBS providers are serving HCBS individuals.
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### B.5. Performance Measure

Number and percent of enrolled HCBS providers serving HCBS individuals (by provider type).
Data Source: Reports
Frequency of Data Collection: Annually

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Sampling Approach: Representative Sample, 95% Confidence Interval  
Frequency of Analysis: Annually

### C. Service Plans

#### C.a. Sub-Assurance

Service plans address all participants' assessed needs (including health and safety risk factors) and personal goals, either by the provision of HCBS services or through other means.

#### C.1. Performance Measure

Number and percent of participant's with IRPs' that address all needs and personal goals.

Data Source: Record review, onsite

Frequency of Data Collection: Annually

Sampling Approach: Representative Sample, 95% Confidence Interval

Frequency of Analysis: Annually

#### C.b. Sub-Assurance

Service plans are updated/revised at least annually or when warranted by changes in the HCBS participant's needs.

#### C.2. Performance Measure

Number and percent of participants with current individual recovery plans (IRPs) updated annually

Data Source: Record review, onsite

Frequency of Data Collection: Annually

Sampling Approach: Representative Sample, 95% Confidence Interval

Frequency of Analysis: Annually

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### C.c. Sub-Assurance

Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.

### C.3. Performance Measure

Number and percent of participants with services delivered in accordance with the IRP, including the type, scope, amount, duration and frequency specified in the service plan.

Data Source: Record review, onsite

Frequency of Data Collection: Annually

Sampling Approach: Representative Sample, 95% Confidence Interval

Frequency of Analysis: Annually

### C.d. Sub-Assurance

Service plans document that participants are afforded choice of HCBS services and providers.

### C.4. Performance Measure

Number and percent of participants with IRPs which document the individual's choice among and between HCBS-AMH services and providers.

Data Source: Record review, onsite

Frequency of Data Collection: Annually

Sampling Approach: Representative Sample, 95% Confidence Interval

Frequency of Analysis: Annually

### C.e. Sub-Assurance

Service plans reflect that the providers and individual goals are consistent with the individual's assessment.

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## C.5. Performance Measure

Number and percent of participants with IRPs which document providers and individual goals are consistent with their individual assessment.

Data Source: Record review, onsite

Frequency of Data Collection: Annually

Sampling Approach: Representative Sample, 95% Confidence Interval

Frequency of Analysis: Annually

## D. Health and Welfare

### D.a. Sub-Assurance

The State, on an ongoing basis, identifies, addresses and seeks to prevent the occurrence of abuse, neglect and exploitation, including the use of restraints.

### D.1. Performance Measure

Number and/or percent of reports related to abuse, neglect, exploitation and unexplained deaths of participants where an investigation was initiated within established time frames.

Data Source: Reports

Frequency of Data Collection: Annually

Sampling Approach: 100% sample size

Frequency of Analysis: Annually

### D.2. Performance Measure

Number and percent of participants who received information on how to report the suspected abuse, neglect, or exploitation of adults.

Data Source: Reports

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Frequency of Data Collection: Annually Sampling Approach: 100% sample size Frequency of Analysis: Annually
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### D.3. Performance Measure

Number and percent of participants who received information regarding their rights to a state fair hearing via the official state form.
Data Source: Reports Frequency of Data Collection: Annually Sampling Approach: 100% sample size Frequency of Analysis: Annually

### D.4. Performance Measure

Number and percent of grievances filed by participants that were resolved within 14 calendar days according to approved SPA guidelines.
Data Source: Reports Frequency of Data Collection: Annually Sampling Approach: 100% sample size Frequency of Analysis: Annually

### D.5. Performance Measure

Number and percent of allegations of abuse, neglect or exploitation investigated that were later substantiated, where recommended actions to protect health and welfare were implemented.
Data Source: Reports Frequency of Data Collection: Annually Sampling Approach: 100% sample size Frequency of Analysis: Annually

### D.6. Performance Measure

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Number and percent of participants' critical incidents related to ANE that were reported, initiated, reviewed, and completed within required time frames as specified in the approved SPA.

Data Source: Reports

Frequency of Data Collection: Annually

Sampling Approach: 100% sample size

Frequency of Analysis: Annually

### D.7. Performance Measure

Number and percent of unauthorized uses of restrictive interventions that were appropriately reported.

Data Source: Reports

Frequency of Data Collection: Annually

Sampling Approach: 100% sample size

Frequency of Analysis: Annually

### D.b. Sub-Assurance

The State verifies that HCBS participants receive annual physical exams.

### D.8. Performance Measure

Number and percent of HCBS participants who received physical exams consistent with state 1915(i) policy.

Data Source: Reports

Frequency of Data Collection: Annually

Sampling Approach: 100% sample size

Frequency of Analysis: Annually

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## E. Needs-Based Criteria

### E.a. Sub-Assurance

The State verifies that the approved processes and instruments are applied appropriately and according to the approved description to determine if the needs-based criteria was met.

### E.1. Performance Measure

Number and percent of individuals that were determined to meet needs-based criteria requirements prior to receiving HCBS services.

Data Source: Record review, onsite

Frequency of Data Collection: Annually

Sampling Approach: Representative sample, 95% confidence interval

Frequency of Analysis: Annually

### E.2. Performance Measure

Number and percent of individuals' initial needs-based criteria determination forms/instruments that were completed.

Data Source: Record review, on-site

Frequency of Data Collection: Annually

Sampling Approach: Representative sample, 95% confidence interval

Frequency of Analysis: Annually

### E.3. Performance Measure

Number and percent of individuals' initial determinations, where level of need criteria was applied correctly.

Data Source: Record review, on-site

Frequency of Data Collection: Annually

Sampling Approach: Representative sample, 95% confidence interval

Frequency of Analysis: Annually

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## F. Settings Requirements

### F.a. Sub-Assurance

The State verifies that the settings meet the home and community-based setting requirements.

### F.1. Performance Measure

Number and percent of HCBS settings meeting appropriate licensure or certification and Federal HCBS requirements.  
Data Source: On-site reviews, Reports  
Frequency of Data Collection: Annually  
Sampling Approach: Representative sample, 95% confidence interval  
Frequency of Analysis: Annually

## G. Financial Accountability

### G.a. Sub-Assurance

HHSC maintains financial accountability through payment of claims for services that are authorized and furnished to HCBS participants by qualified providers.

### G.1. Performance Measure

Number and percent of providers that have payment recouped for HCBS services without supporting documentation.  
Data Source: Financial Records  
Frequency of Data Collection: Annually  
Sampling Approach: Representative sample, 95% confidence interval  
Frequency of Analysis: Annually

### G.2. Performance Measure

Number and/or percent of claims verified through the DSHS compliance audit to have paid in accordance with the participant's IRP.

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Data Source: Financial Records Frequency of Data Collection: Annually Sampling Approach: Representative sample, 95% confidence interval Frequency of Analysis: Annually
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### G.3. Performance Measure

Number and/or percent of rates which remain consistent with the approved rate methodology throughout the five year SPA cycle.
Data Source: Financial Records Frequency of Data Collection: Annually Sampling Approach: Representative sample, 95% confidence interval Frequency of Analysis: Annually