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# CRITICAL QUESTIONS WORKBOOK

## Section II

### Critical Questions Workbook Pages



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# Critical Questions Workbook


## Section II

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## Critical Questions Workbook Pages

The following pages provide suggestions for measures you could use to report to your QA Committee on the processes and results of Quality Assurance activities. Use this as a workbook—there is space under each Quality Component for writing the specific measure that you have chosen to use, and information about the measure. Sample measures provided are simply that—examples. None of them are required.

<b>Measure(s)</b>	The actual measure you plan to report to the QA Committee. Sample measures are listed for each Quality Component.
<b>How Often?</b>	How often (or when) will you collect the data related to this measure? How often will you report the compiled data? For example, you might enter “Collect monthly, Report annually.”
<b>Person Resp.</b>	Who is responsible for carrying out the data collection and/or reporting?
<b>Acceptable Threshold of Performance</b>	The level of performance that is acceptable for that QA process. If you identify an acceptable threshold, then whenever performance drops below it, the QA Committee or CDDP should identify an improvement strategy to bring performance into acceptable levels. You may begin with a lower defined acceptable threshold, and gradually increase it over time as performance improves.
<b>Methods, Source, How Data are Gathered, e.g., Sampling Methods</b>	<p>This is probably the most important part of the workbook. Enter information here about how data are collected for this Quality Component and report. The more accurate and precise this is, the more likely you will repeat the same method the next time you need to report on this measure. For example, “Summarize question ‘XXXXXXX’ from the Service Monitoring Checklist (06/04 version). Use all checklists completed during the 6 months prior to the report. Calculate ‘% in place’ by dividing the total number of ‘+’ by the total number of sites reviewed for this item.”</p> 

## Goal #1: Participant Health and Welfare

**CRITICAL QUESTION:** Are individuals in home and community-based waiver services safe and secure in their homes and communities, taking into account their informed and expressed choices?

**Desired Outcome 1:**

Individuals live in safe physical environments.

**Date Developed or Updated:** \_\_\_\_\_

**Quality Component: LICENSING, CERTIFICATION REVIEWS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• #/% of sites reviewed by type of service</li> </ul>	<ul style="list-style-type: none"> <li>• Local records</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % site reviews each year with adequate physical environment and emergency planning</li> </ul>	<ul style="list-style-type: none"> <li>• Local records, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal #1: Participant Health and Welfare  
Desired Outcome 1: Individuals live in safe physical environments (continued)*

**Quality Component: SERT RECORDS**

Sample Measures:

Type	Measure	Source
Process	Description of categories related to safe physical environments	<ul style="list-style-type: none"> <li>• SERT Manual</li> </ul>
Results	#/% of SERT incidents related to unsafe physical environment	<ul style="list-style-type: none"> <li>• Review individual incident descriptions in SERT database during a specific time period for relevant serious events (e.g., injury/pain, ambulance) to determine if related to unsafe physical environment OR</li> <li>• On homepage of on-line SERT database, “View Licensing Citations.” Review text of citations to determine if any are related to unsafe physical environment</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal #1: Participant Health and Welfare  
Desired Outcome 1: Individuals live in safe physical environments (continued)*

**Quality Component: SERVICE COORDINATOR MONITORING**

Sample Measures:

Type	Measure	Source
Process	% sites (by type) monitored by Service Coordinators for adequate physical environment	<ul style="list-style-type: none"> <li>Local records of Service Coordinator Monitoring</li> </ul>
Results	% site monitoring reviews (by type) that indicate adequate physical environment	<ul style="list-style-type: none"> <li>Local records of Service Coordinator Monitoring, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

## Goal #1: Participant Health and Welfare

**CRITICAL QUESTION:** Are individuals in home and community-based waiver services safe and secure in their homes and communities, taking into account their informed and expressed choices?

**Desired Outcome 2:**

Individuals are protected from abuse.

**Date Developed or Updated:** \_\_\_\_\_

**Quality Component: OIT DATA AND LOCAL INVESTIGATOR INFORMATION ABOUT PROTECTIVE SERVICE INVESTIGATIONS**

Sample Measures:

Type	Measure	Source
Process	Types of information gathered about PSIs; description of local PSI process	<ul style="list-style-type: none"> <li>• OARs</li> </ul>
Results	#/% of incidents referred to OIT for investigation	<ul style="list-style-type: none"> <li>• There is no on-line or off-line SERT database report available at this time</li> </ul>
	% of allegations to clients served # Substantiated allegations % Substantiated allegations to clients served	<ul style="list-style-type: none"> <li>• OIT Annual Report of Abuse and neglect Allegations for Adults and Children who Receive Mental Health and Developmental Disabilities Services, Statewide Results</li> </ul>
	Types of abuse; deaths due to substantiated abuse; re-abuse of an individuals within 12 months of first substantiated abuse	<ul style="list-style-type: none"> <li>• Request from OIT</li> </ul>

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*Goal #1: Participant Health and Welfare*  
*Desired Outcome 2: Individuals are protected from abuse (continued)*

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods



*Goal #1: Participant Health and Welfare  
Desired Outcome 2: Individuals are protected from abuse (continued)*

**Quality Component: SERT RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• Description of SERT Committee process</li> <li>• % months with SERT Committee meetings that indicate review of data for trends and patterns;</li> </ul>	<ul style="list-style-type: none"> <li>• Local written policy/procedure</li> <li>• SERT Committee minutes</li> </ul>
	<ul style="list-style-type: none"> <li>• # SERT investigations that are outstanding (i.e., that have not been completed), # days outstanding</li> </ul>	<ul style="list-style-type: none"> <li>• Off-line SERT database report # 2.1 (summary table)</li> </ul>
	<ul style="list-style-type: none"> <li>• # completed SERT investigations with follow-ups that are outstanding (i.e., that have not been completed); # days outstanding</li> </ul>	<ul style="list-style-type: none"> <li>• Off-line SERT database report # 2.7 (summary table)</li> </ul>
	<ul style="list-style-type: none"> <li>• #/average days to complete investigations; #/% of late investigations</li> </ul>	<ul style="list-style-type: none"> <li>• Off-line SERT database report # 2.2 (summary table)</li> </ul>
	<ul style="list-style-type: none"> <li>• # completed SERT investigations with outstanding results (i.e., results not yet entered), # days outstanding</li> </ul>	<ul style="list-style-type: none"> <li>• Off-line SERT database report # 2.5 (summary table)</li> </ul>
Results	<ul style="list-style-type: none"> <li>• Total serious events to date, by category, for specified year</li> </ul>	<ul style="list-style-type: none"> <li>• Off-line SERT database report # 7.3 (bar graph with counts by category)</li> </ul>
	<ul style="list-style-type: none"> <li>• #/% of allegations/investigations, % of allegations investigated</li> </ul>	<ul style="list-style-type: none"> <li>• No on-line or off-line SERT database summary report available at this time.</li> </ul>
	<ul style="list-style-type: none"> <li>• % reports of suspected criminal activity to local law enforcement</li> </ul>	<ul style="list-style-type: none"> <li>• Off-line SERT database report # 7.3 (“Criminal Referral”)</li> </ul>
	<ul style="list-style-type: none"> <li>• #/% completed SERT investigations involving follow-up</li> </ul>	<ul style="list-style-type: none"> <li>• Off-line SERT database report # 2.6 (summary table)</li> </ul>

*Goal #1: Participant Health and Welfare  
Desired Outcome 2: Individuals are protected from abuse (continued)*

Type	Measure	Source
	<ul style="list-style-type: none"> <li>• #/% of SERT Investigations resulting in inconclusive, unsubstantiated, or substantiated</li> </ul>	<ul style="list-style-type: none"> <li>• Off-line SERT database report # 2.3 “SERT Investigation Result Summary” (summary table)</li> <li>• Off-line SERT database report # 7.9 (bar graph for a specified year)</li> <li>• Off-line database report # 2.4 (summary table with incident details)</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal #1: Participant Health and Welfare  
Desired Outcome 2: Individuals are protected from abuse (continued)*

**Quality Component: PSI INVESTIGATOR TRAINING, TECHNICAL ASSISTANCE, MENTORING**

Sample Measures:

Type	Measure	Source
Process	Status of the system used to track training, technical assistance, and/or mentoring	<ul style="list-style-type: none"> <li>Local training and technical assistance records</li> </ul>
Results	# days of training or technical assistance received	<ul style="list-style-type: none"> <li>Local training and technical assistance records</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal #1: Participant Health and Welfare  
Desired Outcome 2: Individuals are protected from abuse (continued)*

**Quality Component: DEATH REPORTS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• Description of process when death occurs</li> <li>• % of deaths for which the process was completed</li> </ul>	<ul style="list-style-type: none"> <li>• Local policy procedure,</li> <li>• Local records</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of deaths reviewed that were due to substantiated abuse</li> </ul>	<ul style="list-style-type: none"> <li>• Review local records</li> <li>• No off-line SERT database summary report available at this time</li> <li>• Off-line database, Main menu, Activity #8: Use Forms to Filter, Sort, and Find Incident and Serious Event Data (enter Death, investigated, investigation completed, results=substantiated)</li> </ul>

Local Measures

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

## Goal #1: Participant Health and Welfare

**CRITICAL QUESTION:** Are individuals in home and community-based waiver services safe and secure in their homes and communities, taking into account their informed and expressed choices?

**Desired Outcome 3:** Grievances and complaints are resolved in a timely fashion. **Date Developed or Updated:** \_\_\_\_\_

**Quality Component: RECORDS OF INDIVIDUAL COMPLAINTS, INCLUDING CONTESTED CASE**  
 Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• Description of process</li> <li>• Status of records related to complaint resolution</li> </ul>	<ul style="list-style-type: none"> <li>• Local policy/procedure related to individual complaints</li> <li>• Local records</li> </ul>
Results	<ul style="list-style-type: none"> <li>• # and types of complaints received</li> <li>• Timeliness of resolution</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of individual complaints</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

## Goal #1: Participant Health and Welfare

**CRITICAL QUESTION:** Are individuals in home and community-based waiver services safe and secure in their homes and communities, taking into account their informed and expressed choices?

**Desired Outcome 4:**

**Date Developed or Updated:** \_\_\_\_\_

Individual risk and safety considerations are identified and appropriate interventions designed taking into account individual informed and expressed choices.

**Quality Component: SERVICE COORDINATOR MONITORING**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % of individuals for whom ISPs were monitored by type of service</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of Service Coordinator monitoring</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of sample of ISPs with completed Risk Tracking Records, mandatory interventions and protocols on identified risks including behavioral interventions</li> <li>• % ISPs for adults receiving comprehensive In-Home Supports developed using Risk Tracking Record or similar tool</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of Service Coordinator monitoring, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal #1: Participant Health and Welfare*  
*Desired Outcome 4: Individual risk and safety considerations are identified and appropriate interventions designed taking into account individual informed and expressed choices (continued)*

**Quality Component: LICENSING, CERTIFICATION REVIEWS**

Sample Measures:

Type	Measure	Source
Process	#/% of sites reviewed by type of service	<ul style="list-style-type: none"> <li>Local records</li> </ul>
Results	<ul style="list-style-type: none"> <li>% with Balancing test when monitoring psychotropic medication</li> <li>% in compliance with the rule forbidding PRN use of psychotropic medications and with requirements for written protocols and interventions in conjunction with use of psychotropic medications</li> </ul>	<ul style="list-style-type: none"> <li>Local records, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

## Goal #1: Participant Health and Welfare

**CRITICAL QUESTION:** Are individuals in home and community-based waiver services safe and secure in their homes and communities, taking into account their informed and expressed choices?

**Desired Outcome 5:**

**Date Developed or Updated:** \_\_\_\_\_

There are systematic safeguards in place to protect participants from critical incidents and other life-endangering situations.

**Quality Component: SERT RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>% of monthly meetings held to review SERT data, determine timely correction of the problems, and analyze information to detect trends and patterns.</li> </ul>	<ul style="list-style-type: none"> <li>Local SERT meeting minutes</li> </ul>
Results	<ul style="list-style-type: none"> <li>Problems corrected; Trends and patterns detected; Actions taken in response to trends and patterns</li> </ul>	<ul style="list-style-type: none"> <li>Local SERT meeting minutes</li> </ul>
	<ul style="list-style-type: none"> <li>Graph of total serious events to date for specified year</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>

Local Measures

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods



*Goal #1: Participant Health and Welfare*  
*Desired Outcome 5: There are systematic safeguards in place to protect participants from critical incidents and other life-endangering situations (continued)*

**Quality Component: SERVICE COORDINATOR MONITORING**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % of sites that were monitored</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of Service Coordinator monitoring</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of site monitoring visits that identified corrective actions related to participant health and welfare</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of Service Coordinator monitoring, summary of results for specific items</li> </ul>

**Local Measures:**

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

## Goal #1: Participant Health and Welfare

**CRITICAL QUESTION:** Are individuals in home and community-based waiver services safe and secure in their homes and communities, taking into account their informed and expressed choices?

**Desired Outcome 6:**

**Date Developed or Updated:** \_\_\_\_\_

There are safeguards in place to protect and support participants in the event of natural disasters and other public emergencies.

**Quality Component: LICENSING, CERTIFICATION REVIEWS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• #/% of sites reviewed, including CDDP</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of licensing, certification reviews</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % with satisfactory contingency planning evident at review</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of licensing, certification reviews, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

## Goal # 2: Developing, Monitoring, and Reviewing Plans of Care

**CRITICAL QUESTION:** Are home and community based waiver services and supports planned and effectively implemented in accordance with each participant’s unique needs, expressed preferences and decisions concerning his or her life in the community?

**Desired Outcome 1:**

**Date Developed or Updated:** \_\_\_\_\_

Comprehensive information concerning each participant’s preferences and personal goals, needs and abilities, health status and other available supports is gathered and used in developing a personalized plan.

**Quality Component: INDIVIDUAL FILE REVIEWS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• #/% of files reviewed</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of individual file reviews</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of files reviewed in compliance with required components for service element</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of individual file reviews, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

## Goal # 2: Developing, Monitoring, and Reviewing Plans of Care

**CRITICAL QUESTION:** Are home and community based waiver services and supports planned and effectively implemented in accordance with each participant’s unique needs, expressed preferences and decisions concerning his or her life in the community?

**Desired Outcome 2:** Individuals freely choose between waiver services and institutional care, and among waiver services and providers. **Date Developed or Updated:** \_\_\_\_\_

### Quality Component: ANNUAL SAMPLE FILE REVIEW USING HCB WAIVER SERVICE REVIEW CHECKLIST

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• #/% of files reviewed with HCB Waiver Service Review Checklist</li> </ul>	<ul style="list-style-type: none"> <li>• Local records or State summary report of HCB Waiver Review Checklist implementation</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of files reviewed in compliance with required components</li> </ul>	<ul style="list-style-type: none"> <li>• Local records or State summary report of HCB Waiver Review Checklist, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal # 2: Developing, Monitoring, and Reviewing Plans of Care  
Desired Outcome 2: Individuals freely choose between waiver services  
and institutional care, and among waiver services and providers (continued)*

**Quality Component: INDIVIDUAL FILE REVIEWS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• #/% of files reviewed</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of individual file reviews</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of files reviewed in compliance with required components for service element</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of individual file reviews, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

## Goal # 2: Developing, Monitoring, and Reviewing Plans of Care

**CRITICAL QUESTION:** Are home and community based waiver services and supports planned and effectively implemented in accordance with each participant’s unique needs, expressed preferences and decisions concerning his or her life in the community?

**Desired Outcome 3:**

**Date Developed or Updated:** \_\_\_\_\_

Individuals receive services required to meet needs.

**Quality Component: CDDP RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• Date and contents of review of CDDP records by SPD</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>
Results	<ul style="list-style-type: none"> <li>• CDDP written procedures re: ISP monitoring and implementation</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>
	<ul style="list-style-type: none"> <li>• % of sample files found to have service coordinator review of ISP</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>
	<ul style="list-style-type: none"> <li>• % of files with documentation of implementation of each support and service noted in ISP</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>
	<ul style="list-style-type: none"> <li>• % of files of individuals in support services with required elements</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal # 2: Developing, Monitoring, and Reviewing Plans of Care  
Desired Outcome 3: Individuals receive services required to meet needs (continued)*

**Quality Component: SERVICE COORDINATOR MONITORING RESULTS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % of ISPs, by service element, monitored for implementation at least annually</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of service monitoring</li> </ul>
Results	<ul style="list-style-type: none"> <li>• Results of ISP monitoring checklists, by service element</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of service monitoring, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal # 2: Developing, Monitoring, and Reviewing Plans of Care  
Desired Outcome 3: Individuals receive services required to meet needs (continued)*

**Quality Component: LICENSING, CERTIFICATION REVIEWS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• #/% of files reviewed during licensing, certification reviews</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of licensing, certification reviews</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of individual files with current ISPs, reviewed by CDDP</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of licensing, certification reviews, summary of results for specific items</li> </ul>
	<ul style="list-style-type: none"> <li>• % of individual files in 24-hour residential settings with all required components in place</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of licensing, certification reviews, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods



*Goal # 2: Developing, Monitoring, and Reviewing Plans of Care  
Desired Outcome 3: Individuals receive services required to meet needs (continued)*

**Quality Component: EMPLOYMENT OUTCOMES REPORT**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % of local employment providers reporting at last report</li> </ul>	<ul style="list-style-type: none"> <li>• Semi-Annual Employment Outcomes System Evaluation Report, issued by SPD</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % individuals in types of environment (e.g., sheltered employment, individual job, ATE)</li> </ul>	<ul style="list-style-type: none"> <li>• Summary of results from individual provider reports, Semi-Annual Employment Outcomes System Evaluation Report, issued by SPD</li> </ul>
	<ul style="list-style-type: none"> <li>• Average # of hours paid work per week</li> </ul>	<ul style="list-style-type: none"> <li>• Summary of results from individual provider reports, Semi-Annual Employment Outcomes System Evaluation Report, issued by SPD</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

## Goal # 2: Developing, Monitoring, and Reviewing Plans of Care

**CRITICAL QUESTION:** Are home and community based waiver services and supports planned and effectively implemented in accordance with each participant’s unique needs, expressed preferences and decisions concerning his or her life in the community?

**Desired Outcome 4:**

**Date Developed or Updated:** \_\_\_\_\_

Individuals are satisfied with plans and outcomes.

**Quality Component: INDIVIDUAL/FAMILY SATISFACTION SURVEYS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % of individuals/families receiving the annual survey</li> </ul>	<ul style="list-style-type: none"> <li>• Local survey records</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of surveys returned indicating “Good” or “Excellent” with respect to satisfaction with plans and outcomes</li> </ul>	<ul style="list-style-type: none"> <li>• Local survey results</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods



### Goal # 3: Services Provided by Qualified Providers

**CRITICAL QUESTION:** Do all agency and individual providers of home and community-based waiver services possess the requisite skills, competencies and qualifications to support participants effectively?

**Desired Outcome 1:**

**Date Developed or Updated:** \_\_\_\_\_

Individual and agency providers are qualified to provide waiver service.

**Quality Component: LICENSING, CERTIFICATION REVIEWS**

Sample Measures:

Type	Measure	Source
Process	• % provider agency & foster care sites reviewed	• Local records of licensing, certification reviews
	• % of provider agency personnel files sampled	• Local records of licensing, certification reviews
Results	• % of provider agency personnel records sampled with required elements for staff qualifications	• Local records of licensing, certification reviews, summary of results for specific items
	• % of agency reviews that meet required elements (health care needs, behavior management, physical environment)	• Local records of licensing, certification reviews, summary of results for specific items
	• % of agencies developing appropriate plan of improvement in response to self-assessment	• Local records of licensing, certification reviews
	• % of agency reviews with a plan of improvement, including follow-up visits, that successfully complete the plan and obtain or renew license or certification	• Local records of licensing, certification reviews and follow-up
	• % foster care programs that obtain or renew license on time and without difficulty due to compliance issues	• Local records of licensing, certification reviews and follow-up

*Goal # 3: Services Provided by Qualified Providers*  
*Desired Outcome 1: Individual and agency providers are qualified to provide waiver service.*  
*Licensing, Certification Reviews (continued)*

Local Measures

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal # 3: Services Provided by Qualified Providers*  
*Desired Outcome 1: Individual and agency providers are qualified to provide waiver service (continued)*

**Quality Component: CDDP RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• Date and process of CDDP review by SPD</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of comprehensive in-home support, family support, personal care provider files sampled that include required components re: individual qualifications</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal # 3: Services Provided by Qualified Providers*  
*Desired Outcome 1: Individual and agency providers are qualified to provide waiver service (continued)*

**Quality Component: SERVICE COORDINATOR MONITORING RESULTS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % of 24-hour residential and foster care settings visiting monthly by service coordinators</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of service monitoring visits</li> </ul>
	<ul style="list-style-type: none"> <li>• % of employment sites visiting during service coordinator monitoring of individual services</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of service monitoring visits</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of service coordinator reviews indicating physical environment is appropriate and safe</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of service monitoring, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal # 3: Services Provided by Qualified Providers*  
*Desired Outcome 1: Individual and agency providers are qualified to provide waiver service (continued)*

**Quality Component: SERT RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>Licensing citations entered into SERT database are accurate and up-to-date</li> </ul>	<ul style="list-style-type: none"> <li>SERT Manual; On-line SERT database, Licensing Citations</li> </ul>
Results	<ul style="list-style-type: none"> <li>#/% of sites with open licensing citations</li> </ul>	<ul style="list-style-type: none"> <li>On-line SERT database, Licensing Citations</li> </ul>
	<ul style="list-style-type: none"> <li>#/% of sites with closed licensing citations during specified time period</li> </ul>	<ul style="list-style-type: none"> <li>On-line SERT database, Licensing Citations</li> </ul>
	<ul style="list-style-type: none"> <li># providers licensed without citations</li> </ul>	<ul style="list-style-type: none"> <li>Not available in on-line or off-line SERT database</li> <li>Local records</li> </ul>
	<ul style="list-style-type: none"> <li># Programs with ongoing protective services issues identified by the Office of Investigation and Training</li> </ul>	<ul style="list-style-type: none"> <li>Local records or request information from the Office of Investigation and Training</li> </ul>

Local Measures

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods



*Goal # 3: Services Provided by Qualified Providers*  
*Desired Outcome 1: Individual and agency providers are qualified to provide waiver service (continued)*

**Quality Component: RECORDS OF PROVIDER SANCTIONS AND CONTESTED CASE HEARINGS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• Explanation of process</li> </ul>	<ul style="list-style-type: none"> <li>• Local policies and procedures</li> </ul>
Results	<ul style="list-style-type: none"> <li>• #/% of providers sanctioned in the past year</li> </ul>	<ul style="list-style-type: none"> <li>• Local records</li> </ul>
	<ul style="list-style-type: none"> <li>• % of sanctions upheld in contested case hearing</li> </ul>	<ul style="list-style-type: none"> <li>• Local records</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal # 3: Services Provided by Qualified Providers*  
*Desired Outcome 1: Individual and agency providers are qualified to provide waiver service (continued)*

**Quality Component: DIRECT CARE STAFF TURNOVER RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % of local providers reporting on SPD statewide survey of turnover rate among provider agency direct care staff</li> </ul>	<ul style="list-style-type: none"> <li>• Summary of results from SPD statewide survey of turnover rate among provider agency direct care staff</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % local turnover rate compared to statewide turnover rate</li> </ul>	<ul style="list-style-type: none"> <li>• Summary of results from SPD statewide survey of turnover rate among provider agency direct care staff</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

### Goal # 3: Services Provided by Qualified Providers

**CRITICAL QUESTION:** Do all agency and individual providers of home and community-based waiver services possess the requisite skills, competencies and qualifications to support participants effectively?

**Desired Outcome 2:**

**Date Developed or Updated:** \_\_\_\_\_

Staff of agency providers receive training to provide waiver services.

**Quality Component: LICENSING, CERTIFICATION REVIEWS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % provider agency sites reviewed</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of licensing, certification reviews</li> </ul>
	<ul style="list-style-type: none"> <li>• % of provider agency personnel files sampled</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of licensing, certification reviews</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of provider agency personnel records sampled with required training to provide waiver services</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of licensing, certification reviews, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal # 3: Services Provided by Qualified Providers*  
*Desired Outcome 2: Staff of agency providers receive training to provide waiver services (continued)*

**Quality Component: SPECIAL TRAINING PROJECT RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>% of local area providers participating in specialized training projects sponsored by SPD</li> </ul>	<ul style="list-style-type: none"> <li>State summary of specialized training projects sponsored by SPD</li> </ul>
Results	<ul style="list-style-type: none"> <li>TBD based on focus of specialized training project</li> </ul>	<ul style="list-style-type: none"> <li>State summary of specialized training projects sponsored by SPD</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

Desired Outcome 2: Staff of agency providers receive training to provide waiver services (continued)

**Quality Component: RECORDS OF FOSTER PROVIDER TRAINING AND TESTING**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % of foster provider records reviewed</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of foster provider file reviews</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of foster providers who completed training</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of foster provider file reviews, summary of specific items</li> </ul>
	<ul style="list-style-type: none"> <li>• % of foster providers with satisfactory performance on testing</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of foster provider file reviews, summary of specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

### Goal # 3: Services Provided by Qualified Providers

**CRITICAL QUESTION:** Do all agency and individual providers of home and community-based waiver services possess the requisite skills, competencies and qualifications to support participants effectively?

**Desired Outcome 3:**

**Date Developed or Updated:** \_\_\_\_\_

Service Coordinators possess skills, competencies, and qualifications to provide waiver services.

**Quality Component: CDDP RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % of Service Coordinators whose qualifications were reviewed</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of reviews of service coordinator files</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of Service Coordinators files indicating they have received required training</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of reviews of Service Coordinator files, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

*Goal # 3: Services Provided by Qualified Providers  
Desired Outcome 3: Service Coordinators possess skills, competencies, and qualifications to provide waiver services (continued)*

**Quality Component: SERVICE COORDINATOR AND PROVIDER TRAINING SURVEYS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % of local Service Coordinators and/or providers responding to state training survey</li> </ul>	<ul style="list-style-type: none"> <li>• State summary of state service coordinator and provider training surveys</li> </ul>
Results	<ul style="list-style-type: none"> <li>• Results for local area from state training surveys</li> </ul>	<ul style="list-style-type: none"> <li>• State summary of state service coordinator and provider training surveys</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods





## Goal # 4: Determining Level of Care Need

**CRITICAL QUESTION:** Is each individual's need and eligibility for home and community-based waiver services assessed and determined promptly and accurately?

**Desired Outcome 1:**

**Date Developed or Updated:** \_\_\_\_\_

Level of care assessments are completed accurately and on time.

**Quality Component: CDDP RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• Date and contents of review of CDDP records by SPD</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of sample files demonstrate level of care need has been assessed (with completed form present) and individual has been found eligible prior to enrollment in waiver services</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods



*Goal # 4: Determining Level of Care Need*  
*Desired Outcome 1: Level of care assessments are completed accurately and on time (continued)*

**Quality Component: ANNUAL SAMPLE FILE REVIEW USING HCB WAIVER SERVICE REVIEW CHECKLIST**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• #/% of files reviewed with HCB Waiver Service Review Checklist</li> </ul>	<ul style="list-style-type: none"> <li>• Local records or State summary report of HCB Waiver Review Checklist implementation</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of files sampled demonstrate level of care assessments are complete, current, and in the file of an individual, and are reviewed annually</li> </ul>	<ul style="list-style-type: none"> <li>• Local records or State summary report of HCB Waiver Review Checklist, summary of results for specific items</li> </ul>
	<ul style="list-style-type: none"> <li>• % of individual files sampled demonstrate appropriately documented offer of choice prior to entering waiver services; notification of Fair Hearing rights</li> </ul>	<ul style="list-style-type: none"> <li>• Local records or State summary report of HCB Waiver Review Checklist, summary of results for specific items</li> </ul>
	<ul style="list-style-type: none"> <li>• % of individual files sampled contain the Title XIX Waiver Form for reference and annual reevaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Local records or State summary report of HCB Waiver Review Checklist, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

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## Goal # 4: Determining Level of Care Need

**CRITICAL QUESTION:** Is each individual's need and eligibility for home and community-based waiver services assessed and determined promptly and accurately?

**Desired Outcome 2:**

Level of care assessments are completed by qualified persons.

**Date Developed or Updated:** \_\_\_\_\_

**Quality Component: CDDP RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % of Service Coordinators whose personnel files are reviewed during CDDP review by SPD</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of Service Coordinator personnel files reviewed demonstrate minimum qualifications required in Oregon Administrative Rule</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

## Goal # 5: State Administrative Authority over the Waiver

**CRITICAL QUESTION:** Does the Department carry out its duties and responsibilities as Oregon’s single state Medicaid Agency with regard to home and community-based waiver services?

**Desired Outcome 1:**

**Date Developed or Updated:** \_\_\_\_\_

Providers of home and community-based waiver services receive information regarding Medicaid-specific requirements.

**Quality Component: CDDP RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• Date and contents of review of CDDP records by SPD</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>
Results	<ul style="list-style-type: none"> <li>• CDDP found to demonstrate administrative oversight of waiver services based on result on specific items</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

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*Goal # 5: State Administrative Authority over the Waiver  
Desired Outcome 1: Providers of home and community-based  
waiver services receive information regarding Medicaid-specific requirements (continued)*

**Quality Component: SERT RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• Date and contents of local review related to meeting standards for SERT system</li> </ul>	<ul style="list-style-type: none"> <li>• Local records</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of standards met for data entry of serious event reports and initial complaints</li> </ul>	<ul style="list-style-type: none"> <li>• Local review records</li> </ul>
	<ul style="list-style-type: none"> <li>• % of months with meetings documenting a formal process to review, analyze and take action on SERT information</li> </ul>	<ul style="list-style-type: none"> <li>• SERT meeting minutes</li> </ul>
	<ul style="list-style-type: none"> <li>• % of monthly meetings that document monitoring and reporting on plans of improvement for programs identified by state licensing teams as needing additional oversight</li> </ul>	<ul style="list-style-type: none"> <li>• SERT meeting minutes</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods



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*Goal # 5: State Administrative Authority over the Waiver  
Desired Outcome 1: Providers of home and community-based  
waiver services receive information regarding Medicaid-specific requirements (continued)*

**Quality Component: ANNUAL SAMPLE FILE REVIEW USING HCB WAIVER SERVICE REVIEW CHECKLIST**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• #/% of files reviewed with HCB Waiver Service Review Checklist</li> </ul>	<ul style="list-style-type: none"> <li>• Local records or State summary report of HCB Waiver Review Checklist implementation</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of files sampled document service coordinator completion of site visits to residential programs and foster care homes according to OARs</li> </ul>	<ul style="list-style-type: none"> <li>• Local records or State summary report of HCB Waiver Review Checklist, summary of results for specific items</li> </ul>
	<ul style="list-style-type: none"> <li>• % of files sampled documenting monitoring level of care reviews and completion of Medicaid Waiver eligibility forms</li> </ul>	<ul style="list-style-type: none"> <li>• Local records or State summary report of HCB Waiver Review Checklist, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

## Goal # 5: State Administrative Authority over the Waiver

**CRITICAL QUESTION:** Does the Department carry out its duties and responsibilities as Oregon’s single state Medicaid Agency with regard to home and community-based waiver services?

**Desired Outcome 2:**

**Date Developed or Updated:** \_\_\_\_\_

Individuals are informed of, and exercise, the right to due process associated with waiver services.

**Quality Component: RECORDS OF INDIVIDUAL COMPLAINTS, INCLUDING CONTESTED CASE AS WELL AS OTHER TYPES**

Sample Measures:

Type	Measure	Source
Process	• Description of process	• Local policy/procedure for individual complaints
	• Status of records related to complaint resolution	• Local records
Results	• # and types of complaints received • Timeliness of resolution	• Local records of individual complaints
	• # of due process and circumstances that do not rise to level of contested case	• Local records of individual complaints

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

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## Goal # 6: State Financial Accountability

**CRITICAL QUESTION:** Does the Department maintain, and participate in, systems and procedures that promote financial accountability at all home and community-based waiver service levels?

**Desired Outcome 1:**

**Date Developed or Updated:** \_\_\_\_\_

Expenditures for waiver services are accurately and appropriately assigned and reported.

**Quality Component: AUDITS, FINANCIAL REPORTS, SPECIAL INQUIRIES/INVESTIGATIONS RE: STATE OR LOCAL OPERATIONS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• # of audits, special inquiries/investigations</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of audits and inquiries</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of audits, inquiries that indicate timely and appropriate action, when applicable, to remedy DHS, CDDP, and provider deficiencies in documentation</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of audits and inquiries</li> </ul>
	<ul style="list-style-type: none"> <li>• Audits indicate maintenance of accurate payment and funding information</li> </ul>	<ul style="list-style-type: none"> <li>• Audit reports</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods



*Goal # 6: State Financial Accountability  
Desired Outcome 1: Expenditures for waiver services are accurately and appropriately assigned and reported (continued)*

**Quality Component: CDDP RECORDS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• Date and contents of review of CDDP records by SPD</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>
Results	<ul style="list-style-type: none"> <li>• CDDP review indicates timely completion of CPMS enrollments and terminations, regular monitoring of documentation of income and offset information on monthly Provider Financial Statements</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>
	<ul style="list-style-type: none"> <li>• CDDP review indicates timely submission, accuracy, reconciliation and maintenance of financial information, including records related to personal care services, provider contracts, TSARs, provider financial statements, CPMS, Title XIX Waiver Forms, year end financial statement</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>
	<ul style="list-style-type: none"> <li>• % applicable individual files indicate Personal Care Foster Home Data Form is completed and sent to SPD</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>
	<ul style="list-style-type: none"> <li>• Annual audit by independent CPA firm with report made available to state and federal governments upon request</li> </ul>	<ul style="list-style-type: none"> <li>• SPD review of CDDP</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

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*Goal # 6: State Financial Accountability  
Desired Outcome 1: Expenditures for waiver services are accurately and appropriately assigned and reported (continued)*

**Quality Component: LICENSING, CERTIFICATION REVIEWS**

Sample Measures:

Type	Measure	Source
Process	<ul style="list-style-type: none"> <li>• % providers reviewed</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of licensing, certification reviews</li> </ul>
Results	<ul style="list-style-type: none"> <li>• % of reviews demonstrate provider maintains adequate financial records regarding client personal funds, expenditures, business accounts, and other related issues , e.g., personnel and client attendance</li> </ul>	<ul style="list-style-type: none"> <li>• Local records of licensing, certification reviews, summary of results for specific items</li> </ul>

Local Measures:

Measure(s)	How Often?	Person Resp.	Acceptable Threshold of Performance	Methods, Source, How Data are Gathered, e.g., Sampling Methods

