

HCBS Quality Framework

The Home and Community-Based Services (HCBS) Quality Framework is intended to serve as a common frame of reference in support of productive dialogue among all parties who have a stake in the quality of services and supports for people with disabilities. The Framework focuses attention on the desired outcomes of HCBS quality management and improvement efforts. The Framework is not regulatory. It is not expected that every state or provider would be engaged in actively monitoring each and every sub-domain.

The Framework identifies seven broad quality domains and associated sub-domains:

Domain	Associated Sub-domains
I. Participant access	<ul style="list-style-type: none"> A. Information/referral B. Intake and Eligibility <ul style="list-style-type: none"> 1. User-friendly processes 2. Eligibility determination 3. Referral to Community Resources 4. Individual choice of HCBS 5. Prompt Initiation
II. Participant-centered service planning and delivery	<ul style="list-style-type: none"> A. Participant-centered service planning <ul style="list-style-type: none"> 1. Assessment 2. Participant decision making 3. Free choice of providers 4. Service plan 5. Participant direction B. Service delivery <ul style="list-style-type: none"> 1. Ongoing service and support coordination 2. Service provision 3. Ongoing monitoring 4. Responsiveness to changing needs
III. Provider capacity and capabilities	<ul style="list-style-type: none"> A. Provider networks and availability B. Provider qualifications C. Provider performance
IV. Participant safeguards	<ul style="list-style-type: none"> A. Risk and safety planning B. Critical incident management C. Housing and environment D. Behavior interventions E. Medication management F. Natural disasters and other public emergencies
V. Participant rights and responsibilities	<ul style="list-style-type: none"> A. Civic and human rights B. Participant decision making authority C. Alternate decision making D. Due process E. Grievances
VI. Participant outcomes and satisfaction	<ul style="list-style-type: none"> A. Participant satisfaction B. Participant outcomes
VII. System performance	<ul style="list-style-type: none"> A. System performance appraisal B. Quality improvement C. Cultural competency D. Participant & stakeholder involvement E. Financial integrity

HCBS Quality Framework

DOMAIN I: Participant Access

Desired Outcome: *Individuals have ready access to home and community-based services and supports in their communities.*

I.A Information/Referral

Desired Outcome: *Individuals and families can readily obtain information concerning the availability of HCBS, how to apply and, if desired, offered a referral.*

I.B. Intake and Eligibility

I.B.1 User-Friendly Processes

Desired Outcome: *Intake and eligibility determination processes are understandable and user-friendly to individuals and families and there is assistance available in applying for HCBS.*

I.B.2 Eligibility Determination

Desired Outcome: *Each individual's need and eligibility for HCBS are assessed and determined promptly.*

I.B.3. Referral to Community Resources

Desired outcome: *Individuals who need services but are not eligible for HCBS are linked to other community resources.*

I.B.4. Individual Choice of HCBS

Desired Outcome: *Each individual is given timely information about available services to exercise his or her choice in selecting between HCBS and institutional services.*

I.B.5 Prompt Initiation

Desired Outcome: *Services are initiated promptly when the individual is determined eligible and selects HCBS.*

Domain II: Participant-Centered Service Planning and Delivery

Desired Outcome: *Services and supports are planned and effectively implemented in accordance with each participant's unique needs, expressed preferences and decisions concerning his/her life in the community*

II.A Participant-Centered Service Planning

II.A.1 Assessment

Desired Outcome: *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 service plan.*

II.A.2 Participant Decision Making

Desired Outcome: *Information and support is available to help participants make informed selections among service options.*

II.A.3 Free Choice of Providers

Desired Outcome: *Information and support is available to assist participants to freely choose among qualified providers.*

II.A.4 Service Plan

Desired Outcome: *Each participant's plan comprehensively addresses his or her identified need for HCBS, health care and other services in accordance with his or her expressed personal preferences and goals.*

II.A.5 Participant Direction

Desired Outcome: *Participants have the authority and are supported to direct and manage their own services to the extent they wish.*

II.B Service Delivery

II.B.1 Ongoing Service and Support Coordination

Desired Outcome: *Participants have continuous access to assistance as needed to obtain and coordinate services and promptly address issues encountered in community living.*

II.B.2 Service Provision

Desired Outcome: *Services are furnished in accordance with the participant's plan.*

II.B.3 Ongoing Monitoring

Desired Outcome: *Regular, systematic and objective methods – including obtaining the participant's feedback – are used to monitor the individual's well being, health status, and the effectiveness of HCBS in enabling the individual to achieve his or her personal goals.*

II.B.4 Responsiveness to Changing Needs

Desired Outcome: *Significant changes in the participant's needs or circumstances promptly trigger consideration of modifications in his or her plan.*

Domain III: Provider Capacity and Capabilities

Desired Outcome: *There are sufficient HCBS providers and they possess and demonstrate the capability to effectively serve participants.*

III.A Provider Networks and Availability

Desired Outcome: *There are sufficient qualified agency and individual providers to meet the needs of participants in their communities.*

III.B Provider Qualifications

Desired Outcome: *All HCBS agency and individual providers possess the requisite skills, competencies and qualifications to support participants effectively.*

III.C Provider Performance

Desired Outcome: *All HCBS providers demonstrate the ability to provide services and supports in an effective and efficient manner consistent with the individual's plan.*

Domain IV: Participant Safeguards

Desired Outcome: *Participants are safe and secure in their homes and communities, taking into account their informed and expressed choices.*

IV.A Risk and Safety Planning

Desired Outcome: *Participant risk and safety considerations are identified and potential interventions considered that promote independence and safety with the informed involvement of the participant.*

IV.B Critical Incident Management

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

IV.C Housing and Environment

Desired Outcome: *The safety and security of the participant's living arrangement is assessed, risk factors are identified and modifications are offered to promote independence and safety in the home.*

IV.D Behavior Interventions

Desired Outcome: *Behavior interventions – including chemical and physical restraints – are only used as a last resort and subject to rigorous oversight.*

IV.E. Medication Management

Desired Outcome: *Medications are managed effectively and appropriately.*

IV.F Natural Disasters and Other Public Emergencies

Desired Outcome: *There are safeguards in place to protect and support participants in the event of natural disasters or other public emergencies.*

Domain V. Participant Rights and Responsibilities

Desired Outcome: *Participants receive support to exercise their rights and in accepting personal responsibilities.*

V.A Civic and Human Rights

Desired Outcome: *Participants are informed of and supported to freely exercise their fundamental constitutional and federal or state statutory rights.*

V.B Participant Decision Making Authority

Desired Outcome: *Participants receive training and support to exercise and maintain their own decision-making authority.*

V.C Alternate Decision Making

Desired Outcome: *Decisions to seek guardianship, surrogates or other mechanisms that take authority away from participants are considered only after a determination is made that no less intrusive measures are or could be available to meet the participant's needs.*

V.D Due Process

Desired Outcome: *Participants are informed of and supported to freely exercise their Medicaid due process rights.*

V.E Grievances

Desired Outcome: *Participants are informed of how to register grievances and complaints and supported in seeking their resolution. Grievances and complaints are resolved in a timely fashion.*

Domain VI Participant Outcomes & Satisfaction

Desired Outcome: *Participants are satisfied with their services and achieve desired outcomes.*

VI.A Participant Satisfaction

Desired Outcome: *Participants and family members, as appropriate, express satisfaction with their services and supports.*

VI.B Participant Outcomes

Desired Outcome: *Services and supports lead to positive outcomes for each participant.*

Domain VII. System Performance

Desired Outcome: *The system supports participants efficiently and effectively and constantly strives to improve quality.*

VII.A System Performance Appraisal

Desired Outcome: *The service system promotes the effective and efficient provision of services and supports by engaging in systematic data collection and analysis of program performance and impact.*

VII.B Quality Improvement

Desired Outcome: *There is a systemic approach to the continuous improvement of quality in the provision of HCBS.*

VII.C Cultural Competency

Desired Outcome: *The HCBS system effectively supports participants of diverse cultural and ethnic backgrounds.*

VII.D Participant and Stakeholder Involvement

Desired Outcome: *Participants and other stakeholders have an active role in program design, performance appraisal, and quality improvement activities.*

VII. E Financial Integrity

Desired Outcome: *Payments are made promptly in accordance with program requirements.*