# DOJ SETTLEMENT AGREEMENT – PROCESS DOCUMENT

(16.2 Transportation On Time Performance (OTP) Measure__VER001)

**DATE CREATED  1/11/23**                          **CREATED BY Aaron Moore**

**VERSION NO. #1**                                 **PROCESS OWNER  Aaron Moore**

**DATE OF LAST REVISION: n/a**                     **LAST UPDATED BY: Aaron Moore**

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**INSTRUCTIONS**

1. **'I. INTRODUCTION'** – This section is utilized to provide detailed information about the document and the contents that is contained within the document. Information referenced in this document will provide details needed to understand the documented process and its deliverables.
   a. **Purpose:** Provide the purpose of the document to include specific detail about what is being addressed with the development of this process
   b. **Scope:** This section should outline the deliverables and/or objectives of this process to provide a method to measure success
   c. **Document Management:** Describe how the document will be tracked, stored, and distributed.
   d. **Compliance:** Provide all DOJ Provision and Compliance ID #s that are relevant or will be addressed by implementing the process on this document including language.
   e. **Roles & Responsibilities:** Identify the role of all individuals involved in the process and define their responsibilities of each individual.
2. **'II. CHANGE CONTROL'** – This section will provide a description of the systematic approach to managing changes made to the process as well as ensuring that no unnecessary change or revisions are made that disrupt services or compliance.
   a. **Process Description** – Provide a detailed description about the process and what the process will address (i.e. developed as a monitoring tool, lower budget expenses, etc.)
   b. **Input/Trigger** – A process input/trigger describes what initiates the start of the process. Provide detailed information about what input is needed to start the process (i.e. intake process is initiated, a new service is begun, payment is received, etc.). The input/trigger should provide an explanation for the necessary tasks/steps identified in the process.
   c. **Outputs/Measures of Success** – A process output/measure of success describes the expected end product of a process (i.e. report, improved performance metrics, etc.). Provide a statement that describes what the expected outputs/measure of success of the process should be. The description of this output should allow for the development or tracking of measures of success.
   d. **Boundaries** – Process boundaries identify where the process starts and when it ends, it also identifies what is included and what is not included in the process. Boundaries also identify areas of intersect with other processes and activities. Provide any identified boundaries (i.e. initiation, closure, reporting cadence, frequency of process, etc.) in this section. Boundaries could include the intersection of where the process ends and the reporting process begins that includes the findings of the process.

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    e. **Points of Control** – Points of Control within a process identifies any action or event that could "block" the implementation of the process. Provide any foreseen obstacles that may impact successfully implementing the documented process

    f. **Version Control** – Version Control will be utilized to track changes and guide naming conventions of process documents. Documents should follow the below nomenclature:

    **Program Area_Purpose_Ver_Version# (DQV_DOJ DQ Assessment_Ver_001)**

3. **'III. Reporting'** – List of reports that are generated utilizing the data from this process
4. **'IV. Process'** – Provide detailed step-by-step instructions for implementation/execution of process.
5. **'V. DOJ Documentation'** – Data set measure development form information for DOJ reporting documentation
    a. Numerator – describe data being calculated
    b. Denominator – describe data being calculated
    c. DQV Recommendation – Language from DQV that provides guidance for actions needed
    d. Mitigation Timeline – set time period in which actions will be taken to address the DQV recommendation
    e. Baseline – The most recent data available
6. **'VI. Verification'** – Provide all verification or validation process that needs to take place to ensure that the process is valid.
7. **'VII. Continuous Quality Improvement (CQI)'** – Provide a detailed step-by-step process describing what will be done to monitor and improve process as time progresses.
8. **'VIII. Glossary of Terms'** – Contains definitions of terms used to describe process activities and requirements

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## I. INTRODUCTION

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| **PURPOSE** | The purpose of this document is to describe the data certification and validation process utilized by DMAS staff and its contractor(s) in association with the Encounter data. This data is in relation to the DMAS Medicaid Fee for Service (FFS) Non-emergency Medical Transportation (NEMT) program. The data and processes are only related to IDD waivered trips. This document is intended to provide an in-depth overview of the process and procedures utilized when collecting, verifying and analyzing the Encounter data. |
| **SCOPE** | The primary objective is to demonstrate that DMAS staff has developed and follow appropriate process and procedures for determining the OTP or On Time Performance data utilizing the Encounter data in relation to the Medicaid FFS NEMT transportation brokerage. The goal is 86% on time performance for this measure. |

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| **DOCUMENT MANAGEMENT** | All process documents will need to utilize approved process templates provided by DBHDS. Process documents will be saved as .pdf documents before distributed. All process documents will be stored in a centralized document library. Any revisions or updates to the document will need to be approved and documented for effective revision and/or document management. Naming conventions for versioning will be strictly enforced. |
| **PROVISION** | III.C.8.a.-The Commonwealth shall provide transportation to individuals receiving IDD waiver services in the target population in accordance with the Commonwealth's IDD Waivers. |
| **COMPLIANCE INDICATORS** | |
| | 16.2 At least 86% of DD Waiver recipients using Medicaid non-emergency medical transportation (NEMT) will have reliable transportation. |
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## ROLES AND RESPONSIBILITIES

| ROLE | RESPONSIBILITY |
|---|---|
| TMSU Manager | The TMSU Manager will be responsible to oversee and provide the approval of the data validation process. |
| Data Systems Analyst | Is responsible to collaborate with the TMSU Manager to aggregate, arrange, analyze and confirm the Encounter data submitted in association with the FFS NEMT Medicaid Transportation Broker.  An Encounter data summary report will be produced and integrated into the Program Operations FFS NEMT On-time Performance (OTP) Report. The Data Systems Analyst monitors the weekly and monthly EPS Encounter submission reports and the NEMT encounter broker reports for any errors. |
| Medicaid FFS NEMT Transportation Program Broker | Is responsible for the weekly and accurate submission of encounter data to DMAS via EPS, or the Encounter Processing Solution.  The transportation broker collects, verify and certify the Encounter data associated with the DMAS Medicaid FFS NEMT Transportation Program.  Certification means that but the data analysts that are employed by the contracted NEMT broker uses the manual to verify and upload all of the pertinent Encounter data and the DMAS Data Systems Analyst will check and verify the data that has been uploaded and send notifications to the NEMT broker staff when she sees errors or fails.  The manual is attached to this document for reference and a complete overview of the certification process. |
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## II. CHANGE CONTROL

| | |
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| **PROCESS DESCRIPTION** | This process outlines the process and procedures of extracting the encounter data for the On Time Performance measure and creating the reports. Weekly the Medicaid FFS NEMT Transportation Broker will upload, review, certify and submit the Encounter data to the EPS system. The encounter data from EPS is then uploaded into the data warehouse at DMAS. Then a series of Teradata SQL queries are run to create the reports that are then compiled into an Excel workbook for the current month. |
| **INPUT/TRIGGER** | The primary trigger for this process is the certification and submission of the Encounter data by the Medicaid FFS NEMT Transportation Broker. This data will be certified and submitted on a weekly basis by the Transportation Broker. The Medicaid FFS NEMT Transportation Brokerage Contract Manager will work with the DMAS Data Systems Analyst if any errors are found and to correct them quickly. |
| **OUTPUTS/MEASURE OF SUCCESS** | The outputs or measures of success is to capture accurate encounter data in the OTP data reports. Samples from each report are checked for accuracy and formatting via Medicaid Information Management System or the EDWS data warehouse. Overall benchmark is outlined in the language of the associated compliance indicator. The indicator is as follows: At least 86% of DD waiver recipients using Medicaid non-emergency transportation (NEMT) will have reliable transportation. |
| **BOUNDARIES** | See Input and Trigger summary. The process will be initiate on a quarterly basis, a month after the end of the previous quarter. |

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| POINTS OF CONTROL | The main constraints that could hinder the process as outlined below hinge upon the Medicaid FFS NEMT transportation broker to certify and submit the Encounter data in a timely manner. DMAS TMSU staff will coordinate with the brokerage staff responsible for the certification of the data to ensure that it is submitted on a regular basis in preparation for the quarterly and annual validation processes. |
|---|---|

| VERSION | DATE | DESCRIPTION OF CHANGE IMPLEMENTED | COMPLETED BY |
|---|---|---|---|
| 16.2 Transportation On Time Performance Measure__VER001 | 1/11/2023 | Initiation of process | Aaron Moore |
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## III. REPORTING

| REPORTING TOOL/MECHANISMS | | | |
|---|---|---|---|
| Report Name | OTP report | Data Source | EPS/EDWS Data warehouse |

## IV. PROCESS

### OVERVIEW

| STEP# | PROCESS STEPS | SOURCE OF RECORD | APPROVAL REQUIRED | APPROVER |
|---|---|---|---|---|
| 1. | SQL queries are updated with the current month of data needed. This process is completed 3 times to pull the quarter of data that is requested, example (October, November and December) | Teradata SQL | n/a | n/a |
|  | **Performed by: Data Systems Analyst** |  |  |  |

| 2. | Queries are submitted for each measure and data is validated. See related, attached OTP queries document for specific queries. The definitions of the specific queries are provided below for reference.<br><br>• Provider Query A Leg – This query is run, extracting encounter data related to the OTP of the provider in relation to the first leg of the trip to pick up the member (e.g. picking up a member from their place of residence of location of trip origin).<br><br>• Provider Query B Leg - This query is run, extracting encounter data related to the OTP of the provider in relation to the second leg of the trip to pick up the member (e.g. dropping a member at their destination).<br><br>• Provider Query A Leg VD -  This query is run, extracting encounter data related to the OTP of volunteer drivers (hence VD in the query title) in relation to the first leg of the trip to pick up the member (e.g. picking up a member from their place of residence of location of trip origin).<br><br>• Provider Query B Leg VD - This query is run, extracting encounter data related to the OTP of volunteer drivers in relation to the second leg of the trip to pick up the member (e.g. dropping a member at their destination).<br><br>• Provider Query A Leg GR - This query is run, extracting encounter data related to the OTP of drivers for facilities or other locations that are transporting their own members, using their fleet vehicles and are reimbursed for gas/fuel (hence GR in the query title) in | EDWS Data warehouse | n/a | n/a |
|---|---|---|---|---|

relation to the first leg of the trip to pick up the member (e.g. picking up a member from their place of residence of location of trip origin).

- Provider Query B Leg GR - This query is run, extracting encounter data related to the OTP for facilities or other locations that are transporting their own members, using their fleet vehicles and are reimbursed for gas/fuel (hence GR in the query title) drivers in relation to the second leg of the trip to pick up the member (e.g. dropping a member at their destination).

- Provider Query A Leg CSB - This query is run, extracting encounter data related to the OTP of drivers for Community Service Boards that are transporting their own members, using their fleet vehicles (hence CSB in the query title) in relation to the first leg of the trip to pick up the member (e.g. picking up a member from their place of residence of location of trip origin).

- Provider Query B Leg CSB - This query is run, extracting encounter data related to the OTP of drivers for Community Service Boards that are transporting their own members, using their fleet vehicles (hence CSB in the query title) in relation to the second leg of the trip to pick up the member (e.g. dropping a member at their destination).

- Provider Query Bus Pass – This query is run, extracting encounter data related to the number of trips completed utilizing public

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|---|---|---|---|---|
| | transit, being tracked in relation to bus passes being used and validated. | | | |
| | **Performed by: Data Systems Analyst** | | | |
| 3. | Reports are created and formatted into an excel workbook. | Excel | n/a | n/a |
| | **Performed by: Data Systems Analyst** | | | |
| 4. | Reports are sent to the TMSU manager to create an encounter data summary report that will be produced and integrated into the Program Operations FFS NEMT On-time Performance (OTP) Report | Excel | | |
| | **Performed by: TMSU manager** | | | |
| | **Performed by:** | | | |
| | **Performed by:** | | | |

## V. DOJ DOCUMENTATION

| | |
|---|---|
| **Numerator** | **# of On time trips provided to individuals with ID/DD waivers, divided by the total # of NEMT trips provided to individuals with the ID/DD waivers** |
| **Denominator** | **# of NEMT trips provided to individuals with the ID/DD waiver** |

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| **DQV Recommendation** | N/A |
| **Mitigation Timeline** | |
| **Baseline** | |

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## VI. VERIFICATION

| VERIFICATION, VALIDATION, AND TESTING PROCESS |
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| Data set validation was performed by analyzing the Encounter data extracted from the MMIS system and the EDWS data warehouse. The data is exported in an Excel format and is housed in several Excel Spreadsheets that are extracted by month on a quarterly basis. The trip data was analyzed and summarized in accordance with established definitions of "late trips," and "on-time trips." |

## VII. CONTINUOUS QUALITY IMPROVEMENT (CQI)

| CQI PROCESS | | |
|---|---|---|
| STEP# | PROCESS STEPS | PERFORMED BY |
| # | (Describe the step required to perform action) | (Identify the role/job title of individual performing this task) |
| 1 | The Medicaid FFS NEMT Transportation Brokerage Contract Manager, working in conjunction with the DMAS Data Systems Analyst will analyze and compare the Encounter data submitted with the data available via Tableau on a weekly basis at least to ensure that erroneous data submissions are kept to a minimum and to assist the TMSU Manager and Medicaid FFS NEMT Transportation Broker in addressing any recurring provider issues | Medicaid FFS NEMT Transportation Brokerage Contract Manager, DMAS Data Systems Analyst |

## VIII. GLOSSARY OF TERMS

| Term | Definition |
|---|---|
| N/A | The definitions of terms are provided in and throughout the document. |