

Risk Indicator Report - Glossary of Terms

Agency Size: This indicator represents the size of an agency which is based on the licensed residential capacity. The agency's size is broken down into 4 tiers. Tier 1 represents agencies whose licensed residential capacity (LRC) is 101 or more; Tier 2 represents agencies whose LRC is 51 to 100; Tier 3 represents agencies whose LRC is 1 to 50; and Tier 4 represents agencies that do not have a LRC. These tiers enable all stakeholders to compare the data between agencies of a similar size.

Audit Submission: This indicator represents whether an agency has submitted a current P7.06 audit to the Department of Human Services' Office of Auditing (OOA) during the 12-month period the report reflects. This indicator is measured and reported by a "yes" or "no" with the threshold being a "no." A gray block in this area indicates there was no involvement by the OOA with the agency for the report period. Only audits submitted to OOA are reflected in this report.

Deficit Fund Balance: This indicator represents whether an agency's financial statement identified a deficit fund balance during the 12-month period the report reflects. This indicator is measured and reported by a "yes" or "no" with the threshold being a "yes." A gray block in this area indicates there was no involvement by the DHS Office of Auditing (OOA) with the agency for the report period.

Indicator Operational Definition: A brief definition of exactly what the data listed below the definition represents. The definition also adds more detail to further define the Quality Indicator.

Investigation Report Submission: Investigation reports, which are required to be submitted by the agency to the Critical Incident Management Unit (CIMU) in accordance with Administrative Order 2:05 during the 12-month period the report reflects, are captured here. The number of investigation reports required for submission is not presented. The indicator represents the number of investigation reports missing (failure to comply) compared to the number required and is measured and presented as a percentage. This indicator (percentage missing) has a threshold of 30%.

Licensed Residential Capacity (LRC): This indicator represents the maximum number of developmentally disabled individuals who may reside in residential programs in an agency. Many of the agencies listed on this report administer

non-residential programs as well, so the LRC is intended to provide a method for comparing the operational capacity of like agencies.

Multiple Provisional Licenses: This indicator represents the number of sites which had more than one provisional license issued during the 12-month period represented by the report. This is measured and reported by the number of residential sites which had more than one provisional license. The threshold for this indicator is one residential site.

Provisional Licenses: This indicator represents the number of licenses issued to a contracted provider during the 12-month period represented by the report. However, the number of issued licenses is not used to measure contracted provider performance; rather, the number of provisional licenses issued compared to the number of licenses issued is measured. This number is presented as a percentage. This indicator (provisional licenses) has a threshold of 10%.

Quality Domains: The overall category of a specific Office of Program Integrity and Accountability (OPIA) unit function which contains a number of measured variables.

Quality Indicators: A measurable variable created to determine how well an organization is meeting its customers' needs and other operational and financial performance expectations. These indicators are based on some of the data the OPIA units gather during the performance of their duties.

Repeat Victims: This indicator represents the number of service recipients (SRs) involved in two or more substantiated OI investigations during the 12-month period the report reflects. This indicator has a threshold of 1.

Substantiated Investigations: The DHS Office of Investigations (OI) is responsible for conducting investigations for the most serious allegations which occur in all of an agency's programs, not just residential programs. This indicator represents the number of critical incidents assigned to the OI for investigation during the 12-month period the report represents. The second part of this indicator represents the number of investigations which were substantiated. The number of substantiated investigations is not used to measure agency performance.

Thresholds: A minimum value assigned to 7 of the Quality Indicators which serves as a benchmark of performance and is linked to the data. These thresholds identify areas of performance which may warrant a further review of agency performance.

Thresholds Triggered: This indicator represents the number of thresholds which have been triggered across the entire Risk Management Indicator Report for the period of the report. There are a total of seven measurable quality indicators which have thresholds assigned. The maximum number of thresholds which can be triggered by any contracted provider is 6 (only one threshold can be triggered for the auditing domain at any one time). This indicator is presented as the number of triggered thresholds.

Unusual Incident Reporting Timeliness: All agencies are required to report incidents which occur in all of their programs, not just residential. This indicator represents the average number of days between when an incident was known to the agency staff and when it was reported to the appropriate authority (usually the DHS' Division of Developmental Disabilities-DDD regional offices).

This indicator includes incidents which were coded A+, A and B during the 12-month period of the report. The threshold for this indicator is 3.0 days. The second column represents the reporting timeliness for UIRs in the last quarter of the 12-month period of the report. There is no threshold attached to this number as it is intended to measure improvement.

CIMU 1-2016