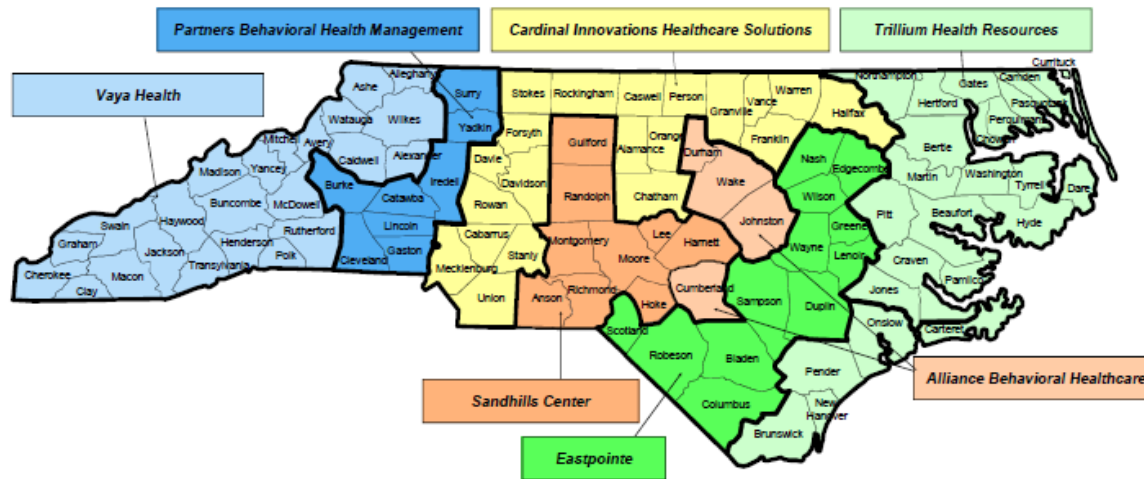


North Carolina Department of Health and Human Services  
Division of Mental Health, Developmental Disabilities,  
And Substance Abuse Services

Local Management Entities/ Managed Care Organizations  
Administrative Functions Monitoring Report  
November 2016



Prepared by:

Quality Management Section  
Division of Mental Health, Developmental Disabilities, and Substance Abuse Services  
North Carolina Department of Health and Human Services  
3004 Mail Services Center, Raleigh, NC 27699-3004  
(919) 733-0696  
[ContactDMHQuality@dhhs.nc.gov](mailto:ContactDMHQuality@dhhs.nc.gov)

Version: 1/9/2017



| <b>NC DHHS LME/MCO Performance Summary</b>                |                 |                         |                 |                   |                 |                  |                     |                 |
|---|-----------------|-------------------------|-----------------|-------------------|-----------------|------------------|---------------------|-----------------|
| <b>November 2016 Report</b>                               |                 | 1/9/2017                |                 |                   |                 |                  |                     |                 |
|   |                 | <b>Meets Standards?</b> |                 |                   |                 |                  |                     |                 |
| <b>DMA Performance Measures</b>                           | <b>Standard</b> | <i>Alliance</i>         | <i>Cardinal</i> | <i>Eastpointe</i> | <i>Partners</i> | <i>Sandhills</i> | <i>Yaya (Smoky)</i> | <i>Trillium</i> |
| % of Community Inpatient Readmits assigned to Care Coord. | 85%             | Y                       | Y               | Y                 | Y               | Y                | Y                   | Y               |
| Total % of Auth Requests Processed in Required Timeframes | 95%             | Y                       | Y               | Y                 | Y               | Y                | Y                   | Y               |
| % Routine Auths Processed in 14 Days                      | 95%             | Y                       | Y               | Y                 | Y               | Y                | Y                   | Y               |
| % Expedited/Inpt Auths Processed in 3 Days                | 95%             | Y                       | Y               | Y                 | Y               | Y                | Y                   | Y               |
| % of Claims Processed within 30 Days                      | 90%             | Y                       | Y               | Y                 | Y               | Y                | Y                   | Y               |
| % of Complaints resolved in 30 days                       | 90%             | Y                       | Y               | Y                 | N               | Y                | Y                   | Y               |
| <b>DMH Performance Measures</b>                           |                 |                         |                 |                   |                 |                  |                     |                 |
| Total % of Auth Requests Processed in Required Timeframes | 95%             | Y                       | Y               | Y                 | Y               | Y                | Y                   | Y               |
| % Routine Auths Processed in 14 Days                      | 95%             | Y                       | Y               | Y                 | Y               | Y                | Y                   | Y               |
| % Expedited/Inpt Auths Processed in 3 Days                | 95%             | Y                       | Y               | Y                 | Y               | Y                | Y                   | Y               |
| % of Claims Processed within 30 Days                      | 90%             | Y                       | Y               | Y                 | Y               | Y                | Y                   | Y               |
| % of Complaints resolved in 30 days                       | 90%             | Y                       | Y               | Y                 | Y               | Y                | Y                   | Y               |
| <b>Combined Performance Measures</b>                      |                 |                         |                 |                   |                 |                  |                     |                 |
| % of calls Abandoned                                      | <5%             | Y                       | Y               | Y                 | Y               | Y                | Y                   | Y               |
| % Answered within 30 seconds                              | 95%             | Y                       | Y               | Y                 | Y               | Y                | Y                   | Y               |

Yellow Highlights indicate the MCO did not meet the Standard for one or two consecutive months.

Pink Highlights indicate the MCO did not meet the Standard for 3 or more consecutive months.

**EXPLANATIONS**

Partners - Medicaid Complaints - 15 of 19 complaints (78.9%) were resolved within 30 days, below the standard of 90%.

**LME/MCO Monthly Monitoring Report**  
**Medicaid and State Combined**

November 2016 Report

1/9/2017

| Monitoring Area   | Standard | Alliance | Cardinal | Eastpointe | Partners | Sandhills | Vaya (Smoky) | Trillium | NC Total | STD DEV |
|---|----------|----------|----------|------------|----------|-----------|--------------|----------|----------|---------|
| <b>Call Center</b>  |          |          |          |            |          |           |              |          |          |         |
| Total Number of Calls (re: services for consumers)                  |          | 5,713    | 6,306    | 4,296      | 2,792    | 2,715     | 4,095        | 2,119    | 28,036   |         |
| # of Calls Abandoned  |          | 195      | 84       | 72         | 32       | 52        | 105          | 47       | 587      |         |
| % of calls Abandoned  | <5%      | 3.4%     | 1.3%     | 1.7%       | 1.1%     | 1.9%      | 2.6%         | 2.2%     | 2.1%     |         |
| Avg Speed to Answer Calls (seconds)                                 | o        | 7.0      | 4.0      | 4.0        | 6.0      | 5.0       | 7.0          | 4.0      | 5.3      | 1.28    |
| # of Calls Answered within 30 seconds                               |          | 5,518    | 6,222    | 4,216      | 2,767    | 2,663     | 3,984        | 2,072    | 27,442   |         |
| % Answered within 30 seconds  | 95%      | 96.6%    | 98.7%    | 98.1%      | 99.1%    | 98.1%     | 97.3%        | 97.8%    | 97.9%    |         |
| <b>IDD Wait List</b>  |          |          |          |            |          |           |              |          |          |         |
| Number of Persons on the IDD Waitlist (snapshot on 1st of Month)    |          | 2,619    | 3,420    | 762        | 1,052    | 1,364     | 1,429        | 840      | 11,486   |         |
| # of Persons on Registry of Unmet Needs for Innovations Waiver      |          | 2,612    | 3,349    | 762        | 1,045    | 1,309     | 1,228        | 840      | 11,145   |         |
| % of Persons waiting who are on the Reg. of Unmet Needs             | o        | 100%     | 98%      | 100%       | 99%      | 96%       | 86%          | 100%     | 97%      | 5%      |
| # of Persons waiting for residential services                       |          | -        | 54       | -          | 18       | 5         | 47           | -        | 124      |         |
| % of Persons waiting for residential services                       | o        | 0%       | 2%       | 0%         | 2%       | 0%        | 3%           | 0%       | 1%       | 1%      |
| # of Persons waiting for ADVP                                       |          | -        | 75       | -          | 28       | 50        | -            | -        | 153      |         |
| % of Persons waiting for ADVP                                       | o        | 0%       | 2%       | 0%         | 3%       | 4%        | 0%           | 0%       | 1%       | 1%      |
| # of Persons waiting for vocational services                        |          | -        | 1        | -          | 5        | -         | 0            | -        | 6        |         |
| % of Persons waiting for vocational services                        | o        | 0.0%     | 0.0%     | 0.0%       | 0.5%     | 0.0%      | 0.0%         | 0.0%     | 0%       | 0%      |
| <b>Service Status of Persons on the Waiting List</b>                |          |          |          |            |          |           |              |          |          |         |
| # of Persons on Waitlist receiving B3 Services                      |          | 316      | 760      | 78         | 83       | 324       | 214          | 135      | 1,910    |         |
| % of Persons on Waitlist receiving B3 Services                      | o        | 12%      | 22%      | 10%        | 8%       | 24%       | 15%          | 16%      | 17%      | 5%      |
| # of Persons on Waitlist receiving State Services                   |          | 677      | 509      | 207        | 155      | 152       | 432          | 346      | 2,478    |         |
| % of Persons on Waitlist receiving State Services                   | o        | 26%      | 15%      | 27%        | 15%      | 11%       | 30%          | 41%      | 22%      | 10%     |
| # of Persons on Waitlist receiving State and/or B3 services (undup) |          | 704      | 1,136    | 285        | 197      | 476       | 481          | 384      | 3,663    |         |
| % of Persons on Waitlist receiving State and/or B3 Services         | o        | 27%      | 33%      | 37%        | 19%      | 35%       | 34%          | 46%      | 32%      | 8%      |
| # of Persons on Waitlist not receiving any LME/MCO funded svcs      |          | 1,915    | 2,284    | 477        | 855      | 888       | 948          | 456      | 7,823    |         |
| % of Persons on Waitlist not receiving any LME/MCO funded svcs      | o        | 73%      | 67%      | 63%        | 81%      | 65%       | 66%          | 54%      | 68%      | 8%      |
| <b>Incidents</b>  |          |          |          |            |          |           |              |          |          |         |
| Number of Level 2 Critical Incident Reports received                |          | 186      | 388      | 82         | 149      | 128       | 135          | 102      | 1,170    |         |
| Number of Level 3 Critical Incident Reports received *              |          | 9        | 27       | 10         | 9        | 14        | 17           | 8        | 94       |         |
| <b>Transitions to Community Living Initiative</b>                   |          |          |          |            |          |           |              |          |          |         |
| # of in-reach staff FTEs in place during the month                  |          | 9.0      | 17.0     | 6.0        | 8.0      | 7.0       | 12.0         | 7.0      | 66.0     |         |
| # of in-reach FTEs funded per the allocation                        |          | 9.00     | 23.00    | 8.00       | 6.00     | 7.64      | 15.00        | 15.00    | 83.6     |         |
| Percent of funded in-reach positions that are filled                | 80.0%    | 100%     | 74%      | 75%        | 133%     | 92%       | 80%          | 47%      | 79%      |         |
| # of transition coordinator FTEs in place during the month          |          | 9.0      | 35.0     | 9.0        | 11.0     | 8.0       | 14.0         | 18.0     | 104.0    |         |
| # of transition coordinator FTEs funded per the allocation          |          | 12       | 25       | 9          | 9        | 9         | 17           | 16       | 97.0     |         |
| Percent of funded transition coordinator positions that are filled  | 80.0%    | 75%      | 140%     | 100%       | 122%     | 89%       | 82%          | 113%     | 107%     |         |
| Individuals in In-reach   |          | 490      | 1489     | 612        | 430      | 490       | 664          | 663      | 4,838    |         |
| Number of individuals in Transition Planning process                |          | 81       | 76       | 17         | 45       | 32        | 40           | 19       | 310      |         |
| Number of Individuals Housed - Total                                |          | 108      | 279      | 105        | 152      | 131       | 136          | 159      | 1,070    |         |
| <b>Claim/Encounter Processing in NCTracks **</b>                    |          |          |          |            |          |           |              |          |          |         |
| DMH- % of Claims \$ Value Denied by Date of Service FY15            | <10%     | 2%       | 9.6%     | 4%         | 1%       | 14%       | 7%           | 8%       | 7%       | 4%      |
| DMH- % of Claims \$ Value Denied by Date of Service FY16            | <10%     | 1%       | 11%      | 3%         | 1%       | 6%        | 6%           | 3%       | 5%       | 3%      |
| DMH- % of Claims \$ Value Denied by Date of Service FY17 YTD        | <10%     | 7%       | 28%      | 16%        | 2%       | 6%        | 8%           | 5%       | 12%      | 8%      |

\* All Level 3 Critical Incidents are reviewed by the LME/MCO to ensure Providers conduct internal investigation.

\*\* As of 11/29/16 checkwrite; FY17 excludes inpatient due to 8371 issue.

Yellow Highlights indicate the MCO did not meet the Standard Pink Highlights indicate the MCO did not meet the Standard for 3 consecutive m Blue highlights indicate possible outliers.

**MCO Monthly Monitoring Report  
Medicaid Only**

**November 2016 Report  
LME/MCO:**

1/9/2017

| Monitoring Area   | Standard | Alliance     | Cardinal     | Eastpointe   | Partners     | Sandhills    | Vaya (Smoky) | Trillium     | Statewide        | STD DEV |
|---|----------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|------------------|---------|
| <b>Persons Served</b>   |          | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016         |         |
| Unduplicated Count of Medicaid Members                                |          | 218,839      | 436,247      | 193,951      | 143,136      | 176,022      | 162,314      | 178,937      | <b>1,509,446</b> |         |
| # Persons Receiving MH Services                                       |          | 13,755       | 21,135       | 8,013        | 8,824        | 7,982        | 9,128        | 10,344       | <b>79,181</b>    |         |
| % of Members Receiving MH Services                                    | o        | <b>6.3%</b>  | <b>4.8%</b>  | <b>4.1%</b>  | <b>6.2%</b>  | <b>4.5%</b>  | <b>5.6%</b>  | <b>5.8%</b>  | <b>5.2%</b>      | 0.8%    |
| # Persons Receiving SA Services                                       |          | 1,159        | 2,872        | 1,208        | 1,566        | 1,125        | 1,458        | 1,464        | <b>10,852</b>    |         |
| % of Members Receiving SA Services                                    | o        | <b>0.5%</b>  | <b>0.7%</b>  | <b>0.6%</b>  | <b>1.1%</b>  | <b>0.6%</b>  | <b>0.9%</b>  | <b>0.8%</b>  | <b>0.7%</b>      | 0.2%    |
| # Persons Receiving DD Services                                       |          | 2,936        | 6,114        | 1,513        | 2,150        | 1,544        | 1,687        | 2,074        | <b>18,018</b>    |         |
| % of Members Receiving DD Services                                    | o        | <b>1.3%</b>  | <b>1.4%</b>  | <b>0.8%</b>  | <b>1.5%</b>  | <b>0.9%</b>  | <b>1.0%</b>  | <b>1.2%</b>  | <b>1.2%</b>      | 0.3%    |
| Unduplicated # that received MH/DD/SA Services                        |          | 17,293       | 30,121       | 10,022       | 12,043       | 10,651       | 12,002       | 12,406       | <b>104,538</b>   |         |
| % of Members Receiving MH/DD/SA Services                              | o        | <b>7.9%</b>  | <b>6.9%</b>  | <b>5.2%</b>  | <b>8.4%</b>  | <b>6.1%</b>  | <b>7.4%</b>  | <b>6.9%</b>  | <b>6.9%</b>      | 1.0%    |
| <b>Community Psychiatric Hospitalization</b>                          |          | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016         |         |
| # of MH Admissions to Community Psychiatric Inpatient                 |          | 153          | 405          | 181          | 183          | 106          | 165          | 169          | <b>1,362</b>     |         |
| Rate of MH Admissions per 1,000 Medicaid Members                      | o        | 0.70         | 0.93         | 0.93         | <b>1.28</b>  | 0.60         | 1.02         | 0.94         | <b>0.90</b>      | 0.20    |
| # of MH Admissions that were Readmissions within 30 days              |          | 12           | 9            | 21           | 28           | 9            | 20           | 22           | <b>121</b>       |         |
| % of MH Admissions that were Readmissions within 30 days              | o        | <b>7.8%</b>  | <b>2.2%</b>  | <b>11.6%</b> | <b>15.3%</b> | <b>8.5%</b>  | <b>12.1%</b> | <b>13.0%</b> | <b>8.9%</b>      | 4.0%    |
| # of MH Inpatient Discharges  |          | 201          | 261          | 202          | 158          | 136          | 166          | 217          | <b>1,341</b>     |         |
| MH Inpt Average Length of Stay (days)                                 | o        | 6.60         | 9.20         | 6.00         | 4.70         | <b>3.60</b>  | 10.45        | 7.60         | 7.1              | 2.24    |
| # of SA Admissions to Community Psychiatric Inpatient                 |          | 1            | 22           | 7            | 12           | 15           | 6            | 2            | <b>65</b>        |         |
| Rate of SA Admissions per 1,000 Medicaid Members                      | o        | 0.00         | 0.05         | 0.04         | 0.08         | 0.09         | 0.04         | 0.01         | <b>0.04</b>      | 0.03    |
| # of SA Admissions that were Readmissions within 30 days              |          | 0            | 2            | 0            | 2            | 2            | 1            | 0            | <b>7</b>         |         |
| % of SA Admissions that were Readmissions within 30 days              | o        | <b>0.0%</b>  | <b>9.1%</b>  | <b>0.0%</b>  | <b>16.7%</b> | <b>13.3%</b> | <b>16.7%</b> | <b>0.0%</b>  | 11%              | 7.3%    |
| # of SA Inpatient Discharges  |          | 1            | 15           | 7            | 11           | 16           | 4            | 2            | <b>56</b>        |         |
| SA Inpt Average Length of Stay (days)                                 | o        | <b>2.0</b>   | 4.9          | 3.7          | 4.0          | 8.1          | 7.8          | 4.0          | 5.6              | 2.06    |
| <b>Care Coordination</b>  |          | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016         |         |
| # of MH and SA Readmits assigned to a Care Coordinator                |          | 12           | 9            | 21           | 30           | 11           | 21           | 22           | <b>126</b>       |         |
| % of Readmits assigned to Care Coordination                           | 85.0%    | 100.0%       | 81.8%        | 100.0%       | 100.0%       | 100.0%       | 100.0%       | 100.0%       | <b>98.4%</b>     |         |
| <b>Emergency Dept Utilization (3 month lag)</b>                       |          | Aug 2016     | Aug 2016     | Aug 2016     | Aug 2016     | Aug 2016     | Aug 2016     | Aug 2016     | Aug 2016         |         |
| # of ED Admits for persons with MHDDSA diagnoses                      |          | 297          | 968          | 302          | 316          | 368          | 346          | 389          | <b>2,986</b>     |         |
| Rate of ED Admits per 1,000 Medicaid Members                          | o        | <b>1.37</b>  | 2.14         | 1.55         | 2.08         | 2.14         | 2.07         | 2.22         | 2.0              | 0.31    |
| # of ED Admits for persons who are active consumers                   |          | 91           | 518          | 79           | 168          | 124          | 107          | 198          | <b>1,285</b>     |         |
| % of ED Admits that were for active consumers                         | o        | <b>30.6%</b> | <b>53.5%</b> | <b>26.2%</b> | <b>53.2%</b> | <b>33.7%</b> | <b>30.9%</b> | <b>50.9%</b> | <b>43%</b>       | 11.2%   |
| # of ED Admits which were readmissions within 30 days                 |          | 34           | 201          | 32           | 41           | 53           | 41           | 38           | <b>440</b>       |         |
| % of ED Admissions Readmitted within 30 days                          | o        | <b>11.4%</b> | <b>20.8%</b> | <b>10.6%</b> | <b>13.0%</b> | <b>14.4%</b> | <b>11.8%</b> | <b>9.8%</b>  | <b>14.7%</b>     | 3.4%    |
| <b>Authorization Requests</b>   |          | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016     | Nov 2016         |         |
| Total Number of Auth Requests Received                                |          | 2,941        | 5,680        | 2,203        | 3,869        | 2,355        | 3,031        | 2,640        | <b>22,719</b>    |         |
| # Standard Auth. Request Decisions                                    |          | 2,492        | 4,608        | 1,659        | 3,675        | 1,784        | 2,338        | 1,710        | <b>18,266</b>    |         |
| # Standard Auth Requests Processed in 14 Days                         |          | 2,482        | 4,606        | 1,659        | 3,663        | 1,784        | 2,330        | 1,709        | <b>18,233</b>    |         |
| % Processed in 14 Days  | 95.0%    | 99.6%        | 100.0%       | 100.0%       | 99.7%        | 100.0%       | 99.7%        | 99.9%        | <b>99.8%</b>     | 0.2%    |
| # Auth Requests requiring Expedited Decisions, inclusive of Inpatient |          | 449          | 1,072        | 544          | 194          | 571          | 693          | 930          | <b>4,453</b>     |         |
| # Expedited and Inpatient Auth Requests Processed in 3 Days           |          | 449          | 1,070        | 544          | 193          | 571          | 692          | 929          | <b>4,448</b>     |         |
| % Processed in 3 Days   | 95.0%    | 100.0%       | 99.8%        | 100.0%       | 99.5%        | 100.0%       | 99.9%        | 99.9%        | <b>99.9%</b>     | 0.2%    |
| Total % of Auth Requests Processed in Required Timeframes             | 95.0%    | 99.7%        | 99.9%        | 100.0%       | 99.7%        | 100.0%       | 99.7%        | 99.9%        | <b>99.8%</b>     | 0.2%    |

**MCO Monthly Monitoring Report  
Medicaid Only**

**November 2016 Report  
LME/MCO:**

1/9/2017

| Monitoring Area  | Standard | Alliance      | Cardinal      | Eastpointe    | Partners      | Sandhills     | Vaya (Smoky)  | Trillium      | Statewide     | STD DEV |
|--|----------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------|
| # of Auth Requests Denied for Clinical Reasons   |          | 47            | 312           | 167           | 206           | 70            | 78            | 139           | 1,019         |         |
| % of Total Auth Requests Denied for Clinical Reasons   | o        | 1.6%          | 5.5%          | 7.6%          | 5.3%          | 3.0%          | 2.6%          | 5.3%          | 4.5%          | 1.9%    |
| # of Administrative Denials  |          | 6             | -             | 23            | 32            | -             | 19            | 23            | 103           |         |
| % of Total Auth Requests Denied for Admin Reasons  | o        | 0.2%          | 0.0%          | 1.0%          | 0.8%          | 0.0%          | 0.6%          | 0.9%          | 0.5%          | 0.4%    |
| Total # of Auth Requests Denied  |          | 53            | 312           | 190           | 238           | 70            | 97            | 162           | 1,122         |         |
| % of Total Auth Requests Approved  | o        | 98.2%         | 94.5%         | 91.4%         | 93.8%         | 97.0%         | 96.8%         | 93.9%         | 95.1%         | 2.2%    |
| Number of Consumer Authorization Appeals received  |          | 39            | 50            | 8             | 41            | 12            | 20            | 2             | 172           |         |
| Rate of Consumer Auth. Appeals per 1,000 persons svd   | o        | 2.3           | 1.7           | 0.8           | 3.4           | 1.1           | 1.7           | 0.2           | 1.6           | 0.97    |
| Number of Authorizations overturned due to Consumer Appeals  |          | -             | 3             | -             | 5             | 1             | 5             | 1             | 15            |         |
| <b>Claims</b>  |          | 10/16 - 11/15 | 10/16 - 11/15 | 10/16 - 11/15 | 10/16 - 11/15 | 10/16 - 11/15 | 10/16 - 11/15 | 10/16 - 11/15 | 10/16 - 11/15 |         |
| Total # Clean Claim Received during Month (detail lines)   |          | 112,194       | 175,516       | 58,815        | 78,477        | 59,945        | 83,433        | 85,736        | 654,116       |         |
| Rate of Claims Rcpt per Person Served  | o        | 6.5           | 5.8           | 5.9           | 6.5           | 5.6           | 7.0           | 6.9           | 6.3           | 0.50    |
| # Paid   |          | 105,578       | 163,610       | 53,240        | 68,548        | 58,605        | 75,745        | 80,643        | 605,969       |         |
| # Denied   |          | 6,616         | 11,899        | 5,575         | 9,926         | 1,340         | 7,622         | 5,027         | 48,005        |         |
| # Pended or in Process   |          |               | 7             | -             | 3             | -             | 66            | 66            | 142           |         |
| Percent Denied   | o        | 5.9%          | 6.8%          | 9.5%          | 12.6%         | 2.2%          | 9.1%          | 5.9%          | 7.3%          | 3.1%    |
| # Paid or Denied within 30 Days  |          | 110,824       | 175,509       | 58,474        | 78,477        | 59,942        | 82,509        | 84,718        | 650,453       |         |
| Percent Processed within 30 Days   | 90.0%    | 98.8%         | 100.0%        | 99.4%         | 100.0%        | 100.0%        | 98.9%         | 98.8%         | 99.5%         | 0.5%    |
| Avg # days for Processing (from Receipt to Payment )   | o        | 8.0           | 8.2           | 8.0           | 9.0           | 8.6           | 8.7           | 7.3           | 8.2           | 0.53    |
| Number of Provider claim Appeals received  |          | 1             | 29            | 0             | 0             | 0             | 40            | 0             | 70            |         |
| Rate of Provider Claim appeals per 1,000 persons served  | o        | 0.1           | 1.0           |               |               |               | 3.3           |               | 0.7           | 1.38    |
| Number of claim denials overturned due to Provider Appeals   |          | 0             | 28            | 0             | 0             | 0             | 3             | 0             | 31            |         |
| <b>Complaints/Grievances</b>   |          | Oct 2016      | Oct 2016      | Oct 2016      | Oct 2016      | Oct 2016      | Oct 2016      | Oct 2016      | Oct 2016      |         |
| Total number of complaints received (1 month prior)  |          | 53            | 67            | 4             | 19            | 23            | 41            | 17            | 224           |         |
| Rate of Complaints per 1,000 Persons Served  | o        | 2.9           | 2.0           | 0.4           | 1.4           | 2.1           | 2.7           | 1.1           | 2.1           | 0.84    |
| # Consumer complaints against provider   |          | 25            | 31            | -             | 7             | 7             | 27            | 10            | 107           |         |
| % Consumer complaints against provider   | o        | 47.2%         | 46.3%         | 0.0%          | 36.8%         | 30.4%         | 65.9%         | 58.8%         | 48%           | 20.0%   |
| # Consumer complaints against LME/MCO  |          | 4             | 36            | 2             | 8             | 14            | 13            | 7             | 84            |         |
| % Consumer complaints against LME/MCO  | o        | 7.5%          | 53.7%         | 50.0%         | 42.1%         | 60.9%         | 31.7%         | 41.2%         | 38%           | 16.2%   |
| # Provider complaints against LME/MCO  |          | -             | -             | -             | -             | -             | 1             | -             | 1             |         |
| % Provider complaints against LME/MCO  | o        | 0.0%          | 0.0%          | 0.0%          | 0.0%          | 0.0%          | 2.4%          | 0.0%          | 0%            | 0.9%    |
| # of Other Types of Complaints   |          | 24            | -             | 2             | 4             | 2             | -             | -             | 32            |         |
| # of Complaints Resolved in 30 Days  |          | 49            | 67            | 4             | 15            | 23            | 41            | 17            | 216           |         |
| Percent of Complaints resolved in 30 days  | 90.0%    | 92.5%         | 100.0%        | 100.0%        | 78.9%         | 100.0%        | 100.0%        | 100.0%        | 96.4%         |         |
| <b>Program Integrity--Fraud, Waste and Abuse</b>   |          | Nov 2016      | Nov 2016      | Nov 2016      | Nov 2016      | Nov 2016      | Nov 2016      | Nov 2016      | Nov 2016      |         |
| Number of Provider fraud and abuse cases under investigation by LME/MCO-New  |          | 4             | 12            | 10            | 21            | 3             | 4             | 4             | 58            |         |
| Number of Provider fraud and abuse cases under investigation by LME/MCO-Ongoing from previous month  |          | 16            | 22            | 11            | 65            | 17            | 62            | 2             | 195           |         |
| Number of Enrollee fraud and abuse cases investigated by LME/MCO   |          | 0             | 0             | 0             | 0             | 0             | 0             | 0             | 0             |         |
| Number of Cases Referred to DMA Program Integrity  |          | 1             | 0             | 13            | 0             | 0             | 0             | 1             | 15            |         |
| Yellow Highlights indicate the MCO did not meet the Standard Pink Highlights indicate the MCO did not meet the Standard for 3 consecut Blue highlights indicate possible outliers. |          |               |               |               |               |               |               |               |               |         |

**LME/MCO Monthly Monitoring Report**  
**State/Federal Block Grant Only**

**November 2016 Report**  
**LME/MCO:**

1/9/2017

| <b>Monitoring Areas</b>   | <b>Standard</b> | <b>Alliance</b> | <b>Cardinal</b> | <b>Eastpointe</b> | <b>Partners</b> | <b>Sandhills</b> | <b>Vaya (Smoky)</b> | <b>Trillium</b> | <b>Statewide</b> | <b>STD DEV</b> |
|---|-----------------|-----------------|-----------------|-------------------|-----------------|------------------|---------------------|-----------------|------------------|----------------|
| <b>Persons Served</b>   |                 | Nov 2016        | Nov 2016        | Nov 2016          | Nov 2016        | Nov 2016         | Nov 2016            | Nov 2016        | Nov 2016         |                |
| Estimated number of Uninsured in Catchment Area                       |                 | 206,004         | 377,365         | 120,709           | 115,775         | 140,186          | 138,416             | 150,077         | <b>1,248,532</b> |                |
| # Persons Receiving MH Services                                       |                 | 3,565           | 3,552           | 1,771             | 1,756           | 1,913            | 2,412               | 2,224           | <b>17,193</b>    |                |
| % of Uninsured Receiving MH Services                                  | o               | <b>1.7%</b>     | <b>0.9%</b>     | <b>1.5%</b>       | <b>1.5%</b>     | <b>1.4%</b>      | <b>1.7%</b>         | <b>1.5%</b>     | <b>1.4%</b>      | 0.25%          |
| # Persons Receiving SA Services                                       |                 | 901             | 1,724           | 570               | 700             | 690              | 918                 | 1,635           | <b>7,138</b>     |                |
| % of Uninsured Receiving SA Services                                  | o               | <b>0.4%</b>     | <b>0.5%</b>     | <b>0.5%</b>       | <b>0.6%</b>     | <b>0.5%</b>      | <b>0.7%</b>         | <b>1.1%</b>     | <b>0.6%</b>      | 0.21%          |
| # Persons Receiving DD Services                                       |                 | 867             | 1,035           | 529               | 504             | 522              | 485                 | 681             | <b>4,623</b>     |                |
| % of Uninsured Receiving DD Services                                  | o               | <b>0.42%</b>    | <b>0.27%</b>    | <b>0.44%</b>      | <b>0.44%</b>    | <b>0.37%</b>     | <b>0.35%</b>        | <b>0.45%</b>    | <b>0.4%</b>      | 0.06%          |
| Unduplicated # Persons Receiving MH/DD/SA Services                    |                 | 5,211           | 6,311           | 2,629             | 2,827           | 3,125            | 3,737               | 3,925           | <b>27,765</b>    |                |
| % of Uninsured Receiving MH/DD/SA Services                            | o               | <b>2.5%</b>     | <b>1.7%</b>     | <b>2.2%</b>       | <b>2.4%</b>     | <b>2.2%</b>      | <b>2.7%</b>         | <b>2.6%</b>     | <b>2.2%</b>      | 0.32%          |
| <b>Community Psychiatric Hospitalization (1)</b>                      |                 | Nov 2016        | Nov 2016        | Nov 2016          | Nov 2016        | Nov 2016         | Nov 2016            | Nov 2016        | Nov 2016         |                |
| # of MH Admissions to Community Psychiatric Inpatient                 |                 | 64              | 274             | 45                | 243             | 63               | 112                 | 113             | <b>914</b>       |                |
| Rate of MH Admissions per 1,000 Uninsured                             | o               | 0.31            | 0.73            | 0.37              | <b>2.10</b>     | 0.45             | 0.81                | 0.75            | <b>0.73</b>      | 0.57           |
| # of MH Admissions that were Readmissions within 30 days              |                 | 4               | 7               | 1                 | 27              | 1                | 11                  | 9               | <b>60</b>        |                |
| % of MH Admissions that were Readmissions within 30 days              | o               | <b>6.3%</b>     | <b>2.6%</b>     | <b>2.2%</b>       | <b>11.1%</b>    | <b>1.6%</b>      | <b>9.8%</b>         | <b>8.0%</b>     | <b>6.6%</b>      | 3.59%          |
| # of MH Inpatient Discharges  |                 | 59              | 153             | 59                | 111             | 77               | 103                 | 123             | <b>685</b>       |                |
| <b>MH Inpt Average Length of Stay (days)</b>                          | o               | <b>6.1</b>      | <b>6.1</b>      | <b>5.0</b>        | <b>5.0</b>      | <b>2.7</b>       | <b>7.3</b>          | <b>7.2</b>      | <b>5.8</b>       | 1.46           |
| # of SA Admissions to Community Psychiatric Inpatient                 |                 | 0               | 42              | 32                | 16              | 31               | 12                  | 14              | <b>147</b>       |                |
| Rate of SA Admissions per 1,000 Uninsured                             | o               | -               | 0.11            | <b>0.27</b>       | 0.14            | 0.22             | 0.09                | 0.09            | <b>0.12</b>      | 0.08           |
| # of SA Admissions that were Readmissions within 30 days              |                 | 0               | 0               | 2                 | 0               | 1                | 1                   | 2               | <b>6</b>         |                |
| % of SA Admissions that were Readmissions within 30 days              | o               |                 | <b>0.0%</b>     | <b>6.3%</b>       | <b>0.0%</b>     | <b>3.2%</b>      | <b>8.3%</b>         | <b>14.3%</b>    | <b>4%</b>        | 5.0%           |
| # of SA Inpatient Discharges  |                 | 0               | 24              | 34                | 7               | 39               | 11                  | 17              | <b>132</b>       |                |
| <b>SA Inpt Average Length of Stay (days)</b>                          | o               | -               | <b>5.5</b>      | <b>4.9</b>        | <b>2.8</b>      | <b>3.7</b>       | <b>5.2</b>          | <b>6.0</b>      | <b>4.7</b>       | 1.93           |
| <b>Authorizations</b>   |                 | Nov 2016        | Nov 2016        | Nov 2016          | Nov 2016        | Nov 2016         | Nov 2016            | Nov 2016        | Nov 2016         |                |
| Total Number of Auth Requests Received                                |                 | 764             | 2,452           | 473               | 1,195           | 922              | 689                 | 551             | <b>7,046</b>     |                |
| # Standard Auth. Request Decisions                                    |                 | 688             | 1,652           | 255               | 1,143           | 582              | 425                 | 213             | <b>4,958</b>     |                |
| # Standard Auth Requests Processed in 14 Days                         |                 | 688             | 1,651           | 255               | 1,143           | 582              | 425                 | 212             | <b>4,956</b>     |                |
| % Processed in 14 Days  | 95.0%           | 100.0%          | 99.9%           | 100.0%            | 100.0%          | 100.0%           | 100.0%              | 99.5%           | <b>100.0%</b>    | 0.00           |
| # Auth Requests requiring Expedited Decisions, inclusive of Inpatient |                 | 76              | 800             | 218               | 52              | 340              | 264                 | 338             | <b>2,088</b>     |                |
| # Expedited and Inpatient Auth Requests Processed in 3 Days           |                 | 76              | 795             | 218               | 52              | 340              | 264                 | 335             | <b>2,080</b>     |                |
| % Processed in 3 Days   | 95.0%           | 100.0%          | 99.4%           | 100.0%            | 100.0%          | 100.0%           | 100.0%              | 99.1%           | <b>99.6%</b>     | 0.00           |
| Total % of Auth Requests Processed in Required Timeframes             | 95.0%           | 100.0%          | 99.8%           | 100.0%            | 100.0%          | 100.0%           | 100.0%              | 99.3%           | <b>99.9%</b>     | 0.00           |
| # of Auth Requests Denied for Clinical Reasons                        |                 | 5               | 24              | 37                | 4               | 10               | 7                   | 14              | <b>101</b>       |                |
| % of Total Auth Requests Denied for Clinical Reasons                  | o               | 0.7%            | 1.0%            | <b>7.8%</b>       | 0.3%            | 1.1%             | 1.0%                | 2.5%            | <b>1.4%</b>      | 2.4%           |
| # of Administrative Denials   |                 | -               | -               | 3                 | 8               | -                | 4                   | 4               | <b>19</b>        |                |
| % of Total Auth Requests Denied for Admin Reasons                     | o               | 0.0%            | 0.0%            | 0.6%              | 0.7%            | 0.0%             | 0.6%                | 0.7%            | <b>0.3%</b>      | 0.3%           |
| Total # of Auth Requests Denied                                       |                 | 5               | 24              | 40                | 12              | 10               | 11                  | 18              | <b>120</b>       |                |
| % of Total Auth Requests Approved                                     | o               | 99.3%           | 99.0%           | <b>91.5%</b>      | 99.0%           | 98.9%            | 98.4%               | 96.7%           | <b>98%</b>       | 2.6%           |
| Number of Consumer Authorization Appeals received                     |                 | -               | 3               | 2                 | -               | 1                | 3                   | -               | <b>9</b>         |                |
| Rate of Consumer Auth. Appeals per 1,000 persons svd                  | o               |                 | 0.5             | 0.8               |                 | 0.3              | 0.8                 |                 | <b>0.3</b>       | 0.20           |
| Number of Authorizations overturned due to Consumer Appeals           |                 | -               | 1               | -                 | -               | -                | -                   | -               | <b>1</b>         |                |

**LME/MCO Monthly Monitoring Report**  
**State/Federal Block Grant Only**

**November 2016 Report**  
**LME/MCO:**

1/9/2017

| <b>Monitoring Areas</b>  | <b>Standard</b> | <b>Alliance</b> | <b>Cardinal</b> | <b>Eastpointe</b> | <b>Partners</b> | <b>Sandhills</b> | <b>Vaya (Smoky)</b> | <b>Trillium</b> | <b>Statewide</b> | <b>STD DEV</b> |
|--|-----------------|-----------------|-----------------|-------------------|-----------------|------------------|---------------------|-----------------|------------------|----------------|
| <b>Claims</b>  |                 | 10/16 - 11/15   | 10/16 - 11/15   | 10/16 - 11/15     | 10/16 - 11/15   | 10/16 - 11/15    | 10/16 - 11/15       | 10/16 - 11/15   | 10/16 - 11/15    |                |
| <b>Total # Clean Claim Received during Month (header)</b>  |                 | <b>22,479</b>   | <b>27,016</b>   | <b>12,240</b>     | <b>33,860</b>   | <b>7,894</b>     | <b>19,790</b>       | <b>22,100</b>   | 145,379          |                |
| Rate of Claims Rcpt per Person Served  | o               | 4.3             | 4.3             | 4.7               | 12.0            | 2.5              | 5.3                 | 5.6             | 5.24             | 2.79           |
| # Paid   |                 | 20,287          | 25,024          | 10,657            | 30,902          | 7,718            | 18,065              | 21,158          | 133,811          |                |
| # Denied   |                 | 2,192           | 1,992           | 1,583             | 2,958           | 176              | 1,711               | 930             | 11,542           |                |
| # Pended or in Process   |                 |                 | -               | -                 | -               | -                | 14.0                | 12              | 26               |                |
| Percent Denied   | o               | 9.8%            | 7.4%            | 12.9%             | 8.7%            | 2.2%             | 8.7%                | 4.2%            | 7.9%             | 3.3%           |
| # Paid or Denied within 30 Days  |                 | 22,316          | 27,016          | 12,196            | 33,860          | 7,893            | 19,669              | 21,892          | 144,842          |                |
| Percent Processed within 30 Days   | 90.0%           | 99.3%           | 100.0%          | 99.6%             | 100.0%          | 100.0%           | 99.4%               | 99.1%           | 99.6%            | 0.00           |
| Avg # days for Processing (from Receipt to Payment )   | o               | 7.0             | 8.4             | 8.6               | 8.2             | 7.4              | 9.2                 | 7.6             | 8.1              | 0.71           |
| <b>Complaints</b>  |                 | Oct 2016        | Oct 2016        | Oct 2016          | Oct 2016        | Oct 2016         | Oct 2016            | Oct 2016        | Oct 2016         |                |
| <b>Total number of complaints received (1 month prior)</b>   |                 | <b>27</b>       | <b>6</b>        | <b>9</b>          | <b>7</b>        | <b>7</b>         | <b>11</b>           | <b>5</b>        | 72               |                |
| Rate of Complaints per 1,000 Persons Served  | o               | 4.7             | 0.9             | 3.4               | 2.3             | 2.0              | 2.2                 | 1.1             | 2.59             | 1.24           |
| # Consumer complaints against provider   |                 | 6               | 5               | 4                 | 4               | 3                | 8                   | 2               | 32               |                |
| % Consumer complaints against provider   | o               | 22%             | 83%             | 44%               | 57%             | 43%              | 73%                 | 40%             | 44%              | 19.3%          |
| # Consumer complaints against LME/MCO  |                 | -               | 1               | -                 | 2               | -                | 3                   | 1               | 7                |                |
| % Consumer complaints against LME/MCO  | o               | 0%              | 17%             | 0%                | 29%             | 0%               | 27%                 | 20%             | 10%              | 12.0%          |
| # Provider complaints against LME/MCO  |                 | -               | -               | -                 | -               | -                | -                   | 1               | 1                |                |
| % Provider complaints against LME/MCO  | o               | 0%              | 0%              | 0%                | 0%              | 0%               | 0%                  | 20%             | 1%               | 7.0%           |
| # of Other Types of Complaints   |                 | 21              | -               | 5                 | 1               | 4                | -                   | 1               | 32               |                |
| # of Complaints Resolved in 30 Days  |                 | 26              | 6               | 9                 | 7               | 7                | 11                  | 5               | 71               |                |
| Percent of Complaints resolved in 30 days  | 90.0%           | 96.3%           | 100.0%          | 100.0%            | 100.0%          | 100.0%           | 100.0%              | 100.0%          | 98.6%            | 0.01           |
| Yellow Highlights indicate the MCO did not meet the Standard                          Pink Highlights indicate the MCO did not meet the Standard for 3 consecutive months                          Blue highlights indicate possible outliers. |                 |                 |                 |                   |                 |                  |                     |                 |                  |                |

(1) Community Psychiatric Hospitalization includes 3-Way Contract funded beds, which are not distributed evenly across LME-MCO catchment areas, and may impact utilization rates.