

## Progress Tracking for Louisiana Statewide Transition Plan 2015 Q3

### I. Louisiana Office of Aging and Adult Services

#### A. OAAS Update to Louisiana Work Plan Master

Action Step	Date(s) and Status	Plan Update Narrative
Continue on-going stakeholder engagement through State associations and website	10/1/14 - ongoing	DHH, with representation from OAAS, OCDD, OBH, and Medicaid, attended the Community Provider Association Legislative & Public Policy Conference on 7/8/15. Representatives from each program office sat on a panel for the HCBS Settings Rule and provided updates on their transition plans and participated in a Q&A session with providers.  Providers and stakeholders are continually updated as necessary during OAAS' Provider, Stakeholder, and Support Coordination Executive meetings.
Develop and update website on a regular basis on external stakeholder comments	10/1/14 - ongoing	The OAAS website is continually updated with new or revised documents to reflect actions and work completed towards the transition plan.
Draft participant survey to validate the results of the provider self-assessment*	7/17/15 - 8/6/15 Complete	The proposed participant survey was drafted on 8/6/15.  *Originally planned for 4/1/15-4/30/15 but was pushed back to allow for implementation of the more time-sensitive provider self-assessment phase. Transition plan will be updated to reflect new dates.
Issue draft participant survey to stakeholders for comment*	8/6/15- 9/5/15	The draft participant survey was distributed to stakeholders via email and posted on the website for review and comment on 8/6/15.

	Complete	*Originally planned for 5/1/15-5/31/15 but was pushed back to allow for implementation of the more time-sensitive provider self-assessment phase. Transition plan will be updated to reflect new dates.
Modify self-assessment tool and participant survey based on stakeholder comments	4/15/15 – 9/5/15 Complete	No comments were received during the public comment period for both the provider self-assessment and participant survey. However, questions were clarified or re-worded for the self-assessment based on provider feedback during the 4/30/15 provider meeting.
Provide training on participant survey*	11/1/15- 11/30/15 To be completed	OAAS monitors will receive training to complete the new participant survey module during the participant interview portion of OAAS' 1915(c) quality monitoring during November 2015 in preparation for the next monitoring period beginning in January 2016.  *Originally scheduled to begin 5/1/15 but was pushed to November 2015 to allow for stakeholder review and comment and to move closer to the start of the monitoring period beginning January 2016.
Collect self-assessment information, aggregate, and analyze. Prepare a report for CMS.	5/1/15- 8/31/15 In process	A report summarizing responses to the provider self-assessment was posted to the website on 9/3/15. Some providers failed to complete the survey by the deadline and OAAS will be reaching out to these providers to gauge their willingness to participate. If any additional providers submit responses, an updated report will be posted reflecting the additional data. <a href="http://new.dhh.louisiana.gov/assets/docs/OAAS/publications/HCBS/OAAS-Provider-Self-Assessment-Results.pdf">http://new.dhh.louisiana.gov/assets/docs/OAAS/publications/HCBS/OAAS-Provider-Self-Assessment-Results.pdf</a>
Identify and send letters to providers who are not compliant with HCBS settings rule	6/1/15 – 2/1/16 In Process	Originally scheduled to begin in June 2015, this action step will be pushed back to early 2016 to allow for completion of site visits. OAAS will continue to assess providers' compliance but will wait until site visits are completed before determining whether providers are compliant.
Technical assistance will be available to providers to ensure that the interpretation of the HCBS Settings Rule is consistent and the provider is implementing necessary changes to meet compliance.	5/1/15 - ongoing	Technical assistance was provided during the provider self-assessment period and will continue for those providers, when necessary, to ensure they understand and are in compliance with the HCBS Settings Rule.

<p>Develop monitoring instrument to ensure setting compliance.</p>	<p>6/1/15 – 10/09/15 In Process</p>	<p>The participant survey will be added as a module to OAAS' current participant interviews that are conducted annually as part of our quality assurance monitoring for our 1915(c) waivers. The module will be included for any participants receiving ADHC services.</p> <p>The site visit evaluation tool will be drafted by 10/9/15 and will closely mirror the provider self-assessment. This will allow for a more accurate validation of each provider's interpretation of their compliance with each item of the assessment.</p>
<p>Conduct site visits</p>	<p>7/1/15 – 12/31/15 In Process</p>	<p>OAAS will begin conducting site visits of its providers beginning in late October 2015.</p>

---

## B.OAAS Public Comments Received 7/1/15 – 9/30/15

---

Date	Stakeholder/Issue	Received By	Comment/Question	OAAS Response
8/6/15	<b>OAAS Settings Rule Stakeholder Group*</b> : The draft participant survey was distributed to stakeholders via email and posted on the website for review and comment.	No comments were received.	N/A	N/A

\* Members: The Advocacy Center; Louisiana Assistive Technology Access Network (LATAN); ALS Association of LA; AARP; The ARC of LA; Franciscan Missionaries of Our Lady Health System; LA Developmental Disabilities Council; volunteers of America

C. OAAS Summary of Comments: N/A

## II. Louisiana Office for Citizens with Developmental Disabilities

### A. OCDD Update to Louisiana Work Plan Master

Action	Date(s) and Status	Plan Update Narrative
Continue on-going stakeholder engagement through State associations and website	10/1/14 - ongoing	DHH, with representation from OAAS, OCDD, OBH, and Medicaid, attended the Community Provider Association Legislative & Public Policy Conference on 7/8/15. Representatives from each program office sat on a panel for the HCBS Settings Rule and provided updates on their transition plans and participated in a Q&A session with providers.
Conduct training with service providers related to how to complete the self-assessment.	7/13/15 and 7/20/15	OCDD provided mandatory training for service providers specific to the self-assessment and expectations in terms of incorporating into existing Quality Enhancement structures. There were four opportunities for providers to participate in training (2 specific to Residential Self-Assessment and 2 specific to Non-Residential Self-Assessment).
Providers to conduct self-assessments.	Due to LGE offices 9/30/15	All self-assessments have not yet been received. OCDD and the LGE offices are working in conjunction to draft another communication to the providers explaining the process and how to submit this information.
Develop training materials and a validation tool for the self-assessments.	By 10/5/15	OCDD will provide training to all LGEs related to their role in the validation process.
Pull a sample of service provider agencies for validation.	10/19/15	The sample will reflect a 95% +/- level of confidence of Non-Residential providers and a 95% +/- level of confidence for Residential providers for the validation visits.
LGEs conduct desk audit or site reviews of the sample	As soon as sample is	Discretion is built into the Quality Enhancement process so that

Action	Date(s) and Status	Plan Update Narrative
agencies.	given 10/2015-3/31/2016	the LGE office may conduct additional site visits should they deem it appropriate.
Develop mechanism for tracking validation visits.	11/2015-ongoing	The LGEs will submit tracking reports to OCDD for analysis. Routine telephone conference calls with the LGEs will be conducted to provide technical assistance and assure consistency in application of the validation process.
Analyze findings from site visits and assessments.	11/30/2015-ongoing until compliance is achieved	For those service providers who are non-compliant, corrective action plans must be submitted describing how they intend to come into compliance. LGE/OCDD will review the corrective action plans to determine if they satisfactorily address compliance issues and will monitor provider progress in implementation. Updates to be provided on a quarterly basis.

## B.OCDD Public Comments Received 7/1/15 – 9/30/15

---

Date	Stakeholder	Received by	Comment/Question	OCDD Response
7/20/15	Russell Mimms	Email	Will providers be responsible for having plans for each program: NOW, Supports Waiver, Children's Choice and ROW?	A transition plan will need to be implemented for all areas that are out of compliance with the rule.
7/20/15	Tamara Tippet – Bridge Builders	Email	<ol style="list-style-type: none"> <li>1. To whom do we direct our sign in sheet? The notice stated that agencies that attended via web needed to provide a sign in sheet?</li> <li>2. When will the PowerPoint and Tools be available online?</li> </ol>	<ol style="list-style-type: none"> <li>1. The sign in sheet should be submitted to <a href="mailto:ocdd-hcbs@la.gov">ocdd-hcbs@la.gov</a> email address</li> <li>2. We are hoping to have the PowerPoint and tools submitted 7/22/15</li> </ol>
7/21/2015	Tim Goodwin	Email	All of our (NOW) participants live in their own apartments and sign their own lease agreement with the complex they live in. We help them pay bills and grocery shop. Are we exempt from having to complete a Residential Provider self-assessment?	Every provider will complete and assessment; however, if you believe that you meet the criteria to be considered in compliance you are not required to answer all of the questions. You would provide your agencies demographic agency and sign the agreement indicating you are in compliance.
7/22/15	Cassandra Davis	Email	I am emailing to ask a question concerning the Residential/Non-Residential provider self-assessment training, where do we mail or email the self-assessments once complete?	When completed you will submit your assessment to Capital Area Human Services.

7/23/15	Alton Anthony, Jr.	Email	Is this the Community Based Services Residential Assessment Tool that is on the website: <a href="http://www.dhh.la.gov/OCDDLIVE">www.dhh.la.gov/OCDDLIVE</a> with the revision dates of “Final 7-20-2015” the version that we are to complete and submit? During the Live Broadcast on 7-20-2015 at 1 pm it was mentioned that there would be another revised on the website with the Revision information stating “Final Final Copy date”.	Please do not use the assessment noted in your email. We are in process of making the final revisions and we will make sure we notify you all when the final version is posted.
7/23/15	Shantay Augustine	Email	Do you know when the final non-residential self-assessment will be posted via website?	We are making final revisions to documents based on stakeholder input. We are hoping to have final versions posted very soon. We are also in the process of drafting notifications to the service providers related to the delay.
7/24/15	Ellen Daigle	Email	Do you have the newly revised assessment available? If so, where is it located?	We are making final revisions to the documents based on stakeholder input. We are hoping to have the final version posted very soon. We are in process of drafting notifications to be sent to service providers related to the delay.
7/27/15	Angel Olivier	Email	I participated in the first webinar training. A revised provider self-assessment was requested. Is the revised assessment currently available? Also, I have 2 supports waiver recipients. Is a separate assessment required for Supports Wavier also?	We are working on the final version of the assessment as well as completing notices to be sent out to give all providers an update. The final, revised assessment is not currently posted, but we hope to have it posted very soon.  As to your question related to Supports Waiver, multiple assessments will need to be completed if you are providing in home IFS type services and if you are providing vocational services.

7/31/15	DeeDee Henderson	Email	<ol style="list-style-type: none"> <li>1. Where can I obtain the updated copy of the Provider self-assessment?</li> <li>2. If we have offices in region 2, region 3 and region 9, do we need to complete a provider assessment for each of the provider numbers associated with each region?</li> <li>3. Once it is complete, who/where do I send it to for each region?</li> </ol>	<p>We sent out a fax via SRI detailing the criteria for completing the assessments and where to send them to. Please let us know if you did not get this information or if additional information is needed.</p>
7/31/15	Jennifer Dexter	Email	<p>Volunteers of America Greater New Orleans currently have two programs to serve the ID/DD population. One is our Community Living Services in ICF/DD (group home settings) and the other is our Supported Living services in HCBS (Independent Living) settings.</p> <p>I have two issues in which I would like clarification/confirmation:</p> <ol style="list-style-type: none"> <li>1. Am I correct in that the ICF/DD program within our agency does NOT have to complete the Residential Provider Self-</li> </ol>	<p>If you do not provide vocational services, than you do not have to complete the Non-Residential assessment. If the services you provide do not fall into the categories you have noted, yes you will complete the demographic pages and you will need to select and sign the appropriate category on the last page of the residential assessment.</p>

			<p>Assessment tool as they are NOT HCBS?</p> <p>2. The Supported Living Services program within our agency (providing personal care services for the NOW and Supports Waivers) does not have to complete the FULL provider assessment tool as we do NOT “operate provider owned, leased, controlled, ore operated residential setting for individuals receiving Home and Community Based Services” and do NOT provide Host Home or Substitute Family Care services. Am I correct that I would only select “A” on Page 3 of the Louisiana Residential Provider Self-Assessment and then sign and date under “A” on Page 14 the statement based on selection of Page 3</p> <p>Follow up question submitted on (8/11/15) - I wanted to follow up on obtaining a response to the below email regarding</p>	
--	--	--	--	--

			<p>completion of the Provider Assessment Tool for our agency. The Non-residential Provider Assessment Tool applies to Day Habilitation, Prevocational, and Supported Employment (group/mobile crew). As our agency does not currently provide those services, I am under the assumption that we would complete the Residential Provider Assessment Tool, which encompasses Provider Owned/Leased Residential Settings, Provider Operated/Controlled Residential Settings, Substitute Family Care, and Host Home. With the exception of the ICF/DD homes, our agency does not currently provide those services/settings under HCBS. Therefore, am I correct in that we are to complete the Residential Assessment Tool indicating “A” on page 3, and signing on page 14?</p>	
7/31/15	Lindsey Vindel	Email	<p>Upon the completion of the transition plan, where should it be sent to?</p>	<p>The completed plan would need to be sent to the local (regional) office. We hope to have information out later this week clarifying the process and the assessments.</p>
8/3/15	Goldie LeBlanc	Email	<p>Our staff is having some difficulty determining if we need to complete the assessment.</p>	<p>We will be sending notification out later this week that details the information you are requesting below.</p>

			Could you please send me the criteria for determining if our Agency needs to complete the Self-Assessment	
8/12/15	Christine Dunlevy	Email	Metro Enterprises is a division of the Arc Baton Rouge and provides Day Habilitation, Pre-vocational, Crews at two different facilities in the Baton Rouge area. We have on facility on Dallas Drive and the other facility on Prescott Road. My question, to be sure I am correctly submitting the assessment is: Do I complete one assessment for each facility? And do I complete the individual assessments for each service, Day hab, PreVoc and Supported Employment Mobile Crews?	We are asking that you complete one assessment per location. You do not have to do one for each license type.
8/12/15	Kyle Soignet	Email	Is there any way of uploading the two assessment tools in a word processing type of format, such as MS.docx? If adding the links to the website would be too involved, could the documents be sent to me as attachments via email. I have downloaded the pdf currently on the DHH website. However, I am not able to type (edit) the document for my responses to the questions with my version of adobe. I am told	Yes, attached are the assessments in Word. Thank you for bringing this to our attention. We will make sure that these documents are uploaded to the website in WORD format.

			that even the \$450 version is problematic. I would really like to be able to submit the form with our typed in responses opposed to the response being hand written.	
8/12/15	Sylvia Bates	Email	Requesting address to send assessment to	Acadiana Area Human Services District, 302 Dulles Drive, Lafayette,, LA 70506
8/12/15	Lura Sorrell	Email	Requesting a copy of the link to access the updated copy of the residential provider assessment because the link sent with the DHH-notice is not accessible.	Here is the link to the page that has all our transition plan information. Please scroll down to about the middle of the page and you will see the documents listed. I did find out from someone else that they are currently pdf formats that are posted. I am in process of getting word versions of the documents posted.  <a href="http://new.dhh.louisiana.gov/index.cfm/page/1991">http://new.dhh.louisiana.gov/index.cfm/page/1991</a>
8/13/15	Lisa Wilridge	Email	Please forward the link for self-assessments for both the residential and non-residential assessments.  Once the assessment is completed to which office should this document be forwarded to along with the required person?	Link to transition page on web: <a href="http://new.dhh.louisiana.gov/index.cfm/page/1991">http://new.dhh.louisiana.gov/index.cfm/page/1991</a>  I am waiting for them to put the word versions of the assessments online-right now both are pdf formats, so I am attaching both in word for you.  It should be submitted to the Local Office-I believe you all are located in 2, so CAHS
8/13/15	Rosie Lewis	Email	I am unable to locate the correct information for the Residential	The link to the page that has the assessments is <a href="http://new.dhh.louisiana.gov/index.cfm/page/1991">http://new.dhh.louisiana.gov/index.cfm/page/1991</a>

			(services provided in the person's home). I keep finding the old assessment. Would you please send me the information we need please?	Scroll down to the section that has the assessments. It is at or just below the middle of the page. Let me know if you continue to have any problems so I can attempt to assist.
8/17/15	Katherin Boudreaux	Email	<p>I am working on the provider self-evaluation for Goodwill Industries of Acadiana and I need clarification on one question.</p> <p>Goodwill currently has GED prep tutoring in the same building as our vocational education programs (supported employment and vocational habilitation). Our clients, particularly waiver clients, do take part in the class when it is appropriate for their goals. These classes are often part of the client's pathway to independence. The classes are integrated and a part of our plan to give clients freedom of choice and alternatives. On the provider self-evaluation it asks if we are in the same building as an institution or education program. Would this be a school or institution and do we need to move the program? We do not have state funded institution or an accredited program.</p>	Our employment specialist contacted Ms. Boudreaux and indicated that we believe that this is in compliance with the rule.

			Please call me or let me know as soon as possible. This is our last unanswered question. We can move the classes if necessary but then the Waiver client would not have access to the service.	
8/17/15	Sandy Richardson	Email	Is there a link to listen to the 7/13 or 7/20 webinar, which were presented on provider self-assessment?	We do not have the recorded presentation on the website for the July 13 <sup>th</sup> and 20 <sup>th</sup> training sessions. We do have the PowerPoint presentation posted for the July 20 <sup>th</sup> session. It is located at the following link: <a href="http://new.dhh.louisiana.gov/index.cfm/page/1991">http://new.dhh.louisiana.gov/index.cfm/page/1991</a>
9/3/2015	Lori Davis	Email	When were the provider self-assessments due? Is there a contact person to send them to at Florida Parishes Human Services Authority?	Assessments are due to the local office by 9/30/15. You should contact FPHSA to identify a specific person to submit the assessment to.
9/28/15	Sonia D. Falcon	Email	How is the Self-Assessment Report to be delivered? Ex. Email? Fax? Mailed?	You can mail or fax it. If you are considering emailing it, I would encourage you to contact CAHS to identify who they would like it emailed to. Please let me know if you have any additional questions.
9/29/15	Earl Johnson	Email	Where and to whom do we fax or mail the provider assessment, the region office for region 2?	You will send your provider assessment to Capital Area Human Services. Their fax number is 225-925-1966 and their address is 4615 Government Street-Bin #16 (2 <sup>nd</sup> floor), Baton Rouge, LA 70806. Attention to Waiver Section. Please let me know if you need any additional information
9/29/15	Shaterrica Isaac	Email	I was trying to confirm that the provider self-assessment once complete does go back to our	Yes it should be submitted to your local office.

			<p>local office for our region.</p> <p>On section A Provider information it is asking for the agency capacity can you tell me what does that mean?</p> <p>We only provide in home type of services</p> <p>We currently do not have a capacity for the agency since it's not required for licensing.</p>	<p>How many people is your agency able to support? For example, if you were providing vocational services in a facility based type of service, you would likely only be able to support a number based on your building size, etc. Are you providing vocational services, or do you primarily provide in home IFS type service?</p> <p>Do you have a maximum number of people that you are able to support? Does your license limit the total number of people you are able to support and/or does your agency from a policy/business perspective have a maximum number of people that you believe you would be able to support? If so, that is what should be noted for that question.</p>
9/29/15	Chavella Jackson	Email	<p>We have completed our provider self-assessment and I need to know where to send it. Can you please email me <a href="mailto:omnihouse@brcoxmail.com">omnihouse@brcoxmail.com</a> or call me at 225-356-1710 to let me know.</p>	<p>Waiver representative called Ms. Jackson to identify where the assessment should be sent. She further requested that the provider transition tool be sent to her to develop her plan to come into compliance. This document was forwarded to her.</p>

## C. OCDD Summary of Comments Received 7/1/15 – 9/30/15:

---

During the comment period noted above, OCDD received comments in person and by email. The comments submitted during this time frame focused on the residential and non-residential provider self-assessments. Much of the focus was on areas within the assessment that stakeholders requested clarification related to questions, technical assistance related to addressing agency specific issues, or identification of the specific location where to submit the assessment. OCDD provided clarification, identified where to send documents, and offered technical assistance related to each individual agency regarding their specific questions. Based on feedback from stakeholders, OCDD posted final assessment to be used by service provider agencies on our website on 8/10/2015.

### III. Louisiana Office of Behavioral Health

#### A.OBH Update to Louisiana Work Plan Master

---

<b>Action</b>	<b>Date(s) Status</b>	<b>Plan Update Narrative</b>
Continue on-going stakeholder engagement through State associations and website	10/1/14 - ongoing	DHH, with representation from OAAS, OCDD, OBH, and Medicaid, attended the Community Provider Association Legislative & Public Policy Conference on 7/8/15. Representatives from each program office sat on a panel for the HCBS Settings Rule and provided updates on their transition plans and participated in a Q&A session with providers.
Distribute letters to providers describing the transition, criteria for HCB setting, deadlines for compliance, and availability of TA.	4/1/15	The STP was posted to the website describing the transition, criteria for HCB setting, deadlines for compliance, and availability of TA and an email was sent with the link to stakeholders alerting them of the plan.
Draft provider self-assessment	3/31/15	Provider self-assessment completed
Post provider self-assessment on dedicated website for public comment	4/1/15	No comments were received.
Revise the provider enrollment/re-enrollment process to collect information from provider applicants/providers to ensure their proposed setting/current setting meets the HCB setting requirements	12/1/15 forward	
Draft participant survey for public review and post on website for public notice	4/30/15	Posted on the website and an email requesting feedback was sent to stakeholders.
Revise the participant enrollment	12/1/15	

<b>Action</b>	<b>Date(s) Status</b>	<b>Plan Update Narrative</b>
process to collect information from potential participants to determine if they reside in a prohibited setting	forward	
Revise the participant plan of care process to collect information to ensure current participants still reside in an approved setting	12/1/15 forward	Wraparound Facilitators will collect information reported by participants at least quarterly. Instances which do not comply with the HCB setting rule will be assessed by OBH to determine the best treatment for the participant.

## B. OBH Public Comments Received 7/1/15 – 9/30/15

No comments were received.

## C. Summary of Comments: N/A

---