

Revision History Log

| Document Title | | Waiver Procedures Manual | | |
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| Author | | Office of Aging and Adult Services (OAAS) | | |
| Revision History | | | | |
| Reissued Date | Section | Section Title | Page Number(s) | Revision/Reason for Revision |
| 3/11/14 | Table of Contents | D-Support Coordination Assessment and Care Planning Certification Training | 1 & 2 | Added D-350 (Re-certification) & D-600 (Re-certification Standards) |
| 3/11/14 | D-Support Coordination Assessment and Care Planning Certification Training | D-100 (Overview); D-200 (Assessment); D-300 (Care Planning); D-350 (Re-certification); D-400 (Certification Standards); D-500 (Provisional Standards); D-600 (Re-certification) | 1-13 | Revised some of the language for further clarity on sections D-100 through D-300 & sections D-400 & D-500; Added Sections D-350 & D-600 Sections to update the Re-certification process. |
| 5/27/14 | Table of Contents | L-140 Service Hour Allocation of Resources (SHARe) Exceptions | 4 | Changed L-140 Environmental Accessibility Adaptation One- Time to Nursing Facility Transition |
| | | Z-Appendices | 8 | Added Z-285 National Voter Registration Act (NVRA) Procedures |
| 5/27/14 | L-Service Hour Allocation of Resources (SHARe) Exceptions | L-140 Environmental Accessibility Adaptation One-Time SHARe Exceptions | 9-12 | Changed L-140 "Environmental Accessibility Adaptation One- Time Exception" to "Nursing Facility Transition" and updated the procedures. |
| 5/27/14 | Z-Appendices | Z-285 National Voter Registration Act (NVRA) Procedures | 4 & 5 | Added the link for the NVRA procedures. |
| 6/27/14 | Table of Contents | Revision History Log | 1 | Changed the total # of pages to 3. |
| | | K-Plans of Care (POCs) | 3 | Changed the total # of pages to 24. |
| 6/27/14 | F-Linkages | F-500 Patient Liability Income (PLI) | 7 | Removed the word "waiver" from the services that are allowed with PLI. |
| 6/27/14 | H- Assessments/ Re-assessments | H-130 Follow-Up Re-Assessments | 4 | Updated the language to include when the SC must complete a follow-up re-assessment when the participant is transitioning from the NF. |

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| | | H-150 Annual Re-assessments | 8 | Updated the language stating that annual MDS-HC re-assessments must be completed on all participants, even those residing in a NF. |
| 6/27/14 | K-Plans of Care | K-110 Initial Plan of Care (POC) Development for Individuals Residing in the Community | 2 | Add examples of legally responsible representatives. |
| | | K-150 Plan of Care Revisions K-150.3 Routine | 13 | Added the timeframe to state when Routine POC Revisions are due. |
| | | K-150 Plan of Care Revisions K-150.5 Routine | 14 | Added the timeframe to state when Emergency POC Revisions are due. |
| | | K-180 Support Coordinator Supervisor Review Process | 21 23 & 24 | Updated the section that explains what the support coordinator (SC) or SC supervisor needs to complete on the 142 form. Updated the section that explains when the SC sends the POC approval documents out and specified what documents must be included to the appropriate parties. |
| 6/27/14 | P-Transfers | P-120 Transfers Between Support Coordination Agencies P-120.3 Procedures | 7 | Add Home Health and/or Hospice POC. |
| 6/27/14 | R-Community Choices Waiver | R-100.6 Environmental Accessibility Adaptation (EAA) | 3 | Added a step for the SC – Make sure funds are available, if applicable. |
| | | | 5 | Added a step for the SC – Review the quote to make sure it matches the specifications from the EAA assessor. |
| | | | 6 | Added that the RO notifies the SC via email so the SC can proceed with the EAA. |

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| 6/27/14 | T-Reports | T-200 Expired Plans of Care (POCs) T-200.3 Procedures | 3 | Added a NOTE: SC needs to indicate to RO the reason why the POC is late. |
| 6/27/14 | Z-Appendices | Z-131 Clinical Assessment Protocols Summary (CAPS) | 1 | Updated the link for the CAPS document. |
| | | Z-175 Directory-OAAS Waiver Regional Offices | 3 | Updated the link for the OAAS Waiver Regional Offices. |
| | | Z-190 Environmental Accessibility Adaptation (EAA) Form | 3 | Updated the link for the EAA form. |
| | | Z-250 Individual Responsibility Agreement (IRA) Form | 4 | Updated the link for the IRA form. |
| | | Z-270 MDS-HC Assessment and Care Planning Training Registration Form | 4 | Updated the link for the MDS-HC and Care Planning Registration form. |
| | | Z-310 Plan of Care | 5 | Updated the link for the POC document. |
| 8/17/15 | R-Community Choices Waiver | R-100.6 Environmental Accessibility Adaptation (EAA) | 2 | Added that the EAA basic assessment and final inspection are not necessary if the participant has requested an item/adaptation with a cost less than \$1000. |
| | | R-100.14.4 Self-Directed Personal Assistance Services (PAS) | 14--16 | Added the service agreement form must be reviewed with the participant annually, quarterly monitoring of required self-direction time sheets, progress notes, and service logs within the home book must be provided, and deficiencies reported to RO, fiscal agent, Medicaid and RO must be notified of self-direction termination, upon the participant's death, the self-direction records must be obtained and submitted to RO for storage. |

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| 9/23/15 | R-Community Choices Waiver | R-100.10 Monitored In-Home Caregiving Services (MIHC) | 11-13 | Added the procedures for utilizing the MIHC service within the Community Choices Waiver. |
| 10/28/15 | R-Community Choices Waiver | R-100.10 Monitored In Home Caregiving Services (MIHC) | 12 | Added the document number, OAAS-PF-15-006, for the MIHC form reference in procedure. |
| 2/04/16 | R-Community Choices Waiver | R-100.4 Assistive Devices and Medical Supplies Service | 2-4 | Added the procedures for utilizing the Assistive Devices and Medical Supplies service within the Community Choices Waiver. |
| 2/04/16 | R-Community Choices Waiver | R-100.6 Environmental Accessibility Adaptation (EAA) | 5-11 | Added that the Regional Office will review all EAA requests, regardless of estimated cost of the requested EAA. |
| 2/12/16 | Z-Appendices | Z-112 Assistive Devices and Medical Supplies Form | 1 | Added a link for the Assistive Devices and Medical Supplies Form. |
| | | Z-145 Critical Incident Reporting (CIR) Policies and Procedures | 1 | Updated the link for the CIR policy and procedure. |
| | | Z-230 Flexible Schedule/ Budget Worksheet | 2 | Updated the link for flexible schedule/budget worksheet. |
| | | Z-294 Nursing/Therapy Evaluation Referral Form Instructions | 3 | Updated the link for the Nursing/Therapy Evaluation Referral Form Instructions. |

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| 8/17/17 | D – Support Coordination Assessment and Care Planning Certification Training | D-100 Overview | 1 | Revised and condensed for clarity; removed class size restrictions; Added NOTE regarding removal of SCA from FOC. |
| | | D-200 Assessment and Certification Standards | 2-4 | Incorporated applicable information from former Section D-400 Certification Standards; Retitled from “Assessment” to “Assessment and Certification Standards”; |
| 2-4 | Condensed and revised entire section; | | | |
| 2 | Added requirement for a shadow assessment prior to attending training; | | | |
| 2 | Adjusted time to complete field assessment from 5 calendar days to 3 business days; | | | |
| 2 | Changed number of assessments from 2 to 1; | | | |
| 2 | Added requirement for certified assessor to accompany trainee to field assessment; | | | |
| 4 | Time period to retake certification class after 4 th attempt changed from 3 years to 1 year; | | | |
| 4 | Assessors may begin conducting assessments once passing assessment certification test; | | | |

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| | | D-300 Care Planning Certification Standards | 4-6 | Incorporated applicable information from former Section D-400 Certification Standards; Retitled from “Care Planning” to “Care Planning and Certification Standards”; |
| | | | 4-6 | Condensed and revised entire section; |
| | | | 4 | Adjusted time to complete field care planning from 5 working days to 3 business days; |
| | | | 6 | Clarified that assessors may be MDS only certified should they fail the Care Planning testing portion; |
| | | | 6 | Time period changed from 3 years to 1 year waiting period to retake class; |
| | | D-350 Re-Certification | 6-7 | Incorporated applicable information from former Section D-600 Re-Certification Standards; Condensed and revised entire section |
| | | | 6 | Assessors must complete and submit 1 assessment and POC to trainer(s) prior to attending the recertification training; |
| | | | 6 | Classroom training decreased to 1 day; |
| | | | 6 | Assessor must test within 30 calendar days of being cleared to test by trainer; |
| | | | 6? | If re-certification test is failed 3 times, assessor must go through the entire certification process; |
| | | | 7 | Specified testing requirements for interRAI assessment certified only assessors; |
| | | | 7 | If certification expires, assessor must enroll and complete full certification process; |
| | | D-400 Certification Standards | Deleted | Applicable information incorporated in to Sections D-200 and D-300; changed number of required assessments from 2 to 1 |

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| | | D-500 Provisional Standards | 7 7 | Changed number of assessments required from 2 to 1; condensed entire section |
| | | D-600 Re-certification Standards | Deleted | Applicable information incorporated into Section D-350 |
| 8/17/17 | Section H – Assessments/ Re-assessments | H-100 Overview | 1 | Deleted Note |
| | | H-110 Completion of the Assessments/Re-assessments | 2-3 | Information about determination of participant’s capacity to self-report added to this section; |
| | | H-140 Change in Status Re-assessments | 8 | Note added regarding procedure for reassessment when hospital or LTC stay is involved |
| 12/18/17 | Section R— Community Choices Waiver | R—100.4 Assistive Devices and Medical Supplies | | Addition of procedures for purchases made by Assistive Devices and Medical Supplies providers (provider type 17). Removal of the \$300 Maximum purchase limit for items purchased by the Support Coordination Agency (SCA). Addition of Regional Office review and decision to proceed with all purchases exceeding \$500. |
| 10/18/18 | Section O— Service Review Panel (SRP) Referrals | O-100 Overview | 1 | Removed the following denial/discharge submissions to SRP: Individual fails to cooperate in eligibility determination/POC, Individual is incarcerated/penal authority jurisdiction (not a denial/discharge criteria in RULE), and waiver services are not appropriate for the individual, (not a denial/discharge criteria in RULE). |
| 10/18/18 | Section O— Service Review Panel (SRP) Referrals | O-110 Procedures | 2-3 | Updated language to reflect that SRP referrals are no longer completed on paper but are submitted online via SharePoint portal. Added tasks completed by the SRP coordinator. |

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| 10/18/18 | Section M- Waiver Declinations | M-130 Nursing Facility (NF) Transitions | 3-4 | Added subsection M-13--NF Transitions to detail the process of the OAAS Transition Coordinators (TCs) obtaining declinations for NF transitions who have expressed a desire to transition. |
| 1/22/19 | Section D- Support Coordination Assessment and Care Planning Certification Training | D-100 Overview | 1 | Grammatical edits |
| D-200 Assessment and Certification Standards | | 1-4 | Added "Note" about requirements when trainee does not complete training; Restructured content; Changed Order for MDS.HC Assessment Test. The MDS.HC Test is now taken prior to the Field Assessment; Specified that the Certified assessor who is present during the trainee's field assessment is there to guide or redirect the assessor as appropriate. | |
| D-300 Care Planning and Certification Standards | | 4-6 | Trainee must be cleared by OAAS trainer before considered eligible to attend Care Planning Training; Specified that the required Care Planning meeting must be held face to face with the client after the trainee attends classroom training: Specified that a certified assessor must attend the care- planning meeting and provide guidance and redirection as part of the learning process. | |
| | | D-350 Recertification | 6-7 | Trainee must test before current certification ends |

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| 2/11/2020 | Section R— Community Choices Waiver | <p>R-100.6 Environmental Accessibility Adaptation (EAA)</p> <p>R-100.14.4 Self-Directed Personal Assistance Services (PAS)</p> <p>R-100.22.2 Transition Intensive Support Coordination (TISC) Contact Requirements</p> | <p>6</p> <p>18—20</p> <p>26</p> | <p>Added a reference to the EAA Permission from Landlord form, OAAS-RF-19-01.</p> <p>Added specifics regarding the self-direction good to good date process.</p> <p>Added the OAAS Money Follows the Person (MFP) Transition Coordinator (TC)'s responsibility to complete routine contacts with NF transitions if the individual has not transitioned after 6 months.</p> |
| 4/27/2021 | Section T- Reports | <p>throughout</p> <p>T-110.3 Procedures</p> <p>T-300 Emergency Preparedness Contact and Relocation Tracking for Waiver Participants</p> <p>T-400 Service Utilization Report</p> <p>T-400 No Services in 90 Days Report</p> | <p>throughout</p> <p>Pages 1-2</p> <p>Page 4</p> <p>Page 5</p> <p>Page 5</p> | <p>Removed dated language “CMIS” and LaWRRIS”, replaced with “LaSRS®”.</p> <p>Updated Aging Report process, from monthly, to monthly and more frequently as needed. Included requirement of RO maintaining documentation for linkages. Detailed reasons for potential SCA sanctions due to aging linkages.</p> <p>Updated the emergency preparedness participant contact/tracking process to reflect utilizing the ER Preparedness Contact and Relocation Tracking Form in LaSRS®.</p> <p>Removed this section as this Report is no longer necessary as LaSRS® allows the SC's to view the actual services and the number of units utilized under each Prior Authorization.</p> <p>Added this section to detail the purpose and process of the No Services in 90 Days report in LaSRS®.</p> |