

## Progress Tracking for Louisiana Statewide Transition Plan 2016 Q2

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

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

<b>Public &amp; Stakeholder Engagement</b>		
<b>Action Step</b>	<b>Date(s) and Status</b>	<b>Plan Update Narrative</b>
Convene interagency group to manage planning process	Began 9/22/14 and continuing through 3/2019	Meetings were held on the following dates to discuss transition plan action steps and revisions to the transition plan requested by CMS: 04/04*, 04/07, 04/18, 04/27*, 04/28, 06/09, 06/16*, 06/24*, 06/28.  * Interagency STP Workgroup Meetings to discuss responses to CMS and revise the STP to meet CMS requirements. Included in these meetings were discussions to coordinate timelines where possible.
Develop and update website on a regular basis on external stakeholder comments	10/01/14 – 3/20/19	The OAAS website is continually updated with new or revised documents to reflect actions and work completed towards the transition plan.  Medicaid submitted a revised Work Plan Master to CMS on 5/2/16. The OAAS transition plan website was updated to include these documents for public and stakeholder review.
Support ongoing stakeholder communications.	11/19/14-	Held public forum (including OAAS stakeholders) on

	3/20/2019	11/19/14 and continuing as needed through 3/2019. Stakeholders are informed of STP's progress through provider association meetings, OAAS quarterly provider meetings, and support coordination executive meetings. Website updated 5/2/16 with changes to Louisiana Work Plan Master.
Reach-out to providers and provider associations to increase understanding of rule and maintain open lines of communication.	3/13/15-02/2017	Provider outreach continued through April 2016 for the self-assessment process and will continue through February 2017 to complete validation and remediation work.
<b>Site Specific Assessment &amp; Validation</b>		
Distribute assessment to providers	Completed -Round One: 5/4/15 to 6/12/15  -Round Two: 3/14/16 to 4/1/16	Initial round of provider self-assessments were completed May-June of 2015. A second round of provider self-assessments began in 2016 to maximize provider participation.  Following the second round of assessments, 100% of ADHC providers completed a self-assessment. An updated provider self-assessment summary report was uploaded to the OAAS website on April 13, 2016, and will be uploaded to the CMS portal.
Assessment due from providers	Completed 4/1/16	Assessment compliance reached 100% after both distribution rounds.
Distribute participant survey	Completed 3/1/16-6/30/16	Participant survey will occur annually beginning in 2016 during OAAS's 1915c QA monitoring period (Jan-Jun).
Participant Survey Due	6/30/16 Survey will be due June 30th	Participant survey will occur annually beginning in 2016 during OAAS's 1915c QA monitoring period (Jan-Jun).

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B.OAAS Public Comments Received 4/1/16 – 6/30/16  
No Public Comments were received.

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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
Convene Interagency group to manage planning process	9/22/14 and continuing through 3/2019	<p><b>6/30/16 Update:</b></p> <ul style="list-style-type: none"> <li>• 4/4/16-OCDD met internally to discuss Individual Experience Survey.</li> <li>• 4/27/16-HCBS quarterly planning progress meeting</li> <li>• 5/5/16-OCDD met internally to discuss validation visit progress.</li> <li>• 5/9/16-STP cross office workgroup met to discuss and plan for STP resubmission</li> <li>• 5/10/16-STP cross office workgroup met to discuss systemic assessment with consultant and determine next steps in terms of formatting information for resubmission with STP</li> <li>• 6/7/16, 6/14 and 6/20/16-OCDD and Medicaid meetings to discuss NOW renewal-discussions including incorporation of language associated with HCBS rule.</li> <li>• 6/22/16 and 6/27/16-OCDD met internally to discuss changes to be included in NOW renewal</li> <li>• 6/23/16-STP workgroup met with consultant to prep for phone conference with CMS -TA call related to addressing all areas to receive initial approval on STP</li> <li>• 6/24/16-TA call with CMS team regarding resubmission of STP</li> </ul>

Action	Date(s) and Status	Plan Update Narrative
Support ongoing stakeholder communications	11/2014 and ongoing through 3/2019	<p><b>6/30/16 Update:</b></p> <ul style="list-style-type: none"> <li>• 4/7/16-State Office assisted Central Louisiana Human Services District (region 6 local office) with completing site visit at a service provider day program.</li> <li>• Technical assistance provided to Florida Parishes Human Services Authority (region 9 local office) regarding validation visits.</li> <li>• 4/11/16-State Office assisted South Central Louisiana Human Services (region 3 local office) with completing site visit as service provider day program</li> <li>• 4/15/16-Coordinated Social Security Presentation/broadcast with the CWICs</li> <li>• 4/20/16-State Office assisted South Central Louisiana Human Services (region 3 local office) with completing site visit at service provider day program</li> <li>• 4/19, 4/25, and 5/16-Stakeholder workgroup regarding person centered planning and format options.</li> <li>• 4/26/16-Presentation with Families Helping Families in Jefferson Parish about CMS rule/changes</li> <li>• 4/27/16-HCBS quarterly planning progress meeting</li> <li>• 5/3/16-Meeting with Support Coordination Alliance regarding Individual Experience Survey</li> <li>• 5/3/16-State Office assisted Florida Parishes Human Services Authority (region 9 local office) with completing site visit for day program service provider.</li> <li>• 5/10-5/12-State Office assisted Northwest Louisiana Human Services District (region 7 local office) with completing site validation visits for day program</li> </ul>

Action	Date(s) and Status	Plan Update Narrative
		<p>providers.</p> <ul style="list-style-type: none"> <li>• 5/16/16-State Office assisted Florida Parishes Human Services Authority (region 9 local office) with completing site visit with day program service provider.</li> <li>• 6/8/16-State Office assisted Capital Area Human Services (region 2 local office) with completing site visit with day program service provider</li> <li>• 5/24/16-Work Pays meeting</li> <li>• 5/27/16-5/30/16-State Office assisted Northeast Human Service Authority (region 8 local office) with completing site visits for multiple day program and residential service provider agencies.</li> <li>• 6/14/16-Update provided regarding STP at a meeting with the Louisiana Council of Executives.</li> <li>• 6/22/16-Update provided regarding STP for DD Council report</li> <li>• Presentation at South Central Louisiana Human Services Authority quarterly provider meeting regarding STP progress.</li> </ul> <p>OCDD will continue to provide technical assistance to all service provider agencies as requested (will partner with LGE offices where appropriate)</p>
<p>Collect all public comments. Synthesize comments and develop responses to comments (Will go into transition plan for CMS).</p>	<p>Begin 9/2014 and ongoing through 3/2019</p>	<p><b>Update 6/30/16:</b> 4/20/16-Individual Experience Survey posted for public</p>

Action	Date(s) and Status	Plan Update Narrative
		<p>comment (public comment period 4/20/16-5/20/16)</p> <p>5/2/16-Comments/Questions received from SC Alliance regarding Individual Experience Survey.</p> <p>5/3/16-Conference call to respond to questions and comments-Summary of comments included with 6/30/16 update.</p>
Provider assessments due to LGE offices.	<p>9/30/15</p> <p>Adjusted timeframe-2/5/2016</p>	<p><b>Update 6/30/16</b></p> <p>During this quarter continued follow up by both LGE offices and Central Office staff to get all provider agencies to submit their provider self-assessments. In process of consolidating report to identify any remaining providers that have not complied with request. OCDD to take appropriate action.</p>
Conduct site visits.	1/1/16 – 12/31/16*	<p><b>Update 6/30/16</b>-Per recent technical assistance/feedback from CMS (CMS Technical Assistance Call June 24, 2016) it is OCDD’s understanding that the validation component of the STP does not have to be completed for initial approval. OCDD is revisiting validation process to assure that appropriate sample size is being evaluated for all service types. Extending timeline for site visits to account for these changes.</p>
Monthly progress reported by LGE offices related to site visits/desk audits	1/1/16 - 12/31/16*	<p>Beginning in January of 2016, it is OCDD’s expectation that the LGE offices will provide status updates related to progress on site visits/desk audits. Mechanism for reporting will be provided to the LGE offices.</p> <p>OCDD is also planning to establish ongoing conference calls with the LGE offices to identify and address issues/concerns as we go through this process.</p>

Action	Date(s) and Status	Plan Update Narrative
Analysis of findings from site visits and assessments	6/1/16 - 12/31/16*	Beginning the process of analyzing the information; however, as noted previously additional validation to be completed, thus timeframe for this activity to be extended.
Identify any settings that require heightened scrutiny	1/1/16 - 12/31/16*	Throughout the provider self-assessment and site validation visits – identify any settings that require this level of review. Submit updates and follow process for making this request throughout the process.
Draft participant survey for public review	1/1/16 - 4/15/16 Completed	Develop participant survey to measure satisfaction and overall experience as it relate to CMS rule. Information to be used to validate information reported by provider agencies and site visits conducted. Identify self-advocates, family members, etc. to assist with development of this. <b>Update 6/30/16—Completed</b>
Post participant survey on the website and circulate to all stakeholders	4/20/16 - 5/20/16 Completed	Survey developed. Circulated internally for feedback. Awaiting approval to post online. Dates will be adjusted to assure appropriate timeframe for stakeholder input. <b>Update 6/30/16—Completed</b>
Modify participant survey based on comments	4/20/16 - 5/25/16 Completed	Modifications made based on stakeholder input throughout the posting period <b>Update 6/30/16—Completed</b>
Provide training on participant survey	5/25/16 - 5/31/16 Completed	95% +/- confidence level sample of participants receiving waiver services
Distribute participant survey	6/1/16 Completed	
Participant survey due	7/15/16	



Action	Date(s) and Status	Plan Update Narrative
	Completed first phase 12/31/16 for next phase	
Analysis of participant survey findings	7/15/16 – 12/31/16*	
Completion of all preliminary assessment activities	6/30/16	
Analysis of findings from preliminary assessment process	6/1/16 - 7/31/16	<b>Update 6/30/16</b> -per recent TA with CMS-systemic assessment will be completed by date noted.
Draft report of findings	7/1/16 - 7/31/16	<b>Update 6/30/16</b> -per recent TA with CMS-systemic assessment will be completed by date noted.
Post report of findings on website and circulate for stakeholder feedback	8/15/16* - 9/15/16*	<b>Update 6/30/16</b> -per recent TA with CMS-systemic assessment will be completed by date noted.
Identify and send letters to providers who are not compliant with HCBS settings rule	1/1/16 - 12/31/16*	Extending timeline based on previous notes and possibility of conducting additional validation visits.
Based on crosswalk outcomes of all licensing, certification, policy/procedures, and provider qualifications address any areas of concern to strengthen language to align with CMS rule	1/1/16 - 12/31/16*	<b>6/30/16 Update:</b> OCDD has begun addressing these areas as part of the NOW renewal. Once the NOW renewal is completed, OCDD will work on aligning language across waivers and submitting amendments to the other 3 waivers.
Evaluate current plan of care format/process, rights/responsibilities, other waiver forms and update as appropriate to align with the rule	3/14/16 - 12/31/16*	<b>Update 6/30/16</b> -OCDD completed 3 meetings with stakeholder group to address this area. During the course of the meeting, it was determined that additional meetings/work would need to be held. In addition to the work done with this stakeholder group, OCDD is evaluating options to better engage individuals and/or

Action	Date(s) and Status	Plan Update Narrative
		their families to obtain feedback related to this area.
Practical performance measures are created to ensure providers continue to meet the HCB Settings rule	1/1/16 - 12/31/16	<b>Update 6/30/16</b> -OCDD and Medicaid section began meeting in 6/2016 (specific dates noted in Stakeholder Engagement section of this plan-in the Convene Interagency group to manage planning process action item) to begin the NOW renewal process.

## B.OCDD Public Comments Received 4/1/16 – 6/30/16

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**OCDD Public Comments Received 4/1/2016-6/30/16—OCDD posted the Individual Experience Survey during this timeframe. The Support Coordinator Alliance submitted questions/comments concerning the identified process for completing this activity. State Office held a conference call to address all areas of concern and submitted responses in writing to their questions/concerns. See below for detailed information regarding their questions/comments related to the process.**

The Support Coordination Alliance would like to submit the following items for discussion for the telephone conference scheduled May 3, 2016, from 10:00 am to 12:00 pm:

1. Discuss OCDD’s timeline with this initiative so that we can work together to get the information needed for OCDD deliverables.

**State Office Response:**

**Timeline**-We appreciate that we are asking you all to complete this task in a very short timeframe. We had hoped to allow additional time to complete these surveys; however, we have to allow time to complete the surveys, crosswalk the information to the provider self-assessment and consolidate into an overall report identifying where we are at as a State. This report will have to be posted for stakeholder feedback for a minimum of 30 days and must be submitted to CMS with 9/30/16 update.

7/15-8/1/16—timeframe for State Office to consolidate and finalize overall report

8/1/16-8/31/16—Post overall report for stakeholder feedback

9/1/16-9/30/16—address public input and finalize report for submission to CMS

2. Timelines for the support coordination agency to complete the Individual Experience Assessment (Participant Experience Survey) and how it impacts the delivery of support coordination to individuals and their family two-thirds into a quarter. In some situations, an individual could have 3 home visits this quarter.

- Unannounced visit completed this quarter not part of the quarterly
- Quarterly visit completed this quarter
- Face-to-face visit for survey this quarter

**State Office Response:**

**See note above. To meet our established timelines, we have to accomplish in the above noted timeframe. In the future we will work diligently to align with your typical practices.**

3. This is the heart of when people take vacation so it may impact the person agreeing to schedule another appointment with their Support Coordinator this quarter.

**State Office Response:**

State Office will maintain a secondary list of participants. Once identified that someone will not be able to participate in the survey, the SC agency will send an email to State Office and a replacement will be identified and sent to the SC agency.

**Resources:** It will be up to the SC agency to determine the best way to accomplish this task. State Office is not requiring that the assigned SC has to complete the survey. This means your agency can opt to have the supervisors complete these surveys, assign the task to a specific set of SCs or have the assigned SC complete the task.

3. We would like to work with OCDD on future initiatives and the timelines for completion to minimize the impact on Home and Community Based participants and the operation of the Support Coordination Agency.

**State Office Response:**

We agree and would like to work collaboratively with SC agencies, Service Providers, and other Stakeholders to identify timelines for completion of future initiatives.

4. How large is the sample? What is 95 +/- statewide sample? Will the sample include largely the people that attend day habilitation or receive some type of employment services?

**State Office Response:**

95 +/- 5% confidence level are approximately 373 participants statewide. Of course it would not necessarily breakdown exactly like this, but we are looking at about 37 surveys per region to be completed over a 6-week period.

5. Can some groups of individuals be eliminated from the sample?

- Children's Choice Waiver only receive support coordination
- Supports Waiver only receive support coordination
- Non-verbal, severe/profound intellectual disability where caretaker makes all decisions for the individual
- Children's Choice Waiver where family oversees delivery of services in their home

**State Office Response:**

If a person selected does not receive in home services or vocational services, you will simply complete the demographic information and select the box N/A as they are not receiving any of the services. We cannot exclude children and/or more complex people to support. We will have to rely on their family or primary support care person to respond to the survey. We will discuss how questions might be modified when verbally asked during training opportunity that we will provide to SC agencies at the end of May.

6. Can a certain percentage be completed over the phone and not 100% of sample? Can we work together to determine the percentage that would be completed via telephone?

**State Office Response:**

The survey is designed to be completed face to face. We believe to get better information and assure that the person understands the questions being asked that the survey should be conducted face to face. The statewide sample is also not a large sample. So if we were to look at percentages to be completed by phone, we believe this would likely result in only allowing for a very small number to be completed by phone. We would like to propose that we plan to complete all of these face to face, but if the agency runs into a problem with scheduling any of the surveys face to face they can contact state office to discuss completion by phone.

7. Will it be acceptable for the Support Coordinator to interview individuals in day program/employment setting on-site if provider is willing to provide a private room to interview the person?

**State Office Response:**

Yes, you all can certainly conduct the interview on-site if you have agreement from the participant and the service providers as well as a private location to discuss the survey with them.

7. Instructions state that the provider can be present if person agrees. In some situations, we may not get accurate information as the person is unwilling to respond that their rights are restricted, or they don't like their current setting in front of the provider. The approach to this will dictate how/when the Support Coordinator schedules the appointment.

**State Office Response:**

Who is present for the survey is completely up to the participant. We are not requiring that the provider be present and the SCA should proceed with setting up the visits as appropriate. As a reminder, for instances in which the person is interdicted, etc. the SCA should make sure that the appropriate person is present for this meeting.

8. Some questions appear to want a specific answer for instance health may impact food choices. Do not see how that is captured in this survey.

**State Office Response:**

For many of the questions where these types of issues may arise there is a third response No, but supported by the person centered plan. For instances in which people do not have free access to food or other issues associated with health or safety reasons, these things should be noted in the plan of care. Responding by marking the box as no, but supported by plan of care the provider would not be considered non-compliant since they are following the plan of care. We plan to discuss this more in depth when we conduct webinar/training opportunity with the SCA.

9. In what format do we return the surveys to OCDD?

**State Office Response:**

The Survey itself is a word document with clickable checkboxes. Once completed, you can scan it if handwritten and email it or if completed in the actual word document the word doc can be emailed to Christy Johnson.

The Support Coordination Alliance would like to thank OCDD for this meeting to discuss the Support Coordination Agency role in the evaluation of the Home and Community Based Settings Rule. We want to assist in showing that Louisiana providers are in compliance with the new federal HCBS Setting rules that went into effect March 17, 2014.

## C. OCDD Summary of Comments Received 4/1/16 – 6/30/16

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The Support Coordination Alliance submitted questions/comments in the following areas:

1. Timelines for the support coordination agency to complete the Individual Experience Assessment surveys and how it impacts the delivery of support coordination to individuals and families.
2. Concerns with scheduling the surveys during vacation season.
3. Collaboration on future initiatives and timelines for completion.
4. Sample size and how calculated and population surveyed.
5. Telephone vs. face-to-face survey; acceptability of day program/employment setting on-site surveys; clarification on who is required to be present.
6. How to address choices that may compromise health.
7. Survey format.

### III. Louisiana Office of Behavioral Health A.OBH Update to Louisiana Work Plan Master

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Action	Date(s) Status	Plan Update Narrative
Convene interagency group to manage planning process	Began 9/22/14 and continuing through 3/2019	OBH participated in a HCBS TA webinar on 4/20/16. Interagency STP workgroup meetings were held on the following dates: 4/20/16 and 4/27/16.
Support ongoing stakeholder communications	Updated 5/20/16	Updated website with current status for STP.
Distribute participant/member survey.	Began 3/1/16 and ongoing through 2/28/17	Magellan distributed the member survey to the WAAs on 2/26/16. Through the monitoring process, WAAs will work with participants to distribute and complete the surveys through 2/28/17.
Conduct site visits	Began 3/1/16 and ongoing through 2/28/17	<p>In Q2, Magellan CSoC Coordinators reviewed 191 member records to ensure compliance with the HCBS requirements. Of those 191 records, all 191 members showed compliance with HCBS requirements for a compliance rate of 100%.</p> <p>In Q2, Magellan audited 19 waiver providers for compliance with HCBS Rule. All 19 providers showed compliance with all elements of the provider survey and credentialing process.</p>

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B. OBH Public Comments Received 4/1/16 – 6/30/16: No public comments were received in 2016 Q2.

C. Summary of Comments Received: 4/1/16 – 6/30/16: N/A

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