

Application for a §1915(c) Home and Community-Based Services Waiver

PURPOSE OF THE HCBS WAIVER PROGRAM

The Medicaid Home and Community-Based Services (HCBS) waiver program is authorized in §1915(c) of the Social Security Act. The program permits a state to furnish an array of home and community-based services that assist Medicaid beneficiaries to live in the community and avoid institutionalization. The State has broad discretion to design its waiver program to address the needs of the waivers target population. Waiver services complement and/or supplement the services that are available to participants through the Medicaid State plan and other federal, state and local public programs as well as the supports that families and communities provide.

The Centers for Medicare & Medicaid Services (CMS) recognizes that the design and operational features of a waiver program will vary depending on the specific needs of the target population, the resources available to the state, service delivery system structure, state goals and objectives, and other factors. A State has the latitude to design a waiver program that is cost-effective and employs a variety of service delivery approaches, including participant direction of services.

Request for a Renewal to a §1915(c) Home and Community-Based Services Waiver

1. Major Changes

Describe any significant changes to the approved waiver that are being made in this renewal application:

- Updated language under the waiver description
- Updated the number of unduplicated slots In Appendix B and J
- Updated B3f Selection of Entrants in to the waiver
- Updated the service taxonomy in Appendix C and added language in Individual Family Support regarding sharing across waivers, cap at 40 hours total for family members and added language regarding extraordinary care
- Updated QIS in Appendix A and I
- Updated Appendix G1b-Critical Incident reporting;G1c Participant Training and Education;G1d-Responsibility for Review of and Response to Critical Incidents; Update G1e-Responsibility for Oversight of Critical Incidents and Events
- Updated Appendix G QIS
- Updated C2d Provision of Personal Care or Similar Services by Legally Responsible Individuals.
- Updated Appendix C: Amended service definitions for Day Habilitation, Prevocational, Supported Employment
- Updated and renamed Community Integration and Development to Community Life engagement Development

Application for a §1915(c) Home and Community-Based Services Waiver

1. Request Information (1 of 3)

A. The State of Louisiana requests approval for a Medicaid home and community-based services (HCBS) waiver under the authority of §1915(c) of the Social Security Act (the Act).

B. Program Title (*optional - this title will be used to locate this waiver in the finder*):

New Opportunities Waiver (NOW)

C. Type of Request: renewal

Requested Approval Period:(*For new waivers requesting five year approval periods, the waiver must serve individuals who are dually eligible for Medicaid and Medicare.*)

3 years 5 years

Original Base Waiver Number: LA.0401

Draft ID: LA.007.04.00

D. Type of Waiver *(select only one):*

Regular Waiver

E. Proposed Effective Date: (mm/dd/yy)

01/01/22

PRA Disclosure Statement

The purpose of this application is for states to request a Medicaid Section 1915(c) home and community-based services (HCBS) waiver. Section 1915(c) of the Social Security Act authorizes the Secretary of Health and Human Services to waive certain specific Medicaid statutory requirements so that a state may voluntarily offer HCBS to state-specified target group(s) of Medicaid beneficiaries who need a level of institutional care that is provided under the Medicaid state plan. Under the Privacy Act of 1974 any personally identifying information obtained will be kept private to the extent of the law.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0938-0449 (Expires: December 31, 2023). The time required to complete this information collection is estimated to average 160 hours per response for a new waiver application and 75 hours per response for a renewal application, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, 7500 Security Boulevard, Attn: PRA Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850.

1. Request Information (2 of 3)

F. Level(s) of Care. This waiver is requested in order to provide home and community-based waiver services to individuals who, but for the provision of such services, would require the following level(s) of care, the costs of which would be reimbursed under the approved Medicaid state plan *(check each that applies):*

 Hospital

Select applicable level of care

 Hospital as defined in 42 CFR §440.10

If applicable, specify whether the state additionally limits the waiver to subcategories of the hospital level of care:

 Inpatient psychiatric facility for individuals age 21 and under as provided in 42 CFR §440.160 **Nursing Facility**

Select applicable level of care

 Nursing Facility as defined in 42 CFR ??440.40 and 42 CFR ??440.155

If applicable, specify whether the state additionally limits the waiver to subcategories of the nursing facility level of care:

 Institution for Mental Disease for persons with mental illnesses aged 65 and older as provided in 42 CFR §440.140 **Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID) (as defined in 42 CFR §440.150)**

If applicable, specify whether the state additionally limits the waiver to subcategories of the ICF/IID level of care:

1. Request Information (3 of 3)

G. Concurrent Operation with Other Programs. This waiver operates concurrently with another program (or programs) approved under the following authorities

Select one:

Not applicable

Applicable

Check the applicable authority or authorities:

Services furnished under the provisions of §1915(a)(1)(a) of the Act and described in Appendix I

Waiver(s) authorized under §1915(b) of the Act.

Specify the §1915(b) waiver program and indicate whether a §1915(b) waiver application has been submitted or previously approved:

Specify the §1915(b) authorities under which this program operates (*check each that applies*):

§1915(b)(1) (mandated enrollment to managed care)

§1915(b)(2) (central broker)

§1915(b)(3) (employ cost savings to furnish additional services)

§1915(b)(4) (selective contracting/limit number of providers)

A program operated under §1932(a) of the Act.

Specify the nature of the state plan benefit and indicate whether the state plan amendment has been submitted or previously approved:

A program authorized under §1915(i) of the Act.

A program authorized under §1915(j) of the Act.

A program authorized under §1115 of the Act.

Specify the program:

H. Dual Eligibility for Medicaid and Medicare.

Check if applicable:

This waiver provides services for individuals who are eligible for both Medicare and Medicaid.

2. Brief Waiver Description

Brief Waiver Description. *In one page or less*, briefly describe the purpose of the waiver, including its goals, objectives, organizational structure (e.g., the roles of state, local and other entities), and service delivery methods.

The New Opportunities Waiver (NOW), a 1915 c waiver, is designed to enhance the home and community-based supports and services available to individuals with developmental disabilities, who would otherwise require an intermediate care facility for the intellectual/developmentally disabled (ICF/IDD) level of care.

The mission of the NOW is to utilize the principle of self-determination and supplement the family and/or community supports while supporting dignity, quality of life, and security in the everyday lives of people while maintaining the individual in the community. Services provided in the New Opportunities Waiver are community-based, allowing a participant experience that mirrors the experiences of individuals without disabilities. These services are not to be restrictive, but liberating by allowing individuals to experience life in the most fulfilling manner as defined by the individual while still assuring health and safety to the greatest extent possible. In keeping with the principles of self-determination, NOW includes a Self-Direction option. This allows for greater flexibility in hiring, training, and general service delivery issues. The NOW offers an array of waiver services by which individuals can choose and are based on need. Services are offered statewide. Individualized and Family Support (IFS) is the only service offered with the Self-Direction option.

The objectives of the NOW are to:

- Promote independence for participants through the provision of services meeting the highest standards of quality and national best practices, while ensuring health and safety through a comprehensive system of participant safeguards;
- Offer an alternative to institutionalization and costly comprehensive services through the provision of an array of services and supports that promote community inclusion and independence by enhancing and not replacing existing informal networks;
- Support participants and their families to exercise their rights and share responsibility for their programs regardless of the method of service delivery; and
- Offer access to services on a short-term basis that would protect the health and safety of the participant if the family or other caregiver were unable to continue to provide care and supervision.

The Louisiana Department of Health (LDH) Bureau of Health Services Financing (BHSF) is the Single State agency which maintains administrative and supervisory oversight of the NOW. The department within BHSF which has oversight authority of the New Opportunities Waiver is the Medicaid Program Support and Waivers (MPSW) section. BHSF MPSW designates the authority for implementing the program(s) and for programmatic oversight of the waiver to the responsible entity, Office for Citizens with Developmental Disabilities (OCDD) with responsibility for day to day operations delegated to Human Services Authorities or Districts referred to as Local Governing Entities (LGE). This authority has been made through a Memorandum of Understanding between LDH BHSF Medicaid Program Support and Waivers and OCDD. A separate Memorandum of Understanding has also been established between BHSF Medicaid Program Support and Waivers and the Human Services Districts or Authorities (LGE).

Legislation passed in 2008, 2012, and 2013 created Human Services Districts or Authorities, referred to as local governing entities (LGEs). The LGEs are the regional arm of OCDD to direct the operation and management of services for developmental disabilities. There are ten LGE offices within the state of Louisiana who manage the day to day operations of the NOW for citizens within their geographic location.

Services are accessed through a single point of entry in the LGE. When criteria are met, individual's names are placed on the registry and a screening of urgency of need (SUN) is completed. Individuals determined to have current unmet needs as defined as a SUN score of urgent [3] or emergent [4] are offered a waiver opportunity. All waiver participants choose their Support Coordination and Direct Service Provider Agencies through the Freedom of Choice process. As part of OCDD's Tiered Waiver approach, all children under age 22 enter the waiver system into the Children's Choice Waiver and all adults enter into the Supports Waiver. A person-centered planning process, which includes completion of a needs-based assessment, is utilized during the initial phase to develop the individual's life vision/goals and develop support strategies and identify services/supports needed. If an individual's needs cannot be met with the initial waiver they may request moving up to the next waiver in the Tiers. The NOW is the final Tier within the OCDD Tiered Waiver process. The initial plan of care (POC) is developed during this person-centered planning process and approved by the LGE. Case Management Agencies are designated as Support Coordination agencies throughout this application. All services must be prior authorized and delivered in accordance with the approved plan of care. Prior authorization is completed by a contracted data source with LDH. The average participant's expenditures for all waiver services shall not exceed the average Medicaid expenditures for ICF/IDD services.

3. Components of the Waiver Request

The waiver application consists of the following components. *Note: Item 3-E must be completed.*

A. Waiver Administration and Operation. Appendix A specifies the administrative and operational structure of this

waiver.

B. Participant Access and Eligibility. Appendix B specifies the target group(s) of individuals who are served in this waiver, the number of participants that the state expects to serve during each year that the waiver is in effect, applicable Medicaid eligibility and post-eligibility (if applicable) requirements, and procedures for the evaluation and reevaluation of level of care.

C. Participant Services. Appendix C specifies the home and community-based waiver services that are furnished through the waiver, including applicable limitations on such services.

D. Participant-Centered Service Planning and Delivery. Appendix D specifies the procedures and methods that the state uses to develop, implement and monitor the participant-centered service plan (of care).

E. Participant-Direction of Services. When the state provides for participant direction of services, **Appendix E** specifies the participant direction opportunities that are offered in the waiver and the supports that are available to participants who direct their services. (*Select one*):

- Yes. This waiver provides participant direction opportunities. Appendix E is required.**
- No. This waiver does not provide participant direction opportunities. Appendix E is not required.**

F. Participant Rights. Appendix F specifies how the state informs participants of their Medicaid Fair Hearing rights and other procedures to address participant grievances and complaints.

G. Participant Safeguards. Appendix G describes the safeguards that the state has established to assure the health and welfare of waiver participants in specified areas.

H. Quality Improvement Strategy. Appendix H contains the Quality Improvement Strategy for this waiver.

I. Financial Accountability. Appendix I describes the methods by which the state makes payments for waiver services, ensures the integrity of these payments, and complies with applicable federal requirements concerning payments and federal financial participation.

J. Cost-Neutrality Demonstration. Appendix J contains the state's demonstration that the waiver is cost-neutral.

4. Waiver(s) Requested

A. Comparability. The state requests a waiver of the requirements contained in §1902(a)(10)(B) of the Act in order to provide the services specified in **Appendix C** that are not otherwise available under the approved Medicaid state plan to individuals who: (a) require the level(s) of care specified in Item 1.F and (b) meet the target group criteria specified in **Appendix B**.

B. Income and Resources for the Medically Needy. Indicate whether the state requests a waiver of §1902(a)(10)(C)(i)(III) of the Act in order to use institutional income and resource rules for the medically needy (*select one*):

- Not Applicable
- No
- Yes

C. Statewide. Indicate whether the state requests a waiver of the statewide requirements in §1902(a)(1) of the Act (*select one*):

- No
- Yes

If yes, specify the waiver of statewide requirements that is requested (*check each that applies*):

- Geographic Limitation.** A waiver of statewide requirements is requested in order to furnish services under this waiver only to individuals who reside in the following geographic areas or political subdivisions of the state. *Specify the areas to which this waiver applies and, as applicable, the phase-in schedule of the waiver by geographic area:*

- Limited Implementation of Participant-Direction.** A waiver of statewideness is requested in order to make *participant-direction of services* as specified in **Appendix E** available only to individuals who reside in the following geographic areas or political subdivisions of the state. Participants who reside in these areas may elect to direct their services as provided by the state or receive comparable services through the service delivery methods that are in effect elsewhere in the state.

Specify the areas of the state affected by this waiver and, as applicable, the phase-in schedule of the waiver by geographic area:

5. Assurances

In accordance with 42 CFR §441.302, the state provides the following assurances to CMS:

- A. Health & Welfare:** The state assures that necessary safeguards have been taken to protect the health and welfare of persons receiving services under this waiver. These safeguards include:
1. As specified in **Appendix C**, adequate standards for all types of providers that provide services under this waiver;
 2. Assurance that the standards of any state licensure or certification requirements specified in **Appendix C** are met for services or for individuals furnishing services that are provided under the waiver. The state assures that these requirements are met on the date that the services are furnished; and,
 3. Assurance that all facilities subject to §1616(e) of the Act where home and community-based waiver services are provided comply with the applicable state standards for board and care facilities as specified in **Appendix C**.
- B. Financial Accountability.** The state assures financial accountability for funds expended for home and community-based services and maintains and makes available to the Department of Health and Human Services (including the Office of the Inspector General), the Comptroller General, or other designees, appropriate financial records documenting the cost of services provided under the waiver. Methods of financial accountability are specified in **Appendix I**.
- C. Evaluation of Need:** The state assures that it provides for an initial evaluation (and periodic reevaluations, at least annually) of the need for a level of care specified for this waiver, when there is a reasonable indication that an individual might need such services in the near future (one month or less) but for the receipt of home and community-based services under this waiver. The procedures for evaluation and reevaluation of level of care are specified in **Appendix B**.
- D. Choice of Alternatives:** The state assures that when an individual is determined to be likely to require the level of care specified for this waiver and is in a target group specified in **Appendix B**, the individual (or, legal representative, if applicable) is:
1. Informed of any feasible alternatives under the waiver; and,
 2. Given the choice of either institutional or home and community-based waiver services. **Appendix B** specifies the procedures that the state employs to ensure that individuals are informed of feasible alternatives under the waiver and given the choice of institutional or home and community-based waiver services.
- E. Average Per Capita Expenditures:** The state assures that, for any year that the waiver is in effect, the average per capita expenditures under the waiver will not exceed 100 percent of the average per capita expenditures that would have been made under the Medicaid state plan for the level(s) of care specified for this waiver had the waiver not been granted. Cost-neutrality is demonstrated in **Appendix J**.
- F. Actual Total Expenditures:** The state assures that the actual total expenditures for home and community-based waiver and other Medicaid services and its claim for FFP in expenditures for the services provided to individuals under the waiver will not, in any year of the waiver period, exceed 100 percent of the amount that would be incurred in the absence of the waiver by the state's Medicaid program for these individuals in the institutional setting(s) specified for this waiver.

- G. Institutionalization Absent Waiver:** The state assures that, absent the waiver, individuals served in the waiver would receive the appropriate type of Medicaid-funded institutional care for the level of care specified for this waiver.
- H. Reporting:** The state assures that annually it will provide CMS with information concerning the impact of the waiver on the type, amount and cost of services provided under the Medicaid state plan and on the health and welfare of waiver participants. This information will be consistent with a data collection plan designed by CMS.
- I. Habilitation Services.** The state assures that prevocational, educational, or supported employment services, or a combination of these services, if provided as habilitation services under the waiver are: (1) not otherwise available to the individual through a local educational agency under the Individuals with Disabilities Education Act (IDEA) or the Rehabilitation Act of 1973; and, (2) furnished as part of expanded habilitation services.
- J. Services for Individuals with Chronic Mental Illness.** The state assures that federal financial participation (FFP) will not be claimed in expenditures for waiver services including, but not limited to, day treatment or partial hospitalization, psychosocial rehabilitation services, and clinic services provided as home and community-based services to individuals with chronic mental illnesses if these individuals, in the absence of a waiver, would be placed in an IMD and are: (1) age 22 to 64; (2) age 65 and older and the state has not included the optional Medicaid benefit cited in 42 CFR §440.140; or (3) age 21 and under and the state has not included the optional Medicaid benefit cited in 42 CFR § 440.160.

6. Additional Requirements

Note: Item 6-I must be completed.

- A. Service Plan.** In accordance with 42 CFR §441.301(b)(1)(i), a participant-centered service plan (of care) is developed for each participant employing the procedures specified in **Appendix D**. All waiver services are furnished pursuant to the service plan. The service plan describes: (a) the waiver services that are furnished to the participant, their projected frequency and the type of provider that furnishes each service and (b) the other services (regardless of funding source, including state plan services) and informal supports that complement waiver services in meeting the needs of the participant. The service plan is subject to the approval of the Medicaid agency. Federal financial participation (FFP) is not claimed for waiver services furnished prior to the development of the service plan or for services that are not included in the service plan.
- B. Inpatients.** In accordance with 42 CFR §441.301(b)(1)(ii), waiver services are not furnished to individuals who are inpatients of a hospital, nursing facility or ICF/IID.
- C. Room and Board.** In accordance with 42 CFR §441.310(a)(2), FFP is not claimed for the cost of room and board except when: (a) provided as part of respite services in a facility approved by the state that is not a private residence or (b) claimed as a portion of the rent and food that may be reasonably attributed to an unrelated caregiver who resides in the same household as the participant, as provided in **Appendix I**.
- D. Access to Services.** The state does not limit or restrict participant access to waiver services except as provided in **Appendix C**.
- E. Free Choice of Provider.** In accordance with 42 CFR §431.151, a participant may select any willing and qualified provider to furnish waiver services included in the service plan unless the state has received approval to limit the number of providers under the provisions of §1915(b) or another provision of the Act.
- F. FFP Limitation.** In accordance with 42 CFR §433 Subpart D, FFP is not claimed for services when another third-party (e.g., another third party health insurer or other federal or state program) is legally liable and responsible for the provision and payment of the service. FFP also may not be claimed for services that are available without charge, or as free care to the community. Services will not be considered to be without charge, or free care, when (1) the provider establishes a fee schedule for each service available and (2) collects insurance information from all those served (Medicaid, and non-Medicaid), and bills other legally liable third party insurers. Alternatively, if a provider certifies that a particular legally liable third party insurer does not pay for the service(s), the provider may not generate further bills for that insurer for that annual period.
- G. Fair Hearing:** The state provides the opportunity to request a Fair Hearing under 42 CFR §431 Subpart E, to individuals: (a) who are not given the choice of home and community-based waiver services as an alternative to institutional level of care specified for this waiver; (b) who are denied the service(s) of their choice or the provider(s) of their choice; or (c) whose services are denied, suspended, reduced or terminated. **Appendix F** specifies the state's procedures to provide

individuals the opportunity to request a Fair Hearing, including providing notice of action as required in 42 CFR §431.210.

H. Quality Improvement. The state operates a formal, comprehensive system to ensure that the waiver meets the assurances and other requirements contained in this application. Through an ongoing process of discovery, remediation and improvement, the state assures the health and welfare of participants by monitoring: (a) level of care determinations; (b) individual plans and services delivery; (c) provider qualifications; (d) participant health and welfare; (e) financial oversight and (f) administrative oversight of the waiver. The state further assures that all problems identified through its discovery processes are addressed in an appropriate and timely manner, consistent with the severity and nature of the problem. During the period that the waiver is in effect, the state will implement the Quality Improvement Strategy specified in **Appendix H**.

I. Public Input. Describe how the state secures public input into the development of the waiver:

The Louisiana Department of Health, Bureau of Health Services Financing and the Office for Citizens with Developmental Disabilities (OCDD) currently provide home and community-based services through the New Opportunities Waiver (NOW) to eligible Medicaid recipients.

The department hereby gives public notice of its intent to seek approval from the U.S. Department of Health and Human Services, Centers for Medicare and Medicaid Services (CMS) in order to request a renewal application of the New Opportunities Waiver.

In compliance with CMS requirements, the Office for Citizens with Developmental Disabilities is posting the New Opportunities Waiver Amendment for public comment from July 21, 2021 through August 20, 2021. CMS regulations require the Louisiana Department of Health to actively engage the public and give program participants, advocates, providers and other community stakeholders the chance to provide input regarding changes made to current waiver applications prior to submission of final versions to CMS.

The New Opportunities Waiver Amendment is posted to the Office for Citizens with Developmental Disabilities website and may be accessed at the following address: <http://dhh.louisiana.gov/index.cfm/page/2526>. A hard copy of the application is available for viewing at the Human Services District/Authority (HSD/A) in your region. The HSD/A in your region can be found at: <http://new.dhh.louisiana.gov/index.cfm/page/134>, or by calling 866-783-5553.

Implementation of the provisions of this waiver renewal is contingent upon CMS approval.

Interested persons may submit written comments to the Office for Citizens with Developmental Disabilities, P.O. Box 3117 (Bin #21), Baton Rouge, LA 70821-3117 or by email to ocdd-hcbs@la.gov. The deadline for receipt of all written comments is August xx, 2021 by 4:30 p.m.

J. Notice to Tribal Governments. The state assures that it has notified in writing all federally-recognized Tribal Governments that maintain a primary office and/or majority population within the State of the State's intent to submit a Medicaid waiver request or renewal request to CMS at least 60 days before the anticipated submission date is provided by Presidential Executive Order 13175 of November 6, 2000. Evidence of the applicable notice is available through the Medicaid Agency.

K. Limited English Proficient Persons. The state assures that it provides meaningful access to waiver services by Limited English Proficient persons in accordance with: (a) Presidential Executive Order 13166 of August 11, 2000 (65 FR 50121) and (b) Department of Health and Human Services "Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons" (68 FR 47311 - August 8, 2003). **Appendix B** describes how the state assures meaningful access to waiver services by Limited English Proficient persons.

7. Contact Person(s)

A. The Medicaid agency representative with whom CMS should communicate regarding the waiver is:

Last Name:

Bennett

First Name:

Brian

Title:

Agency: Medicaid Program Support and Waivers Section Chief

Address: Bureau of Health Services Financing

Address 2: 628 North 4th Street

City: Baton Rouge

State: Louisiana

Zip: 70821-9030

Phone: (225) 342-9846 Ext: TTY

Fax: (225) 342-9168

E-mail: Brian.Bennett@la.gov

B. If applicable, the state operating agency representative with whom CMS should communicate regarding the waiver is:

Last Name: Hagan

First Name: Julie

Title: Assistant Secretary

Agency: Office for Citizens with Developmental Disabilities

Address: 628 North 4th Street

Address 2: P.O. Box 3117

City: Baton Rouge

State: Louisiana

Zip: 70821-3117

Phone: (225) 342-0095 Ext: TTY

Fax:

(225) 342-8823

E-mail:

Julie.Hagan@LA.GOV

8. Authorizing Signature

This document, together with Appendices A through J, constitutes the state's request for a waiver under §1915(c) of the Social Security Act. The state assures that all materials referenced in this waiver application (including standards, licensure and certification requirements) are **readily** available in print or electronic form upon request to CMS through the Medicaid agency or, if applicable, from the operating agency specified in Appendix A. Any proposed changes to the waiver will be submitted by the Medicaid agency to CMS in the form of waiver amendments.

Upon approval by CMS, the waiver application serves as the state's authority to provide home and community-based waiver services to the specified target groups. The state attests that it will abide by all provisions of the approved waiver and will continuously operate the waiver in accordance with the assurances specified in Section 5 and the additional requirements specified in Section 6 of the request.

Signature:

State Medicaid Director or Designee

Submission Date:

Note: The Signature and Submission Date fields will be automatically completed when the State Medicaid Director submits the application.

Last Name:

Bennett

First Name:

Brian

Title:

Section Chief

Agency:

Bureau of Health Services Financing

Address:

P.O. Box 91030 Bin 24

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Attachments

Brian.Bennett@la.gov

Attachment #1: Transition Plan

Check the box next to any of the following changes from the current approved waiver. Check all boxes that apply.

- Replacing an approved waiver with this waiver.
- Combining waivers.
- Splitting one waiver into two waivers.
- Eliminating a service.
- Adding or decreasing an individual cost limit pertaining to eligibility.
- Adding or decreasing limits to a service or a set of services, as specified in Appendix C.
- Reducing the unduplicated count of participants (Factor C).
- Adding new, or decreasing, a limitation on the number of participants served at any point in time.
- Making any changes that could result in some participants losing eligibility or being transferred to another waiver under 1915(c) or another Medicaid authority.
- Making any changes that could result in reduced services to participants.

Specify the transition plan for the waiver:

Attachment #2: Home and Community-Based Settings Waiver Transition Plan

Specify the state's process to bring this waiver into compliance with federal home and community-based (HCB) settings requirements at 42 CFR 441.301(c)(4)-(5), and associated CMS guidance.

Consult with CMS for instructions before completing this item. This field describes the status of a transition process at the point in time of submission. Relevant information in the planning phase will differ from information required to describe attainment of milestones.

To the extent that the state has submitted a statewide HCB settings transition plan to CMS, the description in this field may reference that statewide plan. The narrative in this field must include enough information to demonstrate that this waiver complies with federal HCB settings requirements, including the compliance and transition requirements at 42 CFR 441.301(c)(6), and that this submission is consistent with the portions of the statewide HCB settings transition plan that are germane to this waiver. Quote or summarize germane portions of the statewide HCB settings transition plan as required.

Note that Appendix C-5 HCB Settings describes settings that do not require transition; the settings listed there meet federal HCB setting requirements as of the date of submission. Do not duplicate that information here.

Update this field and Appendix C-5 when submitting a renewal or amendment to this waiver for other purposes. It is not necessary for the state to amend the waiver solely for the purpose of updating this field and Appendix C-5. At the end of the state's HCB settings transition process for this waiver, when all waiver settings meet federal HCB setting requirements, enter "Completed" in this field, and include in Section C-5 the information on all HCB settings in the waiver.

The state assures that this waiver amendment or renewal will be subject to any provisions or requirements included in the state's most recent and/or approved home and community-based settings Statewide Transition Plan. The state will implement any required changes by the end of the transition period as outlined in the home and community-based settings Statewide Transition Plan.

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

Proposal to CMS for Composite Sampling for four Office for Citizens with Developmental Disabilities' Waivers
As operating agency for four of Louisiana's 1915c waivers, the Office for Citizens with Developmental Disabilities (OCDD) has submitted to Medicaid the following proposal for use of a Composite Sample for the New Opportunities Waiver (NOW), the Children's Choice Waiver (CC Waiver), the Supports Waiver (SW), and the Residential Options Waiver (ROW). All four waivers serve the same OCDD population.

The five conditions listed in the August 13, 2013 CMS presentation, Improvements in 1915c Waiver quality Requirements, are met as follows.

The NOW, CCW, ROW, and SW waivers:

1. Share the same design.
2. Share similarity across approved Waiver Application Appendices: C, D, G and H.
3. Share a Cross-Waiver Quality management approach including: Methodology for discovering information (e.g., data systems, sample selection); manner in which individual issues are remedied; process for identifying & analyzing patterns/trends; and the majority of Performance Measures are the same.
4. The provider network is very similar.
5. Provider oversight is very similar.

OCDD agrees with the rationale that when waivers are managed and monitored similarly, discovery and improvement results for the "system" are expected to be the same as for each individual waiver. The use of composite sampling across the OCDD populations are expected to result in more efficient discovery methods and more efficient implementation of systemic improvements.

OCDD proposes to submit evidence reports utilizing composite sampling for all waivers operated within the department. We propose the following:

1. The discovery process derived from representative sampling occurs from January 1 through December 31 of each year beginning 1/1/2018. This discovery period will reflect the discovery data for NOW year 1, the ROW waiver year 4 and SW and CC waiver year 3 and will be performed as the first composite sample. The first year of data will not be a full year due to the time required to fully implement the new process.
2. Amend the Children's Choice Waiver, ROW, and SW to align the performance indicators with the NOW to be effective 1/1/2018.
3. The "sample years" for all waivers will be maintained as calendar years.
4. Evidence reports
 - A. ROW, Supports Waiver (SW), and Children's Choice (CC) Waiver Evidence Reports for Waiver Years 1 – 3 have been submitted as single waiver data.
 - B. ROW, SW and CC Waiver data for waiver years 4 and 5 will be composite sample data.
 - C. NOW Evidence Report will utilize composite sample data for all waiver years.
5. For all of the performance measures derived from the composite sample, performance measures will be reported for the sample and not by waiver.
6. For performance measures with 100% data available, reports will continue to be generated on the separate waiver populations.
7. The composite sample will be a simple random sample selected from the consolidated NOW, SW, ROW, and CC Waiver populations and utilizing credible sampling parameters which ensures representative distribution across LGEs and support coordination agencies.
8. Reports will be generated and analyzed by the state according to the waiver application but at least annually.
9. The sub-assurance changes described in the August 13, 2013 CMS Presentation, Improvements in 1915c Waiver Quality Requirements, will be implemented for all waivers with the amendments submitted to allow for composite sampling.

Appendix A: Waiver Administration and Operation

1. State Line of Authority for Waiver Operation. Specify the state line of authority for the operation of the waiver (*select one*):

- The waiver is operated by the state Medicaid agency.**

Specify the Medicaid agency division/unit that has line authority for the operation of the waiver program (*select one*):

- The Medical Assistance Unit.**

Specify the unit name:

(Do not complete item A-2)

- Another division/unit within the state Medicaid agency that is separate from the Medical Assistance Unit.**

Specify the division/unit name. This includes administrations/divisions under the umbrella agency that has been identified as the Single State Medicaid Agency.

(Complete item A-2-a).

- The waiver is operated by a separate agency of the state that is not a division/unit of the Medicaid agency.**

Specify the division/unit name:

The Office for Citizens with Developmental Disabilities

In accordance with 42 CFR §431.10, the Medicaid agency exercises administrative discretion in the administration and supervision of the waiver and issues policies, rules and regulations related to the waiver. The interagency agreement or memorandum of understanding that sets forth the authority and arrangements for this policy is available through the Medicaid agency to CMS upon request. *(Complete item A-2-b).*

Appendix A: Waiver Administration and Operation

2. Oversight of Performance.

a. Medicaid Director Oversight of Performance When the Waiver is Operated by another Division/Unit within the State Medicaid Agency. When the waiver is operated by another division/administration within the umbrella agency designated as the Single State Medicaid Agency. Specify (a) the functions performed by that division/administration (i.e., the Developmental Disabilities Administration within the Single State Medicaid Agency), (b) the document utilized to outline the roles and responsibilities related to waiver operation, and (c) the methods that are employed by the designated State Medicaid Director (in some instances, the head of umbrella agency) in the oversight of these activities:

As indicated in section 1 of this appendix, the waiver is not operated by another division/unit within the State Medicaid agency. Thus this section does not need to be completed.

b. Medicaid Agency Oversight of Operating Agency Performance. When the waiver is not operated by the Medicaid agency, specify the functions that are expressly delegated through a memorandum of understanding (MOU) or other written document, and indicate the frequency of review and update for that document. Specify the methods that the Medicaid agency uses to ensure that the operating agency performs its assigned waiver operational and administrative functions in accordance with waiver requirements. Also specify the frequency of Medicaid agency assessment of operating agency performance:

BHSF and OCDD have a common and concurrent interest in providing Medicaid eligible individuals access to waivers and other identified services through qualified providers, while ensuring the integrity of the Medicaid program is maintained.

The State Medicaid Agency, BHSF, and the operating agency, OCDD, have an Interagency Agreement (IA) defining the responsibilities of each. The IA is to be reviewed yearly and updated as necessary. Among other activities, this interagency agreement requires BHSF and OCDD to meet quarterly to evaluate the waiver program and initiate necessary changes to policy and/or reimbursement rates and to meet quarterly with the Division of Health Economics to review the financial accountability reports for the waiver program.

There are ten Local Governing Entities (LGE) offices within the state of Louisiana which contract with BHSF to perform regional waiver operation functions for the OCDD waivers as delegated and described in the CMS approved waiver document. The LGE waiver offices perform under the guidance and supervision of OCDD, the state waiver operating agency. The LGE must comply with all regional Quality Improvement Strategy activities as described in the approved waiver document. Both the state operating agency (OCDD) and each of the regional operating entities (LGEs) share responsibility to meet the federally mandated assurances and sub-assurances for: Level of Care; Service Plan; and Health and Welfare. The contract agreements with the LGEs are to be reviewed yearly and updated as necessary.

To ensure compliance with federal regulations governing waivers, BHSF created the Medicaid Program Support and Waivers Section (MPSW) which oversees the administration of the Medicaid Home and Community Based Services (HCBS) programs operated by OCDD and the Office of Aging and Adult Services (OAAS). Oversight is completed under the direction of the Medicaid Program Support and Waivers Section Chief.

Medicaid oversight of operating agency performance is facilitated through the following committees:

LDH Variance Committee – meets at least quarterly to review financial utilization and expenditure performance of all OCDD waivers. Members are composed of representatives from OCDD, Division of Health Economics, and MPSW.

Medicaid HCBS Oversight Committee - meets at least quarterly with the specific purpose to ensure proper oversight of the OAAS and OCDD operated HCBS Medicaid programs. Goals are to review current performance reports, determine need for new activities concerning quality and oversight in waiver programs and ensure adequate remediation enforcement. Quality recommendations or issues which cannot be resolved at this level are placed on the agenda of the Medicaid/Program Offices Quarterly Meeting. Members include HCBS quality management staff from MPSW and OCDD and it is chaired by the MPSW Section Chief or designee. The committee meets at least quarterly with the following standing agenda items:

- OCDD operating agency staff present their analysis of all performance measure findings, remediation activities and systemic improvements to MPSW as defined in the 1915(c) waiver quality strategy;
- MPSW Section Chief or designee indicates approval or disapproval of quarterly/annual data and activities;
- Based on evidence presented, MPSW staff provides technical assistance, guidance and support to the operating agency staff;
- MPSW performs administrative oversight functions for OCDD HCBS programs.

Medicaid/Program Offices Quarterly Meeting – Convenes at least quarterly to perform executive level oversight of the performance of HCBS waivers, assure their effectiveness and efficiency, and discuss any other programmatic issues common to the program offices and Medicaid. Goals are to act upon issues and recommendations received from the Medicaid HCBS Oversight Committee and other HCBS workgroups. This meeting is a forum for executive level problem resolution, planning, and development of quality redesign strategies. Members include representatives from MPSW, the Medicaid Director or Deputy Director, the OCDD Assistant Secretary, and other designated staff.

MPSW/OCDD/HCBS Data Contactor Meetings– MPSW facilitates monthly meetings with OCDD and the Medicaid data contractor to discuss waiver issues, problems, and situations which have arisen and do not comport with program policy. At these meetings solutions are formulated, corrective actions are agreed upon, follow-up implemented by OCDD as necessary in the form of internal policy or provider policy.

Ad Hoc Cross-Population HCBS Oversight Meetings - Additional meetings will be held jointly between MPSW, OCDD and the Office of Aging and Adult Services on an as needed basis for the following purposes:

- Collaborate on design and implementation of a robust system of cross- population continuous quality improvement;
- Present Quality Improvement Projects (QIP);
- Share ongoing communication of what works, doesn't work, and best practices.

Oversight specific to each Appendix A-7 function delegated to OCDD:

1. Participant waiver enrollment – BHSF maintains supervision by approving the process for entry of individuals into the waiver. Supervision of compliant entry processes occurs during the monthly MPSW/OCDD/HCBS Data Contactor Meetings.
2. Waiver enrollment managed against approved limits –The variance committee meets quarterly to manage waiver enrollment against approved limits. This committee is composed of representatives from OCDD, LDH’s Division of Health Economics, and MPSW. This function is accomplished through the review of ongoing data reports received through the Medicaid data contractor and Medicaid Management Information Systems (MMIS). These data reports include the number of participants receiving services, exiting the waiver, offered a waiver opportunity, waiver closure summary, admissions summary, level of care intake, acute care utilization, and waiver expenditures.
3. Waiver expenditures managed against approved levels– MPSW is responsible for completing the annual CMS-372 report utilizing data, submitting it to OCDD for review, and submitting to the Medicaid Director for final approval prior to submission. The variance committee meets quarterly to manage waiver expenditures against approved limits. This committee is composed of representatives from OCDD, LDH’s Division of Health Economics, and MPSW. This function is accomplished through the review of ongoing data reports received through the Medicaid data contractor and MMIS. These data reports include the number of participants receiving services, exiting the waiver, offered a waiver opportunity, waiver closure summary, admissions summary, level of care intake, acute care utilization, and waiver expenditures. The variance committee discusses waiver administration and reviews financial participation and budget forecasts in order to determine if any adjustments are needed.
4. Level of care evaluation – OCDD is responsible for submitting aggregated reports on level of care assurances to BHSF on an established basis as described in the Appendix B Quality Improvement Strategy (QIS) of the waiver application. OCDD formally presents level of care performance measures findings/remediation actions to MPSW via the Medicaid HCBS Oversight Committee.
5. Review participant service plans- OCDD is responsible for submitting aggregated reports on service plan assurances to BHSF on an established basis as specified in Appendix D of the waiver application. OCDD formally presents service plan performance measures findings/remediation actions to MPSW via the Medicaid HCBS Oversight Committee.
6. Prior authorization of waiver services - To ensure that payments are accurate for the services rendered OCDD monitors and oversees the requirements of the provider through the prior authorization process and the approved plan of care (POC). BHSF oversees OCDD’s exercise of prior authorization activities through reports issued by the Medicaid data contractor and through monthly MPSW/OCDD/HCBS Data Contactor Meetings. System changes related to claims processing and prior authorization can only be facilitated by BHSF. OCDD formally presents service plan performance measure findings/remediation actions to MPSW quarterly via the Medicaid HCBS Oversight Committee as described in Appendix D: QIS sub-assurance c.
7. Utilization management – Reports are generated quarterly from the Medicaid data contractor which include: number of participants who received all types of services specified in their service plan and number of participants who received services in the amount, frequency, and duration specified in the service plan. OCDD reviews these reports for trends and patterns of under-utilization of services. OCDD formally presents service plan performance measure findings/remediation actions to MPSW quarterly via the Medicaid HCBS Oversight Committee as described in Appendix D: QIS sub-assurance d.
8. Establishment of a statewide rate methodology - BHSF determines all waiver payment amounts/rates in collaboration with OCDD, Division of Health Economics, and as necessary the Rate & Audit section. MPSW monitors adherence to the rate methodology as described in Appendix I QIS.
9. Rules, policies, procedures, and information development governing the waiver program – OCDD develops and implements written policies and procedures to operate the waiver and must obtain BHSF approval prior to release of any rulemaking, provider notices, waiver amendments/requests or policy changes. BHSF develops and distributes brochures, flyers, and other informational material regarding available programs to Louisiana citizens. BHSF oversees the website information, as well as communication distribution via Help Lines regarding waiver

eligibility and policy administration.

10. Quality assurance and quality improvement activities - To ensure compliance with federal regulations governing waivers, BHSF created the Medicaid Program Support and Waivers (MPSW) Section to oversee the administration of all Louisiana Medicaid waiver programs. Monitoring is completed under the direction of the MPSW Section Chief. The MPSW Section, through performance measures listed in the Quality Improvement Strategy (QIS) and systems described in Appendix H, ensures that OCDD performs its assigned waiver operational functions including participant health and welfare assurances in accordance with this document. OCDD formally presents performance measures findings/remediation actions to MPSW quarterly via the Medicaid HCBS Oversight Committee.

Appendix A: Waiver Administration and Operation

3. Use of Contracted Entities. Specify whether contracted entities perform waiver operational and administrative functions on behalf of the Medicaid agency and/or the operating agency (if applicable) (*select one*):

- Yes. Contracted entities perform waiver operational and administrative functions on behalf of the Medicaid agency and/or operating agency (if applicable).**

Specify the types of contracted entities and briefly describe the functions that they perform. *Complete Items A-5 and A-6.:*

Medicaid Data/Prior Authorization Contractor - The Medicaid data contractor compiles and aggregates data on plans of care, such as date the initial plan is submitted and approved, date the annual POC is approved, and date the POC is received by the regional office. The Medicaid data contractor also compiles and aggregates data on support coordination, provider services, waiver slots (both occupied and vacant); compiles and aggregates information on time lines, offerings of waiver slots and linkages to support coordination agencies; compiles and aggregates data on the Waiver certification process; provides prior authorization functions; maintains the Request for Services Registry(RFSR); issues freedom of choice forms to the participant/family members to allow selection of a Support Coordination Agency; collects data from providers and provides various notifications to providers upon direction of OCDD or BHSF.

Fiscal/Employer Agent - The fiscal agent ensures participants' prior authorized service limits for self-directed services are not exceeded and processes employer-related payroll and necessary federal and state taxes on behalf of Self-Direction participants.

Support Coordination Agencies - Support coordination agencies enrolled in Medicaid to serve participants in the NOW perform delegated operational functions for level of care re-evaluation as described in B-6.f. and for review of participant service plans as described in D-1.d.

Provider Enrollment Contractor – The Provider Enrollment unit of the Fiscal Intermediary Contractor performs fee –for-service provider enrollment and execution of Medicaid provider agreements on behalf of Medicaid.

- No. Contracted entities do not perform waiver operational and administrative functions on behalf of the Medicaid agency and/or the operating agency (if applicable).**

Appendix A: Waiver Administration and Operation

4. Role of Local/Regional Non-State Entities. Indicate whether local or regional non-state entities perform waiver operational and administrative functions and, if so, specify the type of entity (*Select One*):

- Not applicable**
- Applicable** - Local/regional non-state agencies perform waiver operational and administrative functions.

Check each that applies:

- Local/Regional non-state public agencies** perform waiver operational and administrative functions at the local or regional level. There is an **interagency agreement or memorandum of understanding** between the State and these agencies that sets forth responsibilities and performance requirements for these agencies that is available through the Medicaid agency.

Specify the nature of these agencies and complete items A-5 and A-6:

- Local/Regional non-governmental non-state entities** conduct waiver operational and administrative functions at the local or regional level. There is a contract between the Medicaid agency and/or the operating agency (when authorized by the Medicaid agency) and each local/regional non-state entity that sets forth the responsibilities and performance requirements of the local/regional entity. The **contract(s)** under which private entities conduct waiver operational functions are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Specify the nature of these entities and complete items A-5 and A-6:

Appendix A: Waiver Administration and Operation

- 5. Responsibility for Assessment of Performance of Contracted and/or Local/Regional Non-State Entities.** Specify the state agency or agencies responsible for assessing the performance of contracted and/or local/regional non-state entities in conducting waiver operational and administrative functions:

The Louisiana Department of Health (LDH) Bureau of Health Services Financing (BHSF), with input from the operating agency, is responsible for assessing the performance of the Medicaid Data/Prior Authorization Contractor, Fiscal Employer Agent, Support Coordination Agencies and Provider Enrollment Contractor.

Appendix A: Waiver Administration and Operation

- 6. Assessment Methods and Frequency.** Describe the methods that are used to assess the performance of contracted and/or local/regional non-state entities to ensure that they perform assigned waiver operational and administrative functions in accordance with waiver requirements. Also specify how frequently the performance of contracted and/or local/regional non-state entities is assessed:

Medicaid Data/Prior Authorization Contractor - The Medicaid contract monitor for the Medicaid Data/Prior Authorization Contractor reviews monthly a report tracking volume and timelines for contract activities and deliverables in the previous month. This report includes support coordination linkages, period of time between linkage and service delivery, number of new and closed support coordination linkages, and other summary statistics. The previous months billing information is also included in the report so that report and invoice are linked together.

In addition, the data contractor submits a breakdown of staff resources allocated to the contract. MPSW staff, including the contract monitor, meets monthly with contractor to review performance. The data contractor also submits data files quarterly which are reviewed and archived by the contract monitor. If there is substandard performance, MPSW will require a corrective action plan and will monitor implementation.

Fiscal Employer Agent - The fiscal employer agent is required to submit monthly reports to BHSF and OCDD for review and to monitor fiscal management activities. MPSW and OCDD perform on-going monitoring of the fiscal agent’s claims payment activities, billing history, and adherence to the terms of the contract. OCDD provides MPSW with any data, complaints, or other information obtained from any source regarding the fiscal agent’s performance. BHSF also utilizes the annual participant-satisfaction survey data gathered by the fiscal agent. If there is substandard performance, MPSW will require a corrective action plan and will monitor implementation.

Support Coordination Agencies - Retrospective review of Medicaid enrolled support coordinators in their performance of level of care evaluation and service plan review will occur on an annual basis through a Support Coordination Monitoring (SCM) review process performed by regional LGE waiver staff under the programmatic oversight of OCDD. The SCM process includes a representative sample record review with performance measures described in the Level of Care, Service Plan and Health & Welfare Quality Improvement Strategies. The results of this monitoring will be entered into a Support Coordination Monitoring Data base which will generate aggregate reports annually by waiver population and by support coordination agency. Additionally, data with one hundred percent representativeness is available from the Medicaid data contractor for measures of timeliness. The results of this data will be analyzed and utilized by regional OCDD staff on a monthly basis to request and monitor corrective action based on the SCM results and enter remediation and compliance- related activities into the SCM data base. The state-wide report of discovery, remediation and improvement activities for level of care and service plan review will also be analyzed and acted upon by the appropriate committees as described in appendix H-1.a.i.

Provider Enrollment/ Provider Agreements Contractor - The LDH Program Integrity Provider Enrollment (PE) unit manages the PE activities of the fiscal intermediary contractor’s PE unit. All enrollments are cleared against the Office of State Inspector General (OIG) List of Excluded Individuals/Entities (LEIE) and the System of Award Management (SAM) List of Debarred Entities and Individuals. BHSF receives monthly Program Integrity reports for aberrant billing practices and enrollment as well as ongoing reports from Health Standards regarding provider licensing and certification.

Appendix A: Waiver Administration and Operation

7. Distribution of Waiver Operational and Administrative Functions. In the following table, specify the entity or entities that have responsibility for conducting each of the waiver operational and administrative functions listed (*check each that applies*):

In accordance with 42 CFR §431.10, when the Medicaid agency does not directly conduct a function, it supervises the performance of the function and establishes and/or approves policies that affect the function. All functions not performed directly by the Medicaid agency must be delegated in writing and monitored by the Medicaid Agency. *Note: More than one box may be checked per item. Ensure that Medicaid is checked when the Single State Medicaid Agency (1) conducts the function directly; (2) supervises the delegated function; and/or (3) establishes and/or approves policies related to the function.*

Function	Medicaid Agency	Other State Operating Agency	Contracted Entity
Participant waiver enrollment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Waiver enrollment managed against approved limits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Waiver expenditures managed against approved levels	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Level of care evaluation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Review of Participant service plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Function	Medicaid Agency	Other State Operating Agency	Contracted Entity
Prior authorization of waiver services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Utilization management	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Qualified provider enrollment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Execution of Medicaid provider agreements	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Establishment of a statewide rate methodology	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Rules, policies, procedures and information development governing the waiver program	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Quality assurance and quality improvement activities	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Appendix A: Waiver Administration and Operation

Quality Improvement: Administrative Authority of the Single State Medicaid Agency

As a distinct component of the States quality improvement strategy, provide information in the following fields to detail the States methods for discovery and remediation.

a. Methods for Discovery: Administrative Authority

The Medicaid Agency retains ultimate administrative authority and responsibility for the operation of the waiver program by exercising oversight of the performance of waiver functions by other state and local/regional non-state agencies (if appropriate) and contracted entities.

i. Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance, complete the following. Performance measures for administrative authority should not duplicate measures found in other appendices of the waiver application. As necessary and applicable, performance measures should focus on:

- Uniformity of development/execution of provider agreements throughout all geographic areas covered by the waiver
- Equitable distribution of waiver openings in all geographic areas covered by the waiver
- Compliance with HCB settings requirements and other new regulatory components (for waiver actions submitted on or after March 17, 2014)

Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

A.a.i.a.1 Number and percentage of performance measure reports which were received on time and complete with operating agency analysis and remediation activities. Percentage = Number of performance measure reports which were received on time and complete with operating agency analysis and remediation activities / Total number of performance measure reports due

Data Source (Select one):

Reports to State Medicaid Agency on delegated Administrative functions

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually

Responsible Party for data aggregation and analysis (<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

Performance Measure:

A.a.i.a.2 Number and percentage of Quality Improvement Projects (QIPs) initiated and submitted to the MPSW Section within three months of findings below the 86% threshold. Numerator = Number of Quality Improvement Projects (QIPs) initiated and submitted to the MPSW Section within three months of findings below the 86% threshold; Denominator = Total number of QIPs initiated and submitted to MPSW.

Data Source (Select one):

Other

If 'Other' is selected, specify:

MPSW Tracking System

Responsible Party for data collection/generation (<i>check each that applies</i>):	Frequency of data collection/generation (<i>check each that applies</i>):	Sampling Approach (<i>check each that applies</i>):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other	

	Specify: <div style="border: 1px solid black; width: 100px; height: 20px; margin: 0 auto;"></div>	
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Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (<i>check each that applies</i>):	Frequency of data aggregation and analysis(<i>check each that applies</i>):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>

Performance Measure:

A.a.i.a.3. Number and percentage of setting assessments completed where the provider was either compliant or progressing toward a plan for compliance with the HCBS Settings Rule.
Numerator = Number of setting assessments completed where the provider was either compliant or progressing toward a plan for compliance with the HCBS Settings Rule;
Denominator = Total number of setting assessments.

Data Source (Select one):

Reports to State Medicaid Agency on delegated Administrative functions

If 'Other' is selected, specify:

Responsible Party for data collection/generation(<i>check each that applies</i>):	Frequency of data collection/generation(<i>check each that applies</i>):	Sampling Approach(<i>check each that applies</i>):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample

		Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

Performance Measure:

A.a.i.a.4. Number and percentage of changes in waiver policies that were approved by

**BHSF and presented for public notice prior to implementation by the operating agency.
 Percentage = Number of changes in waiver policies that were approved by BHSF and
 presented for public notice prior to implementation by the operating agency / Total number
 of changes in waiver policies**

Data Source (Select one):

Other

If 'Other' is selected, specify:

MPSW Tracking System

Responsible Party for data collection/generation (<i>check each that applies</i>):	Frequency of data collection/generation (<i>check each that applies</i>):	Sampling Approach (<i>check each that applies</i>):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

Performance Measure:

A.a.i.a.5. Number and percent of waiver slots certified annually that are less than or equal to the unduplicated number of participants listed in Appendix B-3-a. Numerator = Number and percent of waiver slots certified annually that are less than or equal to the unduplicated number of participants listed in Appendix B-3-a; Denominator = Total number of slots certified

Data Source (Select one):

Other

If 'Other' is selected, specify:

Medicaid Data Contractor Data System

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
<input checked="" type="checkbox"/> Other Specify: <div style="border: 1px solid black; padding: 2px; width: 80%; margin-top: 5px;">Data Contractor</div>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: <input type="text" value="Data Contractor"/>	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

Performance Measure:

A.a.i.a.6 Number and percentage of waiver offers that were appropriately made across all geographical areas to applicants on the Request for Services Registry (RFSR), according to policy and criteria set forth by the State. Numerator = Number of appropriately made offers to applicants on the RFSR; Denominator = Total number of waiver offers made.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Medicaid Data Contractor Data System

Responsible Party for data collection/generation(check each that applies):	Frequency of data collection/generation(check each that applies):	Sampling Approach(check each that applies):
<input checked="" type="checkbox"/> State Medicaid	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review

Agency		
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: <input type="text" value="Data Contractor"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>	
	<table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="width: 100%; height: 30px;"></td> </tr> </table>	

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.

b. Methods for Remediation/Fixing Individual Problems

i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the state to document these items.

A.a.i.a.1 – A.a.i.a.4
 Aggregated data collected for Performance Measures A.a.i.a.1 – A.a.i.a.4 are reviewed and analyzed quarterly by via the Medicaid HCBS Oversight Committee. When remediation is indicated, the Committee discusses appropriate remediation activities to resolve identified compliance issues and address systemic improvements when indicated. To achieve this end, MPSW provides technical assistance, guidance, and support to the operating agency staff. Committee minutes document remediation actions and results of these actions are presented at subsequent meetings to verify effectiveness.

The Medicaid HCBS Oversight Committee meets at least quarterly with the specific purpose to ensure proper oversight of the OAAS and OCDD operated HCBS Medicaid programs. Goals are to review current performance reports, determine need for new activities concerning quality and oversight in waiver programs and ensure adequate remediation enforcement. Quality recommendations or issues which cannot be resolved at this level are placed on the agenda of the BHSF/Program Offices HCBS Executive Committee. Members of the Medicaid HCBS Oversight Committee include HCBS quality management staff from MPSW and OCDD and it is chaired by the MPSW Section Chief or designee.

A.a.i.a.5
 MPSW and OCDD meet monthly with the Medicaid data contractor to discuss problems/issues identified and how to remediate. At these meetings, the members review the Daily Count of Offers, Linkages and Certifications report generated by the data contractor which includes: waiver slots available; pre-linkage, linkages to support coordinator; offers accepted; offers too recent for a response; vacancies to be offered; offers accepted and linked; recipients linked and certified; recipients linked and not certified. This report is reviewed and analyzed to determine whether the yearly maximum number of unduplicated participants certified in a waiver is nearing the limit. If the yearly maximum number of unduplicated participants certified in a waiver opportunity is approaching the limit, the state will submit a waiver amendment to CMS to modify the number of participants. Remediation of specific problems/issues/discrepancies identified are addressed in the monthly meetings and documented in the Medicaid data contractor meeting minutes (which are shared with OCDD) and the MPSW Tracking System.

A.a.i.a.6
 MPSW and OCDD meet monthly with the Medicaid data contractor to discuss problems/issues identified and how to remediate. At these meetings, the members review the Count of Slot Types report generated by the data contractor which includes: initial allocated slots; reallocated slots due to closures; current number of allocated slots; current number of slots linked; number of remaining slots open. This report is reviewed and analyzed to identify the number of slots available for offers. OCDD and MPSW supervise whether offers are made appropriately according to established policy and criteria. If there are instances identified where offers were made inappropriately, MPSW meets with the data contractor and OCDD to address the situation and develop a plan for corrective action for resolution. Remediation of specific problems/issues/discrepancies identified are addressed in the monthly meetings and documented in the Medicaid data contractor meeting minutes (which are shared with OCDD) and the MPSW Tracking System.

ii. Remediation Data Aggregation

Remediation-related Data Aggregation and Analysis (including trend identification)

Responsible Party <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually

Responsible Party (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input type="text"/>	
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

c. Timelines

When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Administrative Authority that are currently non-operational.

No

Yes

Please provide a detailed strategy for assuring Administrative Authority, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix B: Participant Access and Eligibility

B-1: Specification of the Waiver Target Group(s)

a. Target Group(s). Under the waiver of Section 1902(a)(10)(B) of the Act, the state limits waiver services to one or more groups or subgroups of individuals. Please see the instruction manual for specifics regarding age limits. *In accordance with 42 CFR §441.301(b)(6), select one or more waiver target groups, check each of the subgroups in the selected target group(s) that may receive services under the waiver, and specify the minimum and maximum (if any) age of individuals served in each subgroup:*

Target Group	Included	Target SubGroup	Minimum Age	Maximum Age	
				Maximum Age Limit	No Maximum Age Limit
<input type="checkbox"/> Aged or Disabled, or Both - General					
	<input type="checkbox"/>	Aged			<input type="checkbox"/>
	<input type="checkbox"/>	Disabled (Physical)			
	<input type="checkbox"/>	Disabled (Other)			
<input type="checkbox"/> Aged or Disabled, or Both - Specific Recognized Subgroups					
	<input type="checkbox"/>	Brain Injury			<input type="checkbox"/>
	<input type="checkbox"/>	HIV/AIDS			<input type="checkbox"/>
	<input type="checkbox"/>	Medically Fragile			<input type="checkbox"/>
	<input type="checkbox"/>	Technology Dependent			<input type="checkbox"/>
<input checked="" type="checkbox"/> Intellectual Disability or Developmental Disability, or Both					
	<input checked="" type="checkbox"/>	Autism	3		<input checked="" type="checkbox"/>
	<input checked="" type="checkbox"/>	Developmental Disability	3		<input checked="" type="checkbox"/>

Target Group	Included	Target SubGroup	Minimum Age	Maximum Age	
				Maximum Age Limit	No Maximum Age Limit
	<input checked="" type="checkbox"/>	Intellectual Disability	3		<input checked="" type="checkbox"/>
<input type="checkbox"/> Mental Illness					
	<input type="checkbox"/>	Mental Illness			<input type="checkbox"/>
	<input type="checkbox"/>	Serious Emotional Disturbance			

b. Additional Criteria. The state further specifies its target group(s) as follows:

c. Transition of Individuals Affected by Maximum Age Limitation. When there is a maximum age limit that applies to individuals who may be served in the waiver, describe the transition planning procedures that are undertaken on behalf of participants affected by the age limit (*select one*):

- Not applicable. There is no maximum age limit**
- The following transition planning procedures are employed for participants who will reach the waiver's maximum age limit.**

Specify:

Appendix B: Participant Access and Eligibility

B-2: Individual Cost Limit (1 of 2)

a. Individual Cost Limit. The following individual cost limit applies when determining whether to deny home and community-based services or entrance to the waiver to an otherwise eligible individual (*select one*). Please note that a state may have only ONE individual cost limit for the purposes of determining eligibility for the waiver:

- No Cost Limit.** The state does not apply an individual cost limit. *Do not complete Item B-2-b or item B-2-c.*
- Cost Limit in Excess of Institutional Costs.** The state refuses entrance to the waiver to any otherwise eligible individual when the state reasonably expects that the cost of the home and community-based services furnished to that individual would exceed the cost of a level of care specified for the waiver up to an amount specified by the state. *Complete Items B-2-b and B-2-c.*

The limit specified by the state is (*select one*)

- A level higher than 100% of the institutional average.**

Specify the percentage:

- Other**

Specify:

- Institutional Cost Limit.** Pursuant to 42 CFR 441.301(a)(3), the state refuses entrance to the waiver to any otherwise eligible individual when the state reasonably expects that the cost of the home and community-based services furnished to that individual would exceed 100% of the cost of the level of care specified for the waiver. *Complete Items B-2-b and B-2-c.*
- Cost Limit Lower Than Institutional Costs.** The state refuses entrance to the waiver to any otherwise qualified individual when the state reasonably expects that the cost of home and community-based services furnished to that individual would exceed the following amount specified by the state that is less than the cost of a level of care specified for the waiver.

Specify the basis of the limit, including evidence that the limit is sufficient to assure the health and welfare of waiver participants. Complete Items B-2-b and B-2-c.

The cost limit specified by the state is (*select one*):

- The following dollar amount:

Specify dollar amount:

The dollar amount (*select one*)

- Is adjusted each year that the waiver is in effect by applying the following formula:

Specify the formula:

- May be adjusted during the period the waiver is in effect. The state will submit a waiver amendment to CMS to adjust the dollar amount.
- The following percentage that is less than 100% of the institutional average:

Specify percent:

- Other:

Specify:

Appendix B: Participant Access and Eligibility

B-2: Individual Cost Limit (2 of 2)

Answers provided in Appendix B-2-a indicate that you do not need to complete this section.

- b. Method of Implementation of the Individual Cost Limit.** When an individual cost limit is specified in Item B-2-a, specify the procedures that are followed to determine in advance of waiver entrance that the individual's health and welfare can be assured within the cost limit:

c. Participant Safeguards. When the state specifies an individual cost limit in Item B-2-a and there is a change in the participant's condition or circumstances post-entrance to the waiver that requires the provision of services in an amount that exceeds the cost limit in order to assure the participant's health and welfare, the state has established the following safeguards to avoid an adverse impact on the participant (*check each that applies*):

- The participant is referred to another waiver that can accommodate the individual's needs.**
- Additional services in excess of the individual cost limit may be authorized.**

Specify the procedures for authorizing additional services, including the amount that may be authorized:

- Other safeguard(s)**

Specify:

Appendix B: Participant Access and Eligibility

B-3: Number of Individuals Served (1 of 4)

a. Unduplicated Number of Participants. The following table specifies the maximum number of unduplicated participants who are served in each year that the waiver is in effect. The state will submit a waiver amendment to CMS to modify the number of participants specified for any year(s), including when a modification is necessary due to legislative appropriation or another reason. The number of unduplicated participants specified in this table is basis for the cost-neutrality calculations in Appendix J:

Table: B-3-a

Waiver Year	Unduplicated Number of Participants
Year 1	9100
Year 2	9100
Year 3	9100
Year 4	9100
Year 5	9100

b. Limitation on the Number of Participants Served at Any Point in Time. Consistent with the unduplicated number of participants specified in Item B-3-a, the state may limit to a lesser number the number of participants who will be served at any point in time during a waiver year. Indicate whether the state limits the number of participants in this way: (*select one*):

- The state does not limit the number of participants that it serves at any point in time during a waiver year.**
- The state limits the number of participants that it serves at any point in time during a waiver year.**

The limit that applies to each year of the waiver period is specified in the following table:

Table: B-3-b

Waiver Year	Maximum Number of Participants Served At Any Point During the Year
Year 1	<input type="text"/>
Year 2	<input type="text"/>
Year 3	<input type="text"/>
Year 4	<input type="text"/>
Year 5	<input type="text"/>

Appendix B: Participant Access and Eligibility

B-3: Number of Individuals Served (2 of 4)

c. Reserved Waiver Capacity. The state may reserve a portion of the participant capacity of the waiver for specified purposes (e.g., provide for the community transition of institutionalized persons or furnish waiver services to individuals experiencing a crisis) subject to CMS review and approval. The State (*select one*):

- Not applicable. The state does not reserve capacity.**
- The state reserves capacity for the following purpose(s).**

Appendix B: Participant Access and Eligibility

B-3: Number of Individuals Served (3 of 4)

d. Scheduled Phase-In or Phase-Out. Within a waiver year, the state may make the number of participants who are served subject to a phase-in or phase-out schedule (*select one*):

- The waiver is not subject to a phase-in or a phase-out schedule.**
- The waiver is subject to a phase-in or phase-out schedule that is included in Attachment #1 to Appendix B-3. This schedule constitutes an intra-year limitation on the number of participants who are served in the waiver.**

e. Allocation of Waiver Capacity.

Select one:

- Waiver capacity is allocated/managed on a statewide basis.**
- Waiver capacity is allocated to local/regional non-state entities.**

Specify: (a) the entities to which waiver capacity is allocated; (b) the methodology that is used to allocate capacity and how often the methodology is reevaluated; and, (c) policies for the reallocation of unused capacity among local/regional non-state entities:

f. Selection of Entrants to the Waiver. Specify the policies that apply to the selection of individuals for entrance to the waiver:

In accordance with Title 50 PUBLIC HEALTH -MEDICAL ASSISTANCE Part XXI. Home and Community Based Services Waivers, Subpart 11. New Opportunities Waiver
Chapter 137. General Provisions, §13707. Programmatic Allocation of Waiver Opportunities

The Intellectual/Developmental Disabilities Requests for Services Registry (IDD RFSR), hereafter referred to as “the registry,” is the list that documents and maintains the person’s name and protected request date for waiver services. A person’s protected request date for any OCDD waiver is the date of the first face-to-face interview in which he/she applied for waiver services and is determined eligible for developmental disabilities services by the entry unit. The order of entry into an OCDD waiver is (needs based) from the registry arranged by an urgency of need assessment and date of application for Developmentally Disabled (DD) waiver services.

OCDD waiver opportunities shall be offered based on the following priority groups:

1. Individuals living at publicly operated ICF-IDDs or who lived at a publicly operated ICF-DD when it was transitioned to a private ICF-DD through a cooperative endeavor agreement (CEA facility), or their alternates. Alternates are defined as individuals living in a private ICF-DD who will give up the private ICF-DD bed to an individual living at a publicly operated ICF-DD or to an individual who was living in a publicly operated ICF-DD when it was transitioned to a private ICF-IDD through a cooperative endeavor agreement (CEA facility).

Individuals requesting to transition from a publicly operated ICF-IDD are awarded a slot when one is requested, and their health and safety can be assured in an OCDD waiver. This also applies to individuals who were residing in a publicly operated facility at the time the facility was privatized and became a Cooperative Endeavor Agreement (CEA) facility.

2. Individuals on the registry who have a current unmet need as defined by a SUN score of urgent [3] or emergent [4] and the earliest registry date shall be notified in writing when a funded OCDD waiver opportunity is available and a waiver offer is available.

Per the OCDD Tiered Waiver process, entrance to the NOW is approved only after it is determined that neither the Supports Waiver nor the higher tier Residential Options Waiver is able to meet a person’s waiver-related needs. This determination is based on a person-centered planning process, which includes completion of a needs-based assessment. Once the planning process is completed for the person, if there are unmet needs identified which could be appropriately met via NOW services, the person, with assistance from his/her team, may request entrance to the NOW. The determination of appropriateness of the NOW is made by a State Office Review Committee.

The Office for Citizens with Developmental Disabilities has the responsibility to monitor the utilization of NOW waiver opportunities. At the discretion of the OCDD Assistant Secretary, specifically allocated waiver opportunities may be reallocated to better meet the needs of citizens with developmental disabilities in the State of Louisiana. Funded waiver opportunities will only be allocated to individuals who successfully complete the financial eligibility and medical certification eligibility process required for waiver certification.

As enacted through R.S. 28:827 Act No. 286 of the 2010 Regular Legislative Session, any active duty member of the armed forces who has been temporarily assigned to work outside of Louisiana and any member of his/her immediate family who was qualified for and was receiving Louisiana Medicaid Waiver services for individuals with developmental disabilities at the time they were placed on active duty will be eligible to receive the next available waiver opportunity upon the individual's resumed residence in Louisiana.

Medicaid’s data contractor has responsibility for maintenance of the IDD Request for Services Registry (the registry). Slot offers are made for persons on the registry by the Medicaid data contractor based upon the above stated policies and procedures and as written in B-3-f. Also, BHSE/MPSW has oversight of the data contractor’s role in maintaining the registry according to policy. In addition, monthly meetings are held between the Medicaid data contractor, OCDD, and BHSE/MPSW to review and to assure adherence to these regulations along with equitably and fairness in slot allocations and distributions.

Appendix B: Participant Access and Eligibility

B-3: Number of Individuals Served - Attachment #1 (4 of 4)

Answers provided in Appendix B-3-d indicate that you do not need to complete this section.

Appendix B: Participant Access and Eligibility

B-4: Eligibility Groups Served in the Waiver

a. **1. State Classification.** The state is a (*select one*):

- §1634 State
- SSI Criteria State
- 209(b) State

2. Miller Trust State.

Indicate whether the state is a Miller Trust State (*select one*):

- No
- Yes

b. **Medicaid Eligibility Groups Served in the Waiver.** Individuals who receive services under this waiver are eligible under the following eligibility groups contained in the state plan. The state applies all applicable federal financial participation limits under the plan. *Check all that apply:*

Eligibility Groups Served in the Waiver (excluding the special home and community-based waiver group under 42 CFR §435.217)

- Low income families with children as provided in §1931 of the Act
- SSI recipients
- Aged, blind or disabled in 209(b) states who are eligible under 42 CFR §435.121
- Optional state supplement recipients
- Optional categorically needy aged and/or disabled individuals who have income at:

Select one:

- 100% of the Federal poverty level (FPL)
- % of FPL, which is lower than 100% of FPL.

Specify percentage:

- Working individuals with disabilities who buy into Medicaid (BBA working disabled group as provided in §1902(a)(10)(A)(ii)(XIII) of the Act)
- Working individuals with disabilities who buy into Medicaid (TWWIIA Basic Coverage Group as provided in §1902(a)(10)(A)(ii)(XV) of the Act)
- Working individuals with disabilities who buy into Medicaid (TWWIIA Medical Improvement Coverage Group as provided in §1902(a)(10)(A)(ii)(XVI) of the Act)
- Disabled individuals age 18 or younger who would require an institutional level of care (TEFRA 134 eligibility group as provided in §1902(e)(3) of the Act)
- Medically needy in 209(b) States (42 CFR §435.330)
- Medically needy in 1634 States and SSI Criteria States (42 CFR §435.320, §435.322 and §435.324)
- Other specified groups (include only statutory/regulatory reference to reflect the additional groups in the state plan that may receive services under this waiver)

Specify:

Special home and community-based waiver group under 42 CFR §435.217 Note: When the special home and

community-based waiver group under 42 CFR §435.217 is included, Appendix B-5 must be completed

- No. The state does not furnish waiver services to individuals in the special home and community-based waiver group under 42 CFR §435.217. Appendix B-5 is not submitted.
- Yes. The state furnishes waiver services to individuals in the special home and community-based waiver group under 42 CFR §435.217.

Select one and complete Appendix B-5.

- All individuals in the special home and community-based waiver group under 42 CFR §435.217
- Only the following groups of individuals in the special home and community-based waiver group under 42 CFR §435.217

Check each that applies:

- A special income level equal to:

Select one:

- 300% of the SSI Federal Benefit Rate (FBR)
- A percentage of FBR, which is lower than 300% (42 CFR §435.236)

Specify percentage:

- A dollar amount which is lower than 300%.

Specify dollar amount:

- Aged, blind and disabled individuals who meet requirements that are more restrictive than the SSI program (42 CFR §435.121)
- Medically needy without spend down in states which also provide Medicaid to recipients of SSI (42 CFR §435.320, §435.322 and §435.324)
- Medically needy without spend down in 209(b) States (42 CFR §435.330)
- Aged and disabled individuals who have income at:

Select one:

- 100% of FPL
- % of FPL, which is lower than 100%.

Specify percentage amount:

- Other specified groups (include only statutory/regulatory reference to reflect the additional groups in the state plan that may receive services under this waiver)

Specify:

Medically needy with spend down to or below the medically needy income standard using the state average monthly Medicaid rate for residents of Intermediate Care Facilities/Development Disability and other incurred expenses to reduce an individual's income.

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (1 of 7)

In accordance with 42 CFR §441.303(e), Appendix B-5 must be completed when the state furnishes waiver services to individuals in the special home and community-based waiver group under 42 CFR §435.217, as indicated in Appendix B-4. Post-eligibility

applies only to the 42 CFR §435.217 group.

- a. Use of Spousal Impoverishment Rules.** Indicate whether spousal impoverishment rules are used to determine eligibility for the special home and community-based waiver group under 42 CFR §435.217:

Note: For the period beginning January 1, 2014 and extending through September 30, 2019 (or other date as required by law), the following instructions are mandatory. The following box should be checked for all waivers that furnish waiver services to the 42 CFR §435.217 group effective at any point during this time period.

- Spousal impoverishment rules under §1924 of the Act are used to determine the eligibility of individuals with a community spouse for the special home and community-based waiver group. In the case of a participant with a community spouse, the state uses spousal post-eligibility rules under §1924 of the Act.**

Complete Items B-5-e (if the selection for B-4-a-i is SSI State or §1634) or B-5-f (if the selection for B-4-a-i is 209b State) and Item B-5-g unless the state indicates that it also uses spousal post-eligibility rules for the time periods before January 1, 2014 or after September 30, 2019 (or other date as required by law).

Note: The following selections apply for the time periods before January 1, 2014 or after September 30, 2019 (or other date as required by law) (select one).

- Spousal impoverishment rules under §1924 of the Act are used to determine the eligibility of individuals with a community spouse for the special home and community-based waiver group.**

In the case of a participant with a community spouse, the state elects to (*select one*):

- Use spousal post-eligibility rules under §1924 of the Act.**
(Complete Item B-5-b (SSI State) and Item B-5-d)
- Use regular post-eligibility rules under 42 CFR §435.726 (SSI State) or under §435.735 (209b State)**
(Complete Item B-5-b (SSI State). Do not complete Item B-5-d)
- Spousal impoverishment rules under §1924 of the Act are not used to determine eligibility of individuals with a community spouse for the special home and community-based waiver group. The state uses regular post-eligibility rules for individuals with a community spouse.**
(Complete Item B-5-b (SSI State). Do not complete Item B-5-d)

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (2 of 7)

Note: The following selections apply for the time periods before January 1, 2014 or after December 31, 2018.

b. Regular Post-Eligibility Treatment of Income: SSI State.

The state uses the post-eligibility rules at 42 CFR 435.726 for individuals who do not have a spouse or have a spouse who is not a community spouse as specified in §1924 of the Act. Payment for home and community-based waiver services is reduced by the amount remaining after deducting the following allowances and expenses from the waiver participant's income:

i. Allowance for the needs of the waiver participant (*select one*):

- The following standard included under the state plan**

Select one:

- SSI standard
- Optional state supplement standard
- Medically needy income standard
- The special income level for institutionalized persons**

(*select one*):

- 300% of the SSI Federal Benefit Rate (FBR)**
- A percentage of the FBR, which is less than 300%

Specify the percentage:

- A dollar amount which is less than 300%.

Specify dollar amount:

- A percentage of the Federal poverty level

Specify percentage:

- Other standard included under the state Plan

Specify:

- The following dollar amount

Specify dollar amount: If this amount changes, this item will be revised.

- The following formula is used to determine the needs allowance:

Specify:

- Other

Specify:

ii. Allowance for the spouse only (select one):

- Not Applicable
- The state provides an allowance for a spouse who does not meet the definition of a community spouse in §1924 of the Act. Describe the circumstances under which this allowance is provided:

Specify:

Specify the amount of the allowance (select one):

- SSI standard
- Optional state supplement standard
- Medically needy income standard
- The following dollar amount:

Specify dollar amount: If this amount changes, this item will be revised.

- The amount is determined using the following formula:

Specify:

iii. Allowance for the family (select one):

- Not Applicable (see instructions)
- AFDC need standard
- Medically needy income standard
- The following dollar amount:

Specify dollar amount: The amount specified cannot exceed the higher of the need standard for a family of the same size used to determine eligibility under the state's approved AFDC plan or the medically needy income standard established under 42 CFR §435.811 for a family of the same size. If this amount changes, this item will be revised.

- The amount is determined using the following formula:

Specify:

- Other

Specify:

iv. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 §CFR 435.726:

- a. Health insurance premiums, deductibles and co-insurance charges
- b. Necessary medical or remedial care expenses recognized under state law but not covered under the state's Medicaid plan, subject to reasonable limits that the state may establish on the amounts of these expenses.

Select one:

- Not Applicable (see instructions) *Note: If the state protects the maximum amount for the waiver participant, not applicable must be selected.*
- The state does not establish reasonable limits.
- The state establishes the following reasonable limits

Specify:

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (3 of 7)

Note: The following selections apply for the time periods before January 1, 2014 or after December 31, 2018.

c. Regular Post-Eligibility Treatment of Income: 209(B) State.

Answers provided in Appendix B-4 indicate that you do not need to complete this section and therefore this section is not visible.

Appendix B: Participant Access and Eligibility**B-5: Post-Eligibility Treatment of Income (4 of 7)**

Note: The following selections apply for the time periods before January 1, 2014 or after December 31, 2018.

d. Post-Eligibility Treatment of Income Using Spousal Impoverishment Rules

The state uses the post-eligibility rules of §1924(d) of the Act (spousal impoverishment protection) to determine the contribution of a participant with a community spouse toward the cost of home and community-based care if it determines the individual's eligibility under §1924 of the Act. There is deducted from the participant's monthly income a personal needs allowance (as specified below), a community spouse's allowance and a family allowance as specified in the state Medicaid Plan. The state must also protect amounts for incurred expenses for medical or remedial care (as specified below).

i. Allowance for the personal needs of the waiver participant

(select one):

- SSI standard
- Optional state supplement standard
- Medically needy income standard
- The special income level for institutionalized persons
- A percentage of the Federal poverty level

Specify percentage:

- The following dollar amount:

Specify dollar amount: If this amount changes, this item will be revised

- The following formula is used to determine the needs allowance:

Specify formula:

- Other

Specify:

ii. If the allowance for the personal needs of a waiver participant with a community spouse is different from the amount used for the individual's maintenance allowance under 42 CFR §435.726 or 42 CFR §435.735, explain why this amount is reasonable to meet the individual's maintenance needs in the community.

Select one:

- Allowance is the same
- Allowance is different.

Explanation of difference:

iii. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 CFR §435.726:

- a. Health insurance premiums, deductibles and co-insurance charges
- b. Necessary medical or remedial care expenses recognized under state law but not covered under the state's Medicaid plan, subject to reasonable limits that the state may establish on the amounts of these expenses.

Select one:

- Not Applicable (see instructions)***Note: If the state protects the maximum amount for the waiver participant, not applicable must be selected.*
- The state does not establish reasonable limits.**
- The state uses the same reasonable limits as are used for regular (non-spousal) post-eligibility.**

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (5 of 7)

Note: The following selections apply for the five-year period beginning January 1, 2014.

e. Regular Post-Eligibility Treatment of Income: §1634 State - 2014 through 2018.

Answers provided in Appendix B-5-a indicate the selections in B-5-b also apply to B-5-e.

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (6 of 7)

Note: The following selections apply for the five-year period beginning January 1, 2014.

f. Regular Post-Eligibility Treatment of Income: 209(B) State - 2014 through 2018.

Answers provided in Appendix B-4 indicate that you do not need to complete this section and therefore this section is not visible.

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (7 of 7)

Note: The following selections apply for the five-year period beginning January 1, 2014.

g. Post-Eligibility Treatment of Income Using Spousal Impoverishment Rules - 2014 through 2018.

The state uses the post-eligibility rules of §1924(d) of the Act (spousal impoverishment protection) to determine the contribution of a participant with a community spouse toward the cost of home and community-based care. There is deducted from the participant's monthly income a personal needs allowance (as specified below), a community spouse's allowance and a family allowance as specified in the state Medicaid Plan. The state must also protect amounts for incurred expenses for medical or remedial care (as specified below).

Answers provided in Appendix B-5-a indicate the selections in B-5-d also apply to B-5-g.

Appendix B: Participant Access and Eligibility

B-6: Evaluation/Reevaluation of Level of Care

As specified in 42 CFR §441.302(c), the state provides for an evaluation (and periodic reevaluations) of the need for the level(s) of care specified for this waiver, when there is a reasonable indication that an individual may need such services in the near future (one month or less), but for the availability of home and community-based waiver services.

a. Reasonable Indication of Need for Services. In order for an individual to be determined to need waiver services, an individual must require: (a) the provision of at least one waiver service, as documented in the service plan, and (b) the provision of waiver services at least monthly or, if the need for services is less than monthly, the participant requires regular monthly monitoring which must be documented in the service plan. Specify the state's policies concerning the reasonable indication of the need for services:

i. Minimum number of services.

The minimum number of waiver services (one or more) that an individual must require in order to be determined to need waiver services is:

ii. Frequency of services. The state requires (select one):

- The provision of waiver services at least monthly**
- Monthly monitoring of the individual when services are furnished on a less than monthly basis**

If the state also requires a minimum frequency for the provision of waiver services other than monthly (e.g., quarterly), specify the frequency:

b. Responsibility for Performing Evaluations and Reevaluations. Level of care evaluations and reevaluations are performed (select one):

- Directly by the Medicaid agency**
- By the operating agency specified in Appendix A**
- By a government agency under contract with the Medicaid agency.**

Specify the entity:

Other

Specify:

c. Qualifications of Individuals Performing Initial Evaluation: Per 42 CFR §441.303(c)(1), specify the educational/professional qualifications of individuals who perform the initial evaluation of level of care for waiver applicants:

An initial evaluation of a participant's Level of Care (LOC) is determined by a board certified physician/designee (nurse practitioner or physician's assistant who practices under the supervision and license of a board certified physician) who must evaluate the participant, then complete and sign the OCDD form 90-L.

The LGE staff that initially evaluate participants and issue a Statement of Approval (SOA) are required to meet the minimum qualifications as follows:

A baccalaureate degree in psychology; counseling; social work; sociology; criminal justice, nursing; public health; public health administration; public administration; hospital administration; education with twenty-four semester hours in psychology, special education or early childhood education; speech communications/pathology; physical therapy; occupational therapy; therapeutic recreation; music therapy; or family and consumer sciences (with a concentration in child, family and social services) followed by one year of professional level experience providing any of the following services: developmentally disabled services, alcohol/drug abuse counseling or treatment, mental health treatment, health care management, or social services.

The LGE staff, who are responsible for reviewing the initial LOC and approving initial plans of care, are required to meet, as a minimum, the following qualifications :

A baccalaureate degree plus two years of professional level experience in hospital or nursing home administration, public health administration, social services, nursing, pharmacy, dietetics/nutrition, physical therapy, occupational therapy, medical technology, or surveying and/or assessing health or social service programs or facilities for compliance with state and federal regulations. A current valid Louisiana license in one of the qualifying fields will substitute for the required baccalaureate degree. A master's degree in one of the qualifying fields will substitute for a maximum of one year of the required experience.

The OCDD form 90-L is used in conjunction with the Statement of Approval (SOA) to initially determine a person's qualifications for Developmental Disabilities services and approve them for services according to the LOC determined in the discovery process.

- d. Level of Care Criteria.** Fully specify the level of care criteria that are used to evaluate and reevaluate whether an individual needs services through the waiver and that serve as the basis of the state's level of care instrument/tool. Specify the level of care instrument/tool that is employed. State laws, regulations, and policies concerning level of care criteria and the level of care instrument/tool are available to CMS upon request through the Medicaid agency or the operating agency (if applicable), including the instrument/tool utilized.

The level of care criteria is based upon the following:

La. R.S. 28:451.2. Definitions:

"...(12) Developmental Disability means either:

(a) A severe chronic disability of a person that:

(i) Is attributable to an intellectual or physical impairment or combination of intellectual and physical impairments.

(ii) Is manifested before the person reaches age twenty-two.

(iii) Is likely to continue indefinitely.

(iv) Results in substantial functional limitations in three or more of the following areas of major life activity:

(aa) Self-care

(bb) Receptive and expressive language.

(cc) Learning.

(dd) Mobility.

(ee) Self-direction.

(ff) Capacity for independent living.

(gg) Economic self-sufficiency.

(v) Is not attributed solely to mental illness.

(vi) Reflects the person's need for a combination and sequence of special, interdisciplinary, or generic care, treatment, or other services which are of lifelong or extended duration and are individually planned and coordinated.

(b) A substantial developmental delay or specific congenital or acquired condition in a person from birth through age nine which, without services and support, has a high probability of resulting in those criteria in Subparagraph (a) of this Paragraph, later in life that may be considered to be a developmental disability.

The Office for Citizens with Developmental Disabilities (OCDD) form 90-L is used to determine the ICF/IDD Level of Care. The individual's primary care physician /designee (nurse practitioner or physician's assistant who practices under the supervision and license of a board certified physician) must complete, sign and date the 90-L for initial determination of LOC. The 90-L is used in conjunction with the Statement of Approval (SOA) to establish a level of care criteria and to assist with completion of the Plan of Care. SOA is a notification to an individual who has requested waiver services that it has been determined by the LGE that they meet the developmental disability criteria (Developmental Disability Law- La. R.S. 28:451) for participation in programs administered by OCDD and that they have been placed on the Request for Services Registry for waiver services with their protected date of request. The 90-L, SOA and initial plan of care documents are submitted by the Support Coordination Agency to the LGE staff for review to assure that the applicant/participant meets/continues to meet the level of care criteria.

The Developmental Disability (DD) decision is made by the LGE utilizing the systems entry process. If the individual is determined to meet the DD criteria they are issued a Statement of Approval (SOA), if they do not meet the DD criteria they are issued a Statement of Denial (SOD). Individuals who receive a SOD are informed of their rights to appeal and are provided information regarding the appeals process. Please refer to Fair Hearings/Appeals process as outlined in Appendix F-section F-1 of the waiver document.

The LGE staff conducts a pre-certification home visit to verify accuracy of level of care for all initial evaluations only.

e. **Level of Care Instrument(s).** Per 42 CFR §441.303(c)(2), indicate whether the instrument/tool used to evaluate level of care for the waiver differs from the instrument/tool used to evaluate institutional level of care (*select one*):

- The same instrument is used in determining the level of care for the waiver and for institutional care under the state Plan.**
- A different instrument is used to determine the level of care for the waiver than for institutional care under the state plan.**

Describe how and why this instrument differs from the form used to evaluate institutional level of care and explain how the outcome of the determination is reliable, valid, and fully comparable.

f. Process for Level of Care Evaluation/Reevaluation: Per 42 CFR §441.303(c)(1), describe the process for evaluating waiver applicants for their need for the level of care under the waiver. If the reevaluation process differs from the evaluation process, describe the differences:

The Office for Citizens with Developmental Disabilities (OCDD) form 90-L is used to determine the ICF/DD Level of Care. The individual's primary care physician/designee (nurse practitioner or physician's assistant who practices under the supervision and license of the physician) must complete and sign and date the 90-L. This form must be completed at initial evaluation and annually thereafter to determine if the individual still meets the ICF/IDD level of care. The 90-L is used in conjunction with the Statement of Approval to establish a level of care criteria and to assist in completion of the plan of care. The 90-L, Statement of Approval and plan of care documents are submitted to the OCDD LGE for staff review to assure that the applicant/participant meets/continues to meet the level of care criteria. For Plans of Care approved by the Support Coordination supervisor, the 90-L, Statement of Approval, and Plan of Care are reviewed by the Support Coordination supervisor to assure the participant continues to meet the level of care criteria.

There is no difference in the process for the LOC evaluations and re-evaluations except that LGE staff conduct a pre-certification home visit to verify accuracy of level of care for all initial evaluations. Support Coordination Supervisors approve subsequent annual LOC evaluations as defined by OCDD's policy.

The Developmental Disability decision is made by the LGE staff utilizing the systems entry process. If the individual is determined to meet the DD criteria they are issued a Statement of Approval (SOA), if they do not meet the DD criteria they are issued a Statement of Denial (SOD). Individuals who receive a SOD are informed of their rights to appeal and are provided information regarding the appeals process. Please refer to Fair Hearings/Appeals process as outlined in Appendix F-section F-1 of the waiver document.

g. Reevaluation Schedule. Per 42 CFR §441.303(c)(4), reevaluations of the level of care required by a participant are conducted no less frequently than annually according to the following schedule (*select one*):

- Every three months**
- Every six months**
- Every twelve months**
- Other schedule**

Specify the other schedule:

h. Qualifications of Individuals Who Perform Reevaluations. Specify the qualifications of individuals who perform reevaluations (*select one*):

- The qualifications of individuals who perform reevaluations are the same as individuals who perform initial evaluations.**
- The qualifications are different.**

Specify the qualifications:

All support coordinator/case management supervisors must meet one of the following education and experience requirements:

1. a bachelor's or master's degree in social work from a program accredited by the Council on Social Work Education and two years of paid post degree experience in providing Support Coordination services; or
2. a currently licensed Registered Nurse with at least two years of paid nursing experience; or
3. a bachelor's or master's degree in a human service related field which includes psychology, education, counseling, social services, sociology, philosophy, family and consumer sciences, criminal justice, rehabilitation services, child development, substance abuse, gerontology and vocational rehabilitation and two years of paid post degree experience in providing Support Coordination services; or
4. a bachelor's degree in liberal arts or general studies with a concentration of at least 16 hours in one of the fields listed above and two years of paid post degree experience in providing Support Coordination services.

- i. Procedures to Ensure Timely Reevaluations.** Per 42 CFR §441.303(c)(4), specify the procedures that the state employs to ensure timely reevaluations of level of care (*specify*):

The Medicaid Data Contractor has edits in the database system for tracking to ensure timely re-evaluations for the level of care.

When the LGE or Support Coordination agency sends an approved Plan of Care to the Medicaid data contractor, the information contains the date of the 90L – which is the date of the physician’s/nurse practitioner’s/physician’s assistant signature. This date is tracked in the data contractor’s database for every POC. The 90-L date is compared to the POC begin date to determine if the reevaluation was timely performed. The database generates a report which is shared with OCDD, LGEs, Support Coordination and BHSF.

- j. Maintenance of Evaluation/Reevaluation Records.** Per 42 CFR §441.303(c)(3), the state assures that written and/or electronically retrievable documentation of all evaluations and reevaluations are maintained for a minimum period of 3 years as required in 45 CFR §92.42. Specify the location(s) where records of evaluations and reevaluations of level of care are maintained:

Records of level of care are maintained by the LGE and in the physical office of the Support Coordination Agency.

Appendix B: Evaluation/Reevaluation of Level of Care

Quality Improvement: Level of Care

As a distinct component of the States quality improvement strategy, provide information in the following fields to detail the States methods for discovery and remediation.

a. Methods for Discovery: Level of Care Assurance/Sub-assurances

The state demonstrates that it implements the processes and instrument(s) specified in its approved waiver for evaluating/reevaluating an applicant's/waiver participant's level of care consistent with level of care provided in a hospital, NF or ICF/IID.

i. Sub-Assurances:

- a. Sub-assurance:** *An evaluation for LOC is provided to all applicants for whom there is reasonable indication that services may be needed in the future.*

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

B.a.i.a.1. Number and percentage of initial waiver applicants that have been determined to meet the ICF/IID level of care prior to waiver certification. Percentage = Number of initial applicants who received a level of care determination / Total number of initial applicants reviewed in the sample.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 2px; width: fit-content; margin-left: 20px;">95% +/- 5%</div>
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify:	<input checked="" type="checkbox"/> Annually

Responsible Party for data aggregation and analysis (<i>check each that applies</i>):	Frequency of data aggregation and analysis (<i>check each that applies</i>):
<div style="border: 1px solid black; height: 40px; width: 100%;"></div>	
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>

b. Sub-assurance: The levels of care of enrolled participants are reevaluated at least annually or as specified in the approved waiver.

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

c. Sub-assurance: The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

B.a.i.c.1 Number and percentage of initial applicants who’s LOC has been completed following state’s procedures. Percentage = Number of initial applicants with a current SOA and current 90-L/Total number of completed initial LOC’s reviewed in the sample.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

Responsible Party for	Frequency of data	Sampling Approach
-----------------------	-------------------	-------------------

data collection/generation <i>(check each that applies):</i>	collection/generation <i>(check each that applies):</i>	<i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = Confidence Interval = 95% +/- 5%
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify:	<input checked="" type="checkbox"/> Annually

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input type="text"/>	
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

Performance Measure:

B.a.i.c.2. Number and percentage of initial waiver applicants level of care evaluations determined to be accurate according to the State's procedures. Percentage: Number of initial waiver applicants with level of care evaluations determined to be accurate / Total number of initial waiver applications reviewed in the sample.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = <input type="text" value="95% +/- 5%"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify:

		<input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.

Performance Measure B.a.i.a.1, B.a.i.c.1 and B.a.i.c.2: The LGE office reviews all initial applications to ensure that they contain all required information needed to confirm the LOC determination. Any incomplete, untimely, or inaccurate applications are returned by the LGE staff to the support coordinator for correction/clarification. The LGE staff will submit written documentation outlining the reason for the return to the support coordinator. If the system entry eligibility is questioned by the LGE staff as a result of the face to face visit, then the LGE system entry staff will be contacted to ascertain if eligibility re-determination is required.

b. Methods for Remediation/Fixing Individual Problems

i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the state to document these items.

Performance Measures B.a.i.a.1, B.a.i.c.1, B.a.i.c.2:

During the Level of Care/Plan of Care (LOC/POC) Quality Review at the LGE:

- Items needing remediation are flagged by the data system;
- Specific information related to the flagged item is entered into the data system;
- Remediation is tracked by verification of actions taken; and
- Once remediation is completed, the case is closed.

On a quarterly basis at the OCDD State Office (SO) level, remediation data is aggregated and reviewed by the Program Manager to assure that all cases needing remediation are addressed. If adverse trends and patterns are identified, then recommendations are made by the Program Manager to the OCDD SO Quality Enhancement Section for review and corrective action, if needed, with the specific LGE. If the adverse trends and patterns identified are systemic in nature (across more than one LGE), then the Program Manager will forward the item to the Performance Review Committee for review and corrective action assignment.

A variety of mechanisms are employed by BHSF/MPSW to ensure all remediation and appropriate action has been completed:

- MPSW reviews the quarterly aggregated quality reports and remediation reports provided by the operating agency to ensure all instances of non-compliance are remediated within 30 days of notification.
- MPSW meets with OCDD State Office agency staff on a quarterly basis to discuss delegated functions, pending issues, and remediation plans. Systemic issues requiring remediation are will be identified and discussed at the Cross-Waiver (which includes staff from MPSW, OAAS, and OCDD) and Medicaid Oversight Review Team (which includes Medicaid staff) meetings. A plan for remediation and person responsible will be is developed and person responsible is assigned for each item identified. Remediation strategies and progress towards correction will be are reviewed and documented at the next scheduled meeting until the item is closed out.
- MPSW, the Medicaid Director or Deputy Director, the OCDD Assistant Secretary, and other pertinent staff meet on at least a quarterly basis to discuss any pending issues and remediation plans.
- Memorandums are sent from BHSF to OCDD to ensure all necessary leadership is informed of the support actions needed to correct problems or make improvements.

ii. Remediation Data Aggregation

Remediation-related Data Aggregation and Analysis (including trend identification)

Responsible Party <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

c. Timelines

When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design

methods for discovery and remediation related to the assurance of Level of Care that are currently non-operational.

No

Yes

Please provide a detailed strategy for assuring Level of Care, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix B: Participant Access and Eligibility

B-7: Freedom of Choice

Freedom of Choice. As provided in 42 CFR §441.302(d), when an individual is determined to be likely to require a level of care for this waiver, the individual or his or her legal representative is:

- i. informed of any feasible alternatives under the waiver; and
- ii. given the choice of either institutional or home and community-based services.

a. Procedures. Specify the state's procedures for informing eligible individuals (or their legal representatives) of the feasible alternatives available under the waiver and allowing these individuals to choose either institutional or waiver services. Identify the form(s) that are employed to document freedom of choice. The form or forms are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

The Louisiana Department of Health, Bureau of Health Services Financing, Medicaid Eligibility Determination Regional Office, informs individuals and/or their authorized representatives of the “feasible alternatives” under the waiver. When the waiver offer is made, the LGE ensures that the individuals and/or their authorized representatives and are given the choice of either institutional or home and community-based services. The LGE currently utilizes the “Case Management Choice and Release of Information Form” to allow the person to state that they understand their choices and the alternatives under the waiver. The information is reviewed with the participant and/or authorized representative at a pre-certification home visit prior to approval of the initial plan of care and annually thereafter.

b. Maintenance of Forms. Per 45 CFR §92.42, written copies or electronically retrievable facsimiles of Freedom of Choice forms are maintained for a minimum of three years. Specify the locations where copies of these forms are maintained.

The forms are maintained in the records at the LGE and the physical office of the Support Coordination Agency.

Appendix B: Participant Access and Eligibility

B-8: Access to Services by Limited English Proficiency Persons

Access to Services by Limited English Proficient Persons. Specify the methods that the state uses to provide meaningful access to the waiver by Limited English Proficient persons in accordance with the Department of Health and Human Services "Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons" (68 FR 47311 - August 8, 2003):

The Louisiana Department of Health has a Medicaid Eligibility Supports Section to assist individuals who have language barriers. When the LGE identifies an individual who needs language assistance, the request is submitted to the MPSW Section who reviews and forwards the request to the Eligibility Supports Section to assist the individual. A contracted interpreter is utilized to assist the individual. All forms are published in English, Spanish, and Vietnamese and are available in alternative format upon request.

Appendix C: Participant Services

C-1: Summary of Services Covered (1 of 2)

a. Waiver Services Summary. List the services that are furnished under the waiver in the following table. If case

management is not a service under the waiver, complete items C-1-b and C-1-c:

Service Type	Service		
Statutory Service	Center-Based Respite		
Statutory Service	Day Habilitation		
Statutory Service	Individual and Family Support		
Statutory Service	Monitored In-Home Care-giving		
Statutory Service	Prevocational Services		
Statutory Service	Supported Independent Living		
Statutory Service	Supported Employment- Individual and Group		
Extended State Plan Service	Skilled Nursing		
Extended State Plan Service	Specialized Medical Equipment and Supplies		
Other Service	Adult Companion Care		
Other Service	Community Life Engagement Development		
Other Service	Environmental Accessibility Adaptations		
Other Service	Housing Stabilization Service		
Other Service	Housing Stabilization Transition Service		
Other Service	One-Time Transitional		
Other Service	Personal Emergency Response		
Other Service	Professional Services		
Other Service	Substitute Family Care (SFC)		

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Statutory Service

Service:

Respite

Alternate Service Title (if any):

Center-Based Respite

HCBS Taxonomy:

Category 1:

09 Caregiver Support

Sub-Category 1:

09011 respite, out-of-home

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.**
- Service is included in approved waiver. The service specifications have been modified.**
- Service is not included in the approved waiver.**

Service Definition (Scope):

Supports and services provided for relief of those persons normally providing unpaid care to individuals unable to care for themselves, furnished on a short term basis, by a licensed respite facility. These services are necessary to keep individuals from being institutionalized. Individual and family support services cannot be provided while an individual is in a center based respite care setting.

Federal Financial Participation (FFP) will not be claimed for the cost of room and board except when provided as part of respite care furnished in a facility approved by the State that is not a private residence.

Respite care will be provided in a Licensed respite care facility, with the availability of community outings. Community outings would included on the approved POC and would include activities such as school attendance, or other school activities, or other activities the individual would receive if they were not in the center-based respite facility. Transportation to and from these activities are included in the rate for center-based respite. Community outings would provide the individuals routine to continue without interruption. Individual and Family Support services will not be reimbursed while the participant is in a center-based respite facility.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Limited to 720 hours per recipient, per plan of care year. Process for approving hours in excess of 720 hours must go through State Office approval with proper justification and documentation.

Service Delivery Method (check each that applies):

- Participant-directed as specified in Appendix E**
- Provider managed**

Specify whether the service may be provided by (check each that applies):

- Legally Responsible Person**
- Relative**
- Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Agency-Center-Based Respite

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service

Service Name: Center-Based Respite

Provider Category:

Agency

Provider Type:

Agency-Center-Based Respite

Provider Qualifications

License *(specify):*

Home and Community Based Services Provider Licensing Standard LAC Title 48, Part I, Subpart 3, Chapter 50, Center Based Respite Module

Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Department of Health, Office of Management and Finance, Health Standards Section

Frequency of Verification:

Initially, annually and as necessary

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Statutory Service

Service:

Day Habilitation

Alternate Service Title (if any):

Day Habilitation

HCBS Taxonomy:

Category 1:

04 Day Services

Sub-Category 1:

04070 community integration

Category 2:

04 Day Services

Sub-Category 2:

04020 day habilitation

Category 3:

04 Day Services

Sub-Category 3:

04020 day habilitation

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.**
- Service is included in approved waiver. The service specifications have been modified.**
- Service is not included in the approved waiver.**

Service Definition (Scope):

Within Day Habilitation there are 3 services that can be accessed.

1. Community Life Engagement- When planning for this service, the Person Centered Planning Process should be used for each person to develop a plan for how they want to engage in their community including the frequency and activities.

Community Life Engagement refers to services that help support individuals with disabilities to access and participate in purposeful and meaningful activities in their communities. The role of CLE varies depending on the particular needs of the individual. This service provides opportunities and support for community inclusion, building interests and developing skills and potential for not only meaningful community engagement but also it can help the individual in figuring out areas of interests for possible competitive integrated employment in the community. Services should be done in the community in small groups of 2 to 4 individuals which allows for a more person centered planning of activities. Services should result in active, valued participation and engagement in a broad range of integrated activities that build on the participant's interests, preferences, gifts, and strengths while reflecting his or her desired outcomes related to community involvement and membership. This service involves participation in integrated community settings, in activities that include persons without disabilities and with people who are not paid or unpaid caregivers. This service is expected to result in the individual developing and maintaining social roles and relationships; building natural supports; increasing independence; increasing potential for employment and/or experiencing meaningful community participation and inclusion. Volunteering is expected to be a part of this service as well.

Transportation is not included as a part of this service but is billed as a separate service.

REQUIREMENTS:

- Use an approved activity log to document activities done in the community
- Electronic Visit Verification must be utilized
- Services may be delivered during the days and times that activities are available. There are no limits to the days or times. Services can be delivered during the day, evenings and/or weekends.
- Community Life Engagement cannot be delivered at the same time as any other service.

2. ON SITE DAY HABILITATION is a separate service and is offered in a ratio of 1:8 and services are delivered onsite primarily. This service should focus on the person centered planning process, which would allow the participant a choice in how they spend their day and should take into account Community Life Engagement. On Site Day habilitation activities should be consistent with the individual's interests, skills and desires and should also assist the participant to gain their desired meaningful day to include community living experiences, including but not limited to volunteering, the acquisition, retention or improvement in self-help, socialization and adaptive skills, and/or to provide the individual an opportunity to contribute to his or her community. On Site Day Habilitation is furnished onsite but can be offered in a variety of community settings, (i.e. local recreation department, garden clubs, libraries) other than the person's residence and is not limited to a fixed- site facility. Onsite day habilitation varies from Community Life Engagement in that it is can be completed in ratio of 1:8.

Onsite Day Habilitation Services may be coordinated with needed therapies in the individual's person-centered Plan of Care.

For this service, there is a separate Transportation service offered and billable as a separate service.

Transportation may be provided to and/or from the participant's residence or a location agreed upon by the participant or authorized representative to the onsite location or community location and a separate return trip.

3. Virtual Day Habilitation should be person centered and tailored to the interest and needs of each person. this service is meant to provide opportunities for individuals to interact and receive services through an online format where interaction face to face can occur that is inline with their expectations for a meaningful day. This service is meant to keep an individual engaged with peers and the community during times where the individual is unable to interact in person, such as during a pandemic or state of emergency or when an individual is unable to attend in person activities and events due to medical situations that will keep them from receiving services in person. All virtual day habilitation services must be approved by the Local Governing Entity or the OCDD State Office.

REQUIREMENTS:

- Must utilizesome type of format that allows for face to face interaction

- Must be approved by LGE based off of the following criteria: Emergency Declaration, Surgery or illness that doesn't allow for someone to attend in person or any situation the LGE deems appropriate.
- Must utilize EVV to check in and out of VDH
- Must utilize an approved Activity Log to track the days,times and activities that the participant is utilizing VDH

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Community Life Engagement will be delivered in small groups of 1:2-4

Onsite Day Habilitation is provided in a group of 1:8 ratio

Virtual Day Habilitation is provided in a group of 1:8

Provided on a regularly scheduled basis and may be scheduled on a Plan of Care for 1 or more days per week
Up to 8320 units of service in a plan of care year.
A standard unit of service is a 15 minute increment.

Participants receiving day habilitation services can receive other services but can not be delivered during the same day and time period as day habilitation these services cannot be provided during the same time period.

Service Delivery Method (check each that applies):

- Participant-directed as specified in Appendix E
- Provider managed

Specify whether the service may be provided by (check each that applies):

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Day Habilitation

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service

Service Name: Day Habilitation

Provider Category:

Agency

Provider Type:

Day Habilitation

Provider Qualifications

License (specify):

Home and Community Based Services Provider Licensing Standard LAC Title 48, Part I, Subpart 3, Chapter 50, Adult Day Care Module

Certificate (specify):

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Department of Health, Office of Management and Finance, Health Standards Section

Frequency of Verification:

initially, annually and/or as needed

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Statutory Service

Service:

Personal Care

Alternate Service Title (if any):

Individual and Family Support

HCBS Taxonomy:

Category 1:

08 Home-Based Services

Sub-Category 1:

08030 personal care

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (*Scope*):

Individual and Family Support (IFS) is direct support and assistance for a participant or for the relief of the caregiver, provided in or out of the participant's home to achieve and/or maintain the outcomes of increased independence, productivity, and inclusion in the community as outlined in the participant's POC and to enhance family functioning.

IFS services may be provided in the participant's home or outside the home to allow the participant to achieve and/or maintain increased independence, productivity, enhanced family functioning and inclusion in the community or for the relief of the primary caregiver. IFS services will not be provided in licensed respite care facilities and the provider may not bill for IFS services for the same time on the same day as respite services.

Up to three waiver participants who may or may not live together and who have a common direct service provider agency may share IFS staff when agreed to by all participants and their health and welfare can be assured. Shared IFS services may be either day or night services.

IFS-Night services are the availability of direct support and assistance provided while the participant is asleep and there is a reduced frequency and intensity of required assistance. IFS-Night services are not limited to traditional nighttime hours. Participants who are able to demonstrate their ability to notify direct support workers during sleeping hours of their need for assistance may opt for IFS-Night service where staff do not remain awake. The participant's support team will assess the participant's ability to awaken staff. If it is determined that the participant is able to awaken staff and requests the IFS-Night services, the POC shall reflect this service. Support teams shall consider the use of technological devices that would enable notification/awakening of night staff. (Examples of devices include wireless pagers, monitoring systems that work from one room to another, a buzzer or bell, etc.).

Any change in participant's ability to notify night staff must be discussed by the support team. POC revisions will be made to reflect the need for staff to be awake. This change could be a result of medication, medical or other changes resulting in the inability of the participant to awaken night staff.

Individual Family Support Services may share a DSW across two waivers Children's Choice Family Support Services and/or Residential Options Waiver Community Living Supports Recipients. However, sharing a DSW at the same time across all three waivers is not allowed.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

IFS-Day (IFS-D) services will be authorized during waking hours for up to 16 hours when natural supports are unavailable in order to provide continuity of services to the participant. Waking hours are the period of time when the participant is awake and not limited to traditional daytime hours. Additional hours of IFS day services beyond the 16 hours can be approved based on documented need, which can include medical or behavioral and specified in the POC.

All family members living in the home with the participant are allowed to be DSW staff, however hours will be capped at 40 hours total per week Sunday to Saturday Night. The total combined number of hours provided by family member DSWs cannot exceed 40 hours per week no matter the degree of family relationship (mother, father, brother, sister, grandparents, aunt, uncle, cousins, in-laws).

Legally responsible relative/representative can not provide services on a 15 minute unit basis, however they can provide services under the Monitored in Home Caregiving.

A individual parent may provide care for their own child provided that the care is extraordinary from that of a child without a disability of the same age. An individual parent is not allowed to provide extraordinary care while simultaneously caring for other children in the home who require parental care/supervision. Extraordinary Care defined as exceeding the range of activities that a legally responsible individual would ordinarily perform in the household on behalf of a person without a disability or chronic illness of the same age, and which are necessary to assure the health and welfare of the participant and avoid institutionalization. The legally responsible individuals must meet the provider qualifications (specified in Appendix C-3) that the state has established for the personal care or similar services for which payment may be made, and the state must conduct monitoring of such services as provided Appendix D-2, including the documentation and assurance that the services are delivered in accordance with the service plan. The state further defines extraordinary care as behavioral or nursing care needs such as but not limited to, tube feeding, suctioning, or diapers after age 3, behavioral care requiring the intervention of a neurologist, psychologist, or other specialists.

Providers may be allowed to render 40+ hours; however, the employer is required to comply with all DOL FLSA rules regarding employee payment. There is no rate adjustment to reimburse providers for overtime worked.

These regulations also applies to Self-Direction.

Service Delivery Method *(check each that applies):*

- Participant-directed as specified in Appendix E**
- Provider managed**

Specify whether the service may be provided by *(check each that applies):*

- Legally Responsible Person**
- Relative**
- Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Personal Care Attendant
Individual	Direct Service Worker

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Individual and Family Support

Provider Category:

Agency

Provider Type:

Personal Care Attendant

Provider Qualifications

License (*specify*):

Home and Community Based Services Provider Licensing Standard LAC Title 48, Part I, Subpart 3, Chapter 50 Personal Care Attendant Module

Certificate (*specify*):

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Department of Health, Office of Management and Finance, Health Standards Section

Frequency of Verification:

Initially, annually, and as necessary

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service

Service Name: Individual and Family Support

Provider Category:

Individual

Provider Type:

Direct Service Worker

Provider Qualifications

License (*specify*):

Certificate (*specify*):

Other Standard (*specify*):

Home and Community Based Services Provider Licensing Standard LAC Title 48, Part I, Subpart 3, Chapter 92, Direct Service Worker Registry

OCDD Self Direction Handbook

Verification of Provider Qualifications

Entity Responsible for Verification:

Fiscal/employer agent

Frequency of Verification:

Initially and on-going. The fiscal agent is responsible to verify that direct support workers have met qualifications. The fiscal agent will update their file with documentation of training as each required re-certification is completed. The fiscal agent will continue to notify the participant/authorized representative and the NOW Self-Direction Program Manager for monitoring purposes until all required re-certifications are completed.

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Statutory Service

Service:

Live-in Caregiver (42 CFR §441.303(f)(8))

Alternate Service Title (if any):

Monitored In-Home Care-giving

HCBS Taxonomy:

Category 1:

17 Other Services

Sub-Category 1:

17990 other

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (*Scope*):

Monitored In-Home Caregiving are services provided to a participant living in a private home with a principal caregiver. The goal of this service is to provide a community-based option that provides continuous care, supports, and professional oversight. This goal is achieved by promoting a cooperative relationship between a participant, a principal caregiver, the professional staff of a Monitored In-Home Caregiver agency provider, and the participant's support coordinator.

The principal caregiver is responsible for supporting the participant to maximize the highest level of independence possible by providing necessary care and supports that may include:

1. Supervision or assistance in performing activities of daily living.
2. Supervision or assistance in performing instrumental activities of daily living.
3. Protective supervision provided solely to assure the health and welfare of a participant.
4. Supervision or assistance with health related tasks (any health related procedures governed under the Nurse Practice Act) in accordance with applicable laws governing the delegation of medical tasks/medication administration.
5. Supervision or assistance while escorting / accompanying the individual outside of the home to perform tasks, including instrumental activities of daily living, health maintenance or other needs as identified in the plan of care, and to provide the same supervision or assistance as would be rendered in the home.
6. Extension of therapy services to maximize independence when the caregiver has been instructed in the performance of the activities by a licensed therapist or registered nurse.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Monitored In-Home Caregiving providers must be agency providers who employ professional nursing staff and other professionals to train and support caregivers to perform the direct care activities performed in the home. The agency provider must assess and approve the home in which services will be provided, and enter into contractual agreements with caregivers who the agency has approved and trained. The agency provider will pay a per diem stipend to caregivers.

The agency provider must capture daily notes electronically and use the information collected to monitor participant health and caregiver performance. The agency provider must make such notes available to support coordinators and the state, upon request.

LDH will reimburse for Monitored In-Home Caregiving based on a two tiered model which is designed to address the participant's acuity.

Monitored in home Care Giving cannot be approved as a service on the plan of care during the same time period or on the same day as:

Individual and family support, Center-based respite, Supported Living, Day Habilitation, Pre-vocational Services, Supported Employment, Adult Companion Care, Skilled Nursing Care or Community Integration and Development.

Service Delivery Method (*check each that applies*):

- Participant-directed as specified in Appendix E
- Provider managed

Specify whether the service may be provided by (*check each that applies*):

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Monitored In-Home Caregiving

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Monitored In-Home Care-giving

Provider Category:

Agency

Provider Type:

Monitored In-Home Caregiving

Provider Qualifications

License (specify):

Must be licensed according to Louisiana Revised Statute (R.S. 40:2120.2).

Certificate (specify):

Other Standard (specify):

Must enroll as a Medicaid Monitored In-Home Caregiving provider. Must comply with LDH rules and regulations

Verification of Provider Qualifications

Entity Responsible for Verification:

Health Standards Section

Frequency of Verification:

Initial and as deemed necessary

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Statutory Service

Service:

Prevocational Services

Alternate Service Title (if any):

Prevocational Services

HCBS Taxonomy:

Category 1:

03 Supported Employment

Sub-Category 1:

03030 career planning

Category 2:

04 Day Services

Sub-Category 2:

04010 prevocational services

Category 3:

04 Day Services

Sub-Category 3:

04010 prevocational services

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (Scope):

Within the prevocational services are three separate services

1. Community Career Planning is an individualized, person-centered, comprehensive service that assists the individual in establishing their path to obtain individual, competitive integrated employment in the community. The outcome of this service is to create a Profile for each person that can be utilized to create their employment plan.

This service is a time limited and a targeted service for people wanting to become employed but may need additional information and experiences in order to determine such things as their areas of interests for work, skills and strengths and conditions needed for successful employment.

Participants receiving these services MUST have an employment related goal as part of their Plan of Care (POC) and service plan. The general habilitation activities must support their employment goals. Career Planning Services are designed to create a path to individual, integrated community based employment for which an individual is compensated at or above minimum wage, but not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities.

Career Planning services are intended to use the person centered planning process to discover the various interest, skills and general information about each person that will assist in developing a path to employment in the community. Based off of the person centered planning, activities should be tailored for each person in preparing them for paid employment in the community.

2. On-Site Prevocational Services are offered in a 1:8 ratio and are intended to support the individual in developing general, non-job-task-specific strengths and skills that contribute to employability in paid employment in integrated community settings such as how to communicate effectively with supervisors, co-workers, and customers; accepted community workplace conduct and dress; attention to tasks and directions; workplace problem solving skills and general workplace safety and mobility training. CP Services are to be provided in a variety of locations in the community and are not to be limited to a fixed site facility. On Site CP services should be utilized to make contact with businesses and research via the internet opportunities for career options through internships, mentoring opportunities and volunteer positions. Community exploration and business tours can be completed to assist in determining a direction for employment. Career exploration and discovery activities should be part of this service. This service should be individualized and should be used in the development of a career plan profile for each person. Assistance with personal care may be a component of prevocational services, but may not comprise the entirety of the service.

Onsite Career Planning services are provided on a regularly scheduled basis and may be scheduled on a Plan of Care for 1 or more days per week and may be prior authorized for up to 8320 units of service in a plan of care year with appropriate documentation. A standard unit is 1/4 hour. Post authorization may be approved upon verification of services rendered.

3. Virtual Prevocational services should be person centered and tailored to the interests and needs of each person and should provide opportunities and support for individuals to interact and receive services through an online format where interaction face to face can occur. This service is meant to work on individual goals specific to each person going to work. Services are meant to increase the knowledge and information related to employment. All activities should be centered around creating a profile that will support the goal of individual community employment. Services are meant to keep an individual engaged with peers and the community during times where the individual is unable to interact in person, such as during a pandemic or state of emergency or when someone will be unable to join in person due to medical situations that will keep them from receiving services in person. This service should receive approval from the Local Governing Entity.

REQUIREMENTS FOR VIRTUAL:

- Must utilize some type of format that allows for face to face interaction
- Must be approved by LGE based off of the following criteria: Emergency Declaration, Surgery or illness that doesn't allow for someone to attend in person or any situation the LGE deems appropriate.
- Must utilize EVV to check in and out of VCP
- Utilize the Activity Log to track the activities, days and times that the participant is utilizing VCP
- This service cannot be used at the same time as any other service.

Good candidates for prevocational services may include individuals who aren't sure where their interests are and need to further explore this employment and want to work.

Career Planning is not a required pre-requisite for individual supported employment services and at any time during this service, one may choose to leave it either because they want to go to work immediately or because they are no longer interested in working.

This service is best done in the community and in practical situations. This service should be delivered in the community utilizing locations such as businesses, Workforce Job Centers and other places that can assist the individual in developing skills and competencies necessary for an individual to be employed in a competitive job. A variety of career exploration activities such as individual discovery activities, career education, career assessments and financial education should occur during this service. Volunteering, internships and mentoring could also occur during this service. At the end of this service, a personal career profile should have been developed and will provide valuable information for the next phase of the career path.

CP services may be provided in a variety of settings including home visits conducted as part of individual discovery and getting to know the individual in their day to day life.

Through special permission from the Local Governing Entity and under special circumstances a person can complete this service more than once. An individual can leave CP at any time to pursue employment or if they decide they do not want to pursue employment at this time. Participation in CP is not a requirement in order for the individual to go to work

Transportation is billed as a separate service.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Community Career Planning services should be completed in a ratio of 1:2-4 in the community.
the unit is a 15 minute increment

Onsite Prevocational services and Virtual Prevocational services should be completed in a 1:8 ratio

Unit of service is 15 minute increments
8320 units per POC year

Cannot be provided or billed for during the same hours on the same day as other services.
On Site Prevocational services and Community Career Planning services are time limited and individually based with employment at the individual’s highest level of work in the most integrated setting, with the job matched to the individual’s interests, strengths, priorities, abilities and capabilities, while following applicable federal wage guidelines.

Prevocational services are services not available under a program funded under Section 110 of the Rehabilitation Act of 1973 or Section 602 (16)and (17) of the Individuals with Disabilities Education Act (20 U.S.C. 1401(16 and 71).

Service Delivery Method (check each that applies):

- Participant-directed as specified in Appendix E
- Provider managed

Specify whether the service may be provided by (check each that applies):

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Supported Employment

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service

Service Name: Prevocational Services

Provider Category:

Agency

Provider Type:

Supported Employment

Provider Qualifications

License (*specify*):

Home and Community Based Services Provider Licensing Standard LAC Title 48, Part I, Subpart 3, Chapter 50, Adult Day Care Module

Certificate (*specify*):

certificate from an approved Supported Employment Training Program and annual 16 hours of employment related training

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Department of Health, Office of Management and Finance, Health Standards Section
Louisiana Department of Health, Office for Citizens with Developmental Disabilities - SE training

Frequency of Verification:

initially, annually and/or as needed

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Statutory Service

Service:

Residential Habilitation

Alternate Service Title (if any):

Supported Independent Living

HCBS Taxonomy:

Category 1:

02 Round-the-Clock Services

Sub-Category 1:

02031 in-home residential habilitation

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (Scope):

This service is designed to provide support to participants who have limited natural supports and have an assessed need for assistance with acquisition, retention, or improvement in skills related to activities of daily living, such as personal grooming and cleanliness, bed making and household chores, eating and the preparation of food, and the social and adaptive skills necessary to enable the individual to reside in a non-institutional setting. Payment for Supported Independent Living is not made for cost of room and board, the cost of home maintenance, upkeep and improvement, modifications or adaptations to a home, or to meet the requirements of the applicable life safety code. Payments will not be made for the routine care and supervision which would be expected to be provided by a family for activities or supervision for which a payment is made by a source other than Medicaid.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Services are not reimbursed when the waiver participant is in a Center-Based Respite facility.

Service Delivery Method (check each that applies):

- Participant-directed as specified in Appendix E
- Provider managed

Specify whether the service may be provided by (check each that applies):

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Supervised Independent Living

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service
Service Name: Supported Independent Living

Provider Category:

Agency

Provider Type:

Supervised Independent Living

Provider Qualifications

License (specify):

Home and Community Based Services Provider Licensing Standard LAC Title 48, Part I, Subpart 3, Chapter 50, Supported Independent Living Module

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Department of Health, Office of Management and Finance, Health Standards Section

Frequency of Verification:

Initially, annually, and as necessary

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Statutory Service

Service:

Supported Employment

Alternate Service Title (if any):

Supported Employment- Individual and Group

HCBS Taxonomy:

Category 1:

03 Supported Employment

Sub-Category 1:

03010 job development

Category 2:**Sub-Category 2:****Category 3:****Sub-Category 3:****Category 4:****Sub-Category 4:**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.**
- Service is included in approved waiver. The service specifications have been modified.**
- Service is not included in the approved waiver.**

Service Definition (Scope):

Supported employment is competitive work, for participants who are eligible and assessed to need the service. Services are provided in an integrated work setting in which the participants are working toward competitive work, consistent with strengths, resources, priorities, concerns, abilities, capabilities, interests, and informed choice of participants. The outcome of this service is sustained paid employment and work experience leading to further career development and individual integrated community-based employment for which an individual is compensated at or above minimum wage but not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities.

Individual Supported Employment services are for those participants who are unable to receive services through Louisiana Rehabilitation Services (LRS) and who may require on going follow along services to provide the necessary supports needed to successfully maintain employment. Within Individual Supported Employment there are the following services:

1. **INDIVIDUAL SUPPORTED EMPLOYMENT ONE TO ONE:** This service includes all aspects of the supported employment process including assessment, development, placement, job retention and stabilization that are necessary to get an individual to work in an individual competitive job in the community. The individual should be earning at least minimum wage and benefits similar to those who they are working alongside of and who do not have disabilities. The individual should be engaging in typical work place duties as others without disabilities.

3. **ONGOING FOLLOW ALONG SUPPORT:** This service provides ongoing supports to individuals and their employers who need the support to maintain their job. The amount of support is determined for each individual based on the individual's ability to be independent in the job. The job must be in an integrated work setting in the general workforce, where the individual is earning at or above minimum wage, or the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities.

GROUP EMPLOYMENT:

This service is in an employment setting in which a group of two to eight participants, work to complete jobs in a variety of locations in the community under the supervision of an employment specialist. The SE group must be provided in a manner that promotes integration into the workplace and interaction between participants and people without disabilities in those workplaces that are in the community. Individuals should be performing tasks similar to people without disabilities and have interactions with the customers and others in the workplace. Individuals must earn at least a minimum wage.

Typical Individual SE Follow Along Services that are delivered as often as it's determined that the individual requires follow along services can be delivered virtually if one of the following circumstances occurs:

- The individual requires assistance but the business where the individual currently works is not allowing outside 'visitors' and the job coach is unable to do a face to face meeting.
- The visit is part of the ongoing follow along that is required and the individual is not currently experiencing any problems but the job coach is just ensuring that the individual is stable on the job.
- The individual's employer is requesting some assistance from the job coach but would rather do it virtually and not face to face.

In all circumstances, the employer/supervisor and the individual must be in agreement with a virtual visit and if the individual needs a means to conduct the virtual visit, the employer/supervisor must be willing to assist the individual in doing a virtual visit if the individual requires assistance. The visit should be coordinated with the employer/supervisor and the individual.

The employer/supervisor may need to provide support for Virtual Follow Along that may include providing technology or support the individual in using their own technology.

A virtual visit may not always appropriate and a face to face visit may be the option:

Examples of times when a virtual visit is not appropriate include:

- If the individual prefers an in person visit
- If the individual is unable to participate in virtual delivery and/or the employer/supervisor is unable to assist with this.
- If the employer does not agree to allowing the virtual visit and prefers the visit be made in person.
- If the individual is new to the job and still requires regularly scheduled job coaching to learn new tasks or complete tasks.
- If the employer prefers an in person visit from the job coach to discuss concerns and has additional tasks for the

individual to begin doing.

- If the individual is learning a new task and needs hands on instruction.
- If the individual does not have use of technology to do the virtual visit
- If the individual is someone who needs the additional hands on and learns best this way

All virtual visits must be approved by the Local Governing Entity or the OCDD State Office Staff.

REQUIREMENTS:

- Must utilize some type of format that allows for face to face interaction
- Must be approved by LGE or OCDD State Office
- Utilize the Virtual Supported Employment Follow Along Services Report
- This service cannot be utilized at the same time as any other service Transportation is included in the group supported employment service when traveling between job sites.

Transportation is a separate billable service if criteria is met.

Transportation is a separate service, one rate covers regular transportation and the other rate covers wheelchair transportation. There is a maximum fee per day that may be charged for transportation, regardless of the number of trips made per day.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Service Exclusions:

1. Services shall not be used in conjunction or simultaneously with any other waiver service, except substitute family care, supported independent living, and skilled nursing services.

2. When supported employment services are provided at a work site in which persons without disabilities are employed, payment will be made only for the adaptations, supervision and training required by participants receiving waiver services as a result of their disabilities, and will not include payment for the supervisory activities rendered as a normal part of the business setting.

3. Services are not available to participants who are eligible to participate in programs funded under Section 110 of the Rehabilitation Act of 1973 or Section 602(16) and (17) of the Individuals with Disabilities Education Act, 20 U.S.C. 1401(16) and (71). Documentation which shows the participant is not eligible to participate in programs funded under the Rehabilitation Act and IDEA must be included in the participant's file prior to the participant receiving Medicaid waiver-funded supported employment services to prevent any duplication.

Service Limits:

1. One-to-One Individual SE are intensive services are provided in a 1:1 ratio and shall not exceed 2880 units (15 minute increments) per POC year. .

2. Both individual Follow along services and Virtual SE follow along are limited to 960 units (15 minute increments) per POC year.

3. Group Supported Employment is done in a ratio:1 2-8 and shall not exceed 8,320 1/4 hour units of service per POC year, without additional documentation and approval by the Local Governing Entity or OCDD State Office.

Service Delivery Method (*check each that applies*):

- Participant-directed as specified in Appendix E
- Provider managed

Specify whether the service may be provided by (*check each that applies*):

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Supported Employment

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Statutory Service

Service Name: Supported Employment- Individual and Group

Provider Category:

Agency

Provider Type:

Supported Employment

Provider Qualifications

License (specify):

Home and Community Based Services Provider Licensing Standard LAC Title 48, Part I, Subpart 3, Chapter 50, Supported Employment Module or certificate as listed below.

Certificate (specify):

Initial completion of the approved Supported Employment Training and annual 16 hours of employment related training

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Department of Health, Office of Management and Finance, Health Standards Section for licensed providers.

Louisiana Department of Health, Office for Citizens of Developmental Disabilities obtains annual list of CRPs from LRS for certified providers.

Frequency of Verification:

Initially, annually, and as necessary

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Extended State Plan Service

Service Title:

Skilled Nursing

HCBS Taxonomy:

Category 1:

Sub-Category 1:

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.**
- Service is included in approved waiver. The service specifications have been modified.**
- Service is not included in the approved waiver.**

Service Definition (Scope):

Services listed in the approved POC that are medically necessary and may only be provided by a registered nurse, nurse practitioner, or a licensed practical nurse working under the supervision of a registered nurse. Since Skilled Nursing Services are an extended state plan service, participants must exhaust all available skilled nursing visits provided under Louisiana Medicaid State Plan Services prior to receiving this service through the waiver.

Skilled Nursing services must have a physicians order, a physicians letter of medical necessity, 90-L and Home Health plan of care (Form 485), an individual nursing service plan, a summary of medical history, and the skilled nursing checklist. Nurse submits updates every 60 days of any changes to participants needs and/or Physicians orders. Nursing consultation services are available to participants that require short term nursing consults as part of their POC for family training, skills development, etc.

When there is more than one participant in the home receiving skilled nursing services, services may be shared and payment must be coordinated with the service authorization system and each participant's approved POC. Nursing consultations are offered on an individualized basis only.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

The LGE Staff can approve up to 12 hours per day of Skilled Nursing services. All requests for over 12 hours of skilled nursing per day must be reviewed and approved by the LDH Medical Director and Medical Evaluation Team.

This waiver service is only provided to individuals age 21 and over. All medically necessary skilled nursing services for children under the age of 21 are covered in the state plan pursuant to the EPSDT benefit.

Service Delivery Method (check each that applies):

- Participant-directed as specified in Appendix E**
- Provider managed**

Specify whether the service may be provided by (check each that applies):

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Home Health Agency

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service

Service Name: Skilled Nursing

Provider Category:

Agency

Provider Type:

Home Health Agency

Provider Qualifications

License (specify):

Must be licensed according to Louisiana Revised Statutes 40:2116.31. Home Health Agency License

Certificate (specify):

Other Standard (specify):

Must be enrolled as a Medicaid Home Health Provider.

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Department of Health, Office of Management and Finance, Health Standards Section

For Home Health Agency employees: RN: Louisiana State Board of Nursing LPN: Louisiana State Board of Practical Nurse Examiners

Frequency of Verification:

Initially, Annually and as necessary

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Extended State Plan Service

Service Title:

Specialized Medical Equipment and Supplies

HCBS Taxonomy:

Category 1:

14 Equipment, Technology, and Modifications

Sub-Category 1:

14031 equipment and technology

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (Scope):

Specialized medical equipment and supplies are specified devices, controls, or appliances, specified in the plan of care, which enable individuals to increase their abilities to perform activities of daily living, or to perceive, control, or communicate with the environment in which they live.

This service also includes items necessary for life support, ancillary supplies and equipment necessary to the proper functioning of such items, and durable and non-durable medical equipment not available under the Medicaid State plan. Items reimbursed with waiver funds shall be in addition to any medical equipment and supplies furnished under the State plan and shall exclude those items which are not of direct medical or remedial benefit to the individual. All items shall meet applicable standards of manufacture, design and installation. This service may also be used for routine maintenance or repair of specialized equipment. Some examples would include sip and puffer switches, other specialized switches, voice activated, light activated, or motion activated devices to access the participant's environment. Routine maintenance or repair of specialized medical equipment is funded under this service.

Case managers shall pursue and document all alternate funding sources that are available to the participant, and alternate funding sources the participant may be eligible, before submitting a request for approval to purchase or lease Specialized Medical Equipment and Supplies.

To avoid delays in service provisions/implementation, the Support Coordinator should be familiar with the process for obtaining Specialized Medical Equipment and Supplies or durable medical equipment (DME) through the Medicaid State Plan.

Excluded are those specialized equipment and supplies that are not of direct medical or remedial benefit to the participant, such as:

Appliances (washer, dryer, stove, dishwasher, vacuum cleaner, etc.) whole home generators, swimming pool, hot tub, etc. eye exams, athletic and tennis shoes, automobiles, van lifts attached to van other than the participant's or the participant's family, adaptive toys, recreation equipment, (swing set, etc.)

Personal computers and software, daily hygiene products (deodorant, lotions, soap, toothbrush, toothpaste, feminine products, Band-Aids, q-tips, etc.)

Rent subsidy, food, bed covers, pillows, sheets, etc. exercise equipment, taxi fares, Intra and Interstate transportation services bus passes, pagers including monthly service, telephones including mobile telephones and monthly service, Home Security Systems, including monthly service.

Excluded are those durable and non-durable items that are available under the Medicaid State Plan. Support coordinators shall pursue and document all alternate funding sources that are available to the participant before submitting a request for approval to purchase or lease specialized medical equipment and supplies.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

A cap of \$1,000 for a 3 year period for this service will be per individual. On a case by case basis, with supporting documentation and based on need, an individual may be able to exceed this cap with the approval of OCDD and with the limits beyond the capped prior authorized.

Service Delivery Method *(check each that applies):*

- Participant-directed as specified in Appendix E
- Provider managed

Specify whether the service may be provided by *(check each that applies):*

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Assistive Devices

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Extended State Plan Service

Service Name: Specialized Medical Equipment and Supplies

Provider Category:

Agency

Provider Type:

Assistive Devices

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

Must meet all applicable vendor standards and/or requirements for manufacturing, design and installation of technological equipment and supplies.
Enrolled as a Medicaid provider.

Verification of Provider Qualifications

Entity Responsible for Verification:

Medicaid Fiscal Intermediary

Frequency of Verification:

Initially and Annually

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Adult Companion Care

HCBS Taxonomy:

Category 1:

02 Round-the-Clock Services

Sub-Category 1:

02023 shared living, other

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (Scope):

Adult Companion Care services are provided by a companion who is employed or contracted by a Medicaid enrolled provider agency. The companion lives as a roommate with the participant and must be at least eighteen years of age. The companion is available in accordance with a pre-arranged time schedule as outlined in the Plan of Care (POC). The companion is available to be contacted by telephone for crisis support on short notice as outlined in the POC. Adult Companion Care Services assist the waiver participant to achieve and/or maintain the outcomes of increased independence, productivity, inclusion in the community as outlined in the participant's POC.

This services includes assistance with all Activities of Daily Living (ADLs). Community integration and coordination of transportation services are provided by the companion. The companion is responsible for participating in and abiding by the POC as well as maintaining records in accordance with State requirements.

The provider agency must follow the following provisions:

- arranging the delivery of services;
- providing emergency services as needed;
- completing an initial and periodic inspections;
- contacting the companion a minimum of once per week or as specified in the POC;
- providing 24 hour oversight, back-up, and supervision;
- providing relief staff for scheduled and unscheduled absences, available for up to 360 hours (15 days) per year as authorized by the POC (relief staff for scheduled and unscheduled absences are included in the provider's rate);
- facilitating the development of a written agreement which is a part of the participants POC; and
- defining all shared responsibilities between the companion and the participant including but not limited to types of support provided by the companion, activities provided by the companion and a typical weekly schedule.

Revisions to this agreement must be facilitated by the participants provider agency in agreement with the participant and in conjunction with the support coordinator and support team.

The companion is an employee of the provider agency and is paid a flat daily rate to provide Adult Companion Care Services as included in the approved POC. The companion is responsible for meeting all financial obligations as agreed upon in the agreement between the provider agency, the participant and the companion.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Payment will not be made for services provided by a relative who is:
 Legal guardian of an adult with developmental disabilities;
 Spouse

Adult Companion Care services cannot be provided or billed for at the same time as Respite Care Services.

Participants receiving Adult Companion Care Services are not eligible for receiving Supported Independent Living, Individual and Family Support, Substitute Family Care, and Skilled Nursing.

Service Delivery Method *(check each that applies):*

- Participant-directed as specified in Appendix E
- Provider managed

Specify whether the service may be provided by *(check each that applies):*

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Monitored In-Home Caregiving
Agency	Personal Care Attendant

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service

Service Name: Adult Companion Care

Provider Category:

Agency

Provider Type:

Monitored In-Home Caregiving

Provider Qualifications

License (specify):

Home and Community Based Services Provider Licensing Standard LAC Title 48, Pat I, Subpart 3, Chapter 51, Monitored In-Home Caregiving Module

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Department of Health, Office of Management and Finance, Health Standards Section

Frequency of Verification:

Initially, annually, and as necessary

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service

Service Name: Adult Companion Care

Provider Category:

Agency

Provider Type:

Personal Care Attendant

Provider Qualifications

License (specify):

Home and Community Based Services Provider Licensing Standard LAC Title 48, Part I, Subpart 3, Chapter 50
Personal Care Attendant Module

Certificate (specify):

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Department of Health, Office of Management and Finance, Health Standards Section

Frequency of Verification:

Initially, annually, and as necessary

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Community Life Engagment Development

HCBS Taxonomy:

Category 1:

04 Day Services

Sub-Category 1:

04070 community integration

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.

- Service is not included in the approved waiver.**

Service Definition (*Scope*):

Community Life Engagement development should be utilized for the purpose of development of opportunities to assist individuals in becoming involved in their community and helping to develop a meaningful day for each individual. The purpose is to encourage and foster the development of meaningful relationships and memberships in the community, reflecting the person’s choices and values. The Community Life Engagement Developer (CLED) should work to develop individual activities, memberships and volunteer positions within the individual’s community based off each individual’s person centered plan.

To utilize this service, the recipient may or may not be present

It will be person-centered, plan-driven, with a cap of 60 hours per recipient per POC year, which includes the combination of shared and non-shared CLE.

CLE services may be shared by staff for up to three waiver participants who have a common direct service provider agency.

Transportation cost is included in the rate paid to the provider.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

There will be a cap of 60 hours per individual in 12 month Plan of Care year

Service Delivery Method (*check each that applies*):

- Participant-directed as specified in Appendix E**
- Provider managed**

Specify whether the service may be provided by (*check each that applies*):

- Legally Responsible Person**
- Relative**
- Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Day Habilitation

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service

Service Name: Community Life Engagment Development

Provider Category:

Agency

Provider Type:

Day Habilitation

Provider Qualifications

License (*specify*):

Home and Community Based Services Provider Licensing Standard LAC Title 48, Part I, Subpart 3, Chapter 50, Adult Day Care Module

Certificate (*specify*):

Certificate of completion of a 40 hour approved Supported Employment Training and annual 16 hour of employment and community related training

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Department of Health, Office of Management and Finance, Health Standards Section for licensed providers.

Louisiana Department of Health, Office for Citizens of Developmental Disabilities obtains annual list of CRPs from LRS for certified providers

Frequency of Verification:

initially,annually or as needed

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Environmental Accessibility Adaptations

HCBS Taxonomy:

Category 1:

14 Equipment, Technology, and Modifications

Sub-Category 1:

14020 home and/or vehicle accessibility adaptations

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.**
- Service is included in approved waiver. The service specifications have been modified.**
- Service is not included in the approved waiver.**

Service Definition (*Scope*):

Necessary physical adaptations to the home or vehicle, required by the individual's plan of care, which are necessary to ensure the health, welfare and safety of the individual, or which enable the individual to function with greater independence in the home, and without which, the individual would require institutionalization. These services are provided in accordance with Medicaid regulations and the participant's approved POC.

Home modification funds are not intended to cover basic construction cost. Waiver funds can be used to cover the difference between constructing a bathroom and building an accessible or modified bathroom, but in any situation must pay for a specific approved adaptation.

Such adaptations may include the installation of ramps and grab-bars, widening of doorways, modification of bathroom facilities, or installation of specialized electric and plumbing systems which are necessary to accommodate the medical equipment and supplies which are necessary for the welfare of the individual. Modifications may be applied to rental or leased property with the written approval of the landlord and approval of OCDD LGE.

Excluded are those adaptations or improvements to the home which are of general utility, and are not of direct medical or remedial benefit to the individual, such as carpeting, roof repair, central air conditioning, exterior fencing, general home repair and maintenance and whole home generators etc. Adaptations which add to the total square footage of the home are excluded from this benefit. All services shall be provided in accordance with applicable State or local building codes.

Vehicle modifications are designed to help the participant function with greater independence. Such adaptations to the vehicle may include a lift, or other adaptations to make the vehicle accessible to the participant, or for the participant to drive.

Excluded are those adaptations, which are of general utility, or for maintenance of the vehicle, or all providers must meet any state or local requirements for licensure or certification, as well as the person performing the service (such as building contractors, plumbers, electricians, or engineers). When state and local building or housing code standards are applicable, modifications to the home shall meet such standards.

Any services covered by Title XIX (Medicaid State Plan Services) are excluded and any services denied are not reimbursable.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

A cap of \$7,000 for a 3 year period for this service will be per participant. On a case by case basis, with supporting documentation based on need, a participant may be able to exceed this cap with the approval of OCDD State Office.

Service Delivery Method (*check each that applies*):

- Participant-directed as specified in Appendix E**
- Provider managed**

Specify whether the service may be provided by (*check each that applies*):

- Legally Responsible Person**
- Relative**
- Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Environmental Assessibility Adaptations

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service

Service Name: Environmental Accessibility Adaptations

Provider Category:

Agency

Provider Type:

Environmental Assessibility Adaptations

Provider Qualifications

License (*specify*):

Environmental Accessibility adaption providers must meet all applicable state and local (City or Parish) requirements (i.e., building contractors, plumbers, electricians, specialty vehicle dealer/modifer or engineers).

Certificate (*specify*):

Other Standard (*specify*):

Must be enrolled as a Medicaid Environmental modification provider and on the Freedom of Choice list for providers.

Verification of Provider Qualifications

Entity Responsible for Verification:

Medicaid Fiscal Intermediary

Frequency of Verification:

Initially and Annually

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Housing Stabilization Service

HCBS Taxonomy:

Category 1:

17 Other Services

Sub-Category 1:

17030 housing consultation

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.**
- Service is included in approved waiver. The service specifications have been modified.**
- Service is not included in the approved waiver.**

Service Definition (Scope):

Housing Stabilization Service enables waiver participants to maintain their own housing as set forth in the participant’s approved plan of care (POC). Services must be provided in the home or a community setting. The service includes the following components:

1. Conduct a housing assessment identifying the participant’s preferences related to housing (type, location, living alone or with someone else, accommodations needed, other important preferences) and needs for support to maintain housing (including access to, meeting terms of lease, and eviction prevention), budgeting for housing/living expenses, obtaining/accessing sources of income necessary for rent, home management, establishing credit and understanding and meeting obligations of tenancy as defined in lease terms.
2. Assist participant to view and secure housing as needed. This may include arranging or providing transportation. Assist participant to secure supporting documents/records, completing/submitting applications, securing deposits, locate furnishings.
3. Develop an individualized housing stabilization service provider plan based upon the housing assessment that includes short and long-term measurable goals for each issue, establishes the participant’s approach to meeting the goal, and identifies where other provider(s) or services may be required to meet the goal.
4. Participate in the development of the plan of care, incorporating elements of the housing stabilization service provider plan. Participate in plan of care renewal and updates as needed.
5. Provide supports and interventions per the individualized housing stabilization service provider plan. If additional supports or services are identified as needed outside the scope of Housing Stabilization Services, communicate the needs to the Support Coordinator.
6. Communicate with the landlord or property manager regarding the participant’s disability, accommodations needed, and components of emergency procedures involving the landlord or property manager.
7. If at any time the participant’s housing is placed at risk (eg.,eviction, loss of roommate or income), Housing Stabilization Services will provide supports to retain housing or locate and secure housing to continue community based supports including locating new housing, sources of income, etc.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Available only to participants who:

- Are residing in a State of Louisiana Permanent Supportive Housing unit or
- Are linked for the State of Louisiana Permanent Supportive Housing selection process

Limited to:

- No more than 165 combined units of this service and the Housing Stabilization Transition service (units can only be exceeded with written approval from OCDD)

Service Delivery Method (check each that applies):

- Participant-directed as specified in Appendix E
- Provider managed

Specify whether the service may be provided by (check each that applies):

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Permanent Supportive Housing Agency

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Housing Stabilization Service

Provider Category:

Agency

Provider Type:

Permanent Supportive Housing Agency

Provider Qualifications

License (specify):

Certificate (specify):

Community Psychiatric and Support Team

Other Standard (specify):

Permanent Supportive Housing (PSH) Agency under contract and enrolled with the Louisiana Department of Health Statewide Management Organization for Behavioral Health Services plus either:

1. meeting requirements for completion of training program as verified by the PSH director; or
2. have at least one year of completion of housing support team experience in the PSH program as verified by the PSH director.

Verification of Provider Qualifications

Entity Responsible for Verification:

OAAS, the program office housing the PSH director

Frequency of Verification:

Initial and annual thereafter

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Housing Stabilization Transition Service

HCBS Taxonomy:

Category 1:

17 Other Services

Sub-Category 1:

17030 housing consultation

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (Scope):

Housing Stabilization Transition Service enable participants who are transitioning into a PSH unit, including those transitioning from institutions, to secure their own housing. The service is provided while the participant is in an institution and preparing to exit the institution using the waiver. The service includes the following components:

1. Conduct a housing assessment identifying the participant’s preferences related to housing (type, location, living alone or with someone else, accommodations needed, other important preferences) and needs for support to maintain housing (including access to, meeting terms of lease, and eviction prevention), budgeting for housing/living expenses, obtaining/accessing sources of income necessary for rent, home management, establishing credit and understanding and meeting obligations of tenancy as defined in lease terms.
2. Assist participant to view and secure housing as needed. This may include arranging or providing transportation. Assist participant to secure supporting documents/records, completing/submitted applications, securing deposits, locate furnishings.
3. Develop an individualized housing stabilization service provider plan based upon the housing assessment that includes short and long-term measurable goals for each issue, establishes the participant’s approach to meeting the goal, and identifies where other provider(s) or services may be required to meet the goal.
4. Participate in the development of the plan of care, incorporating elements of the housing stabilization service provider plan.
5. Look for alternatives to housing if permanent supportive housing is unavailable to support completion of transition.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Available only to participants who:

- Are residing in a State of Louisiana Permanent Supportive Housing unit or
- Are linked for the State of Louisiana Permanent Supportive Housing selection process

Limited to:

- No more than 165 combined units of this service and the Housing Stabilization service (units can only be exceeded with written approval from OCDD)

Service Delivery Method *(check each that applies):*

- Participant-directed as specified in Appendix E
- Provider managed

Specify whether the service may be provided by *(check each that applies):*

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Permanent Supportive Housing Agency

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Housing Stabilization Transition Service

Provider Category:

Agency

Provider Type:

Permanent Supportive Housing Agency

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Community Psychiatric and Support Team

Other Standard *(specify):*

Permanent Supportive Housing (PSH) Agency under contract and enrolled with the Louisiana Department of Health Statewide Management Organization for Behavioral Health Services plus either:

1. meeting requirements for completion of training program as verified by the PSH director; or
2. have at least one year of completion of housing support team experience in the PSH program as verified by the PSH director.

Verification of Provider Qualifications

Entity Responsible for Verification:

OAAS, the program office housing the PSH director

Frequency of Verification:

Initial and annual thereafter

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

One-Time Transitional

HCBS Taxonomy:

Category 1:

16 Community Transition Services

Sub-Category 1:

16010 community transition services

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (Scope):

One Time Transitional Services are one-time, set-up expenses for individuals who make the transition from an ICF/DD to their own home or apartment in the community of their choice. Expenses can be utilized for security deposits that are required to obtain a lease on an apartment or home and set up fees or deposits for utilities (telephone, electricity, heating by gas) and essential furnishings to establish basic living arrangements which are bed, chair, a dining table and chairs, eating utensils, and food preparation items and a telephone. The expenses can also cover health and safety assurances, such as pest eradication, allergen control, or one-time cleaning prior to occupancy. Security deposits do not include rental payments.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

One time life time maximum service of \$3,000 per individual. Service expenditures will be tracked by MMIS and OCDD data files and through prior and post authorization records.

Service Delivery Method (check each that applies):

- Participant-directed as specified in Appendix E
- Provider managed

Specify whether the service may be provided by (check each that applies):

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Transitional Support

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: One-Time Transitional

Provider Category:

Provider Type:

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:

Frequency of Verification:

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

HCBS Taxonomy:

Category 1:

Sub-Category 1:

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.**
- Service is included in approved waiver. The service specifications have been modified.**
- Service is not included in the approved waiver.**

Service Definition (Scope):

Personal Emergency Response System (PERS) is an electronic device which enables individuals to secure help in an emergency. The individual may also wear a portable "help" button to allow for mobility. The system is connected to the person's phone and programmed to signal a response center once a "help" button is activated. The response center is staffed by trained professionals.

PERS services are available to individuals who have a demonstrated need for quick emergency back-up, are unable to use other communication systems as they are not adequate to summon emergency assistance, or do not have 24 hour direct supervision.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Coverage of the PERS is limited to the rental of the electronic device. PERS services shall include the cost of maintenance and training the recipient to use the equipment. Reimbursement will be made for an installation fee for the PERS unit. A monthly fee will be paid for the maintenance of the PERS.

Service Delivery Method (check each that applies):

- Participant-directed as specified in Appendix E**
- Provider managed**

Specify whether the service may be provided by (check each that applies):

- Legally Responsible Person**
- Relative**
- Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Personal Emergency Response System

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Personal Emergency Response

Provider Category:

Provider Type:

Personal Emergency Response System

Provider Qualifications

License (specify):

Not applicable

Certificate (specify):

Qualifications for those working in the response centers are certified Emergency Medical Dispatcher. Job qualifications include: A certified Emergency Medical Dispatcher is a professional telecommunicator, tasked with the gathering of information related to medical emergencies, the provision of assistance and instructions by voice, prior to the arrival of Emergency Medical Services, and the dispatching and support of EMS resources responding to an emergency call. The term Emergency Medical Dispatcher is a certification level and a professional designation, certified through the National Academies of Emergency Dispatch. The Emergency Medical Dispatcher will fill a number of critical functions, including the identification of basic call information, including the location and telephone number of the caller, the location of the patient, the general nature of the problem, and any special circumstances. The EMD Dispatcher will then use an approved set of protocols to provide first aid and pre-arrival assistance to the subscriber and/or bystander.

Other Standard (specify):

Agency must be enrolled in Medicaid to provide personal emergency response system. The provider shall install and support PERS equipment in compliance with all applicable federal, state, county (parish) and local laws and regulations and meet manufacturers specifications, response requirements, maintenance records, and enrollee education.

Verification of Provider Qualifications

Entity Responsible for Verification:

Medicaid Fiscal Intermediary
City or Parish issuing business license

Frequency of Verification:

Initially and annually
As required per the City and/or Parish

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Professional Services

HCBS Taxonomy:

Category 1:

10 Other Mental Health and Behavioral Services

Sub-Category 1:

10040 behavior support

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.**
- Service is included in approved waiver. The service specifications have been modified.**
- Service is not included in the approved waiver.**

Service Definition (Scope):

Professional Services are direct services to participants, based on need, and specified in an approved POC. Children who participate in the New Opportunities waiver will receive these services through EPSDT.

Professional services offered are: social work services, psychological (psychologist), and dietitian/nutritionist. Professionals providing these services must be contracted or employed by an enrolled Personal Care Attendant provider, Supported Living provider, or a Home Health agency and licensed in their area of expertise with one-year minimum of experience post licensure.

Professional services may be utilized to:

Assist in increasing the individuals independence, participation and productivity in their home, work and community

Provide training or therapy to an individual and/or their natural and formal supports, necessary to either develop critical skills that may be self-managed by the individual or maintained according to the individuals needs,

Perform assessments and/or re-assessments and recommendations

Intervene in and stabilize a crisis situation (behavioral or medical) that could result in the loss of home and community-based services.

Provide consultative services and recommendations

Provide necessary information to the individual, family, caregivers, and/or team to assist in planning and implementing plans per the approved plan of care.

Service intensity, frequency, and duration will be determined by individual need. The services may be short-term, intermittent, or long-term, depending on the need. Determinations for service utilization are made by the team developing the plan of support.

The participant may utilize one or more professional services in the same day but not at the same time.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

There is a \$2,250 per individual, per plan of care year cap for professional services.

Additional services can be prior authorized if the individual reaches the cap before the expiration of the plan of care year and the individuals health and safety are at risk.

This waiver service is only provided to individuals age 21 and over. All medically necessary professional services for children under the age of 21 are covered in the state plan pursuant to the EPSDT benefit.

Service Delivery Method (check each that applies):

- Participant-directed as specified in Appendix E**

Provider managed

Specify whether the service may be provided by (check each that applies):

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Individual	Psychologist
Agency	Supervised Independent Living
Agency	Home Health Agency
Agency	Personal Care Attendant
Individual	Social Worker
Individual	Dietician/Nutritionist

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Professional Services

Provider Category:

Individual

Provider Type:

Psychologist

Provider Qualifications

License (specify):

Psychologist: Louisiana State Board of Examiners of Psychologists: Louisiana Revised Statues 37:2356

Certificate (specify):

Not applicable.

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana State Board of Examiners of Psychologists

Frequency of Verification:

Initially, every two years, and as necessary

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Professional Services

Provider Category:

Provider Type:

Provider Qualifications**License (specify):**

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications**Entity Responsible for Verification:**

Frequency of Verification:

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service
Service Name: Professional Services

Provider Category:

Provider Type:

Provider Qualifications**License (specify):**

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications**Entity Responsible for Verification:**

Louisiana Department of Health, Bureau of Health Services Financing, Health Standards Section
 For Home Health Agency employees: RN: Louisiana State Board of Nursing LPN: Louisiana State Board of Practical Nurse Examiners

Frequency of Verification:

Initially, annually, and as necessary

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service

Service Name: Professional Services

Provider Category:

Agency

Provider Type:

Personal Care Attendant

Provider Qualifications

License (specify):

Home and Community Based Services Provider Licensing Standard LAC Title 48, Part I, Subpart 3, Chapter 50
 Personal Care Attendant Module

Certificate (specify):

Not applicable.

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Department of Health, Office of Management and Finance, Health Standards Section

Frequency of Verification:

Initially, annually and as necessary

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service

Service Name: Professional Services

Provider Category:

Individual

Provider Type:

Social Worker

Provider Qualifications

License (*specify*):

Social Worker: Louisiana Board of Certified Social Work Examiners: Louisisana Revised Statues 37:2701-2723

Certificate (*specify*):

Not applicable

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana State Board of Social Work Examiners

Frequency of Verification:

Initially, annually and as necessary

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service

Service Name: Professional Services

Provider Category:

Individual

Provider Type:

Dietician/Nutritionist

Provider Qualifications

License (*specify*):

Dietician/Nutritionist: State Board of Examiners in Dietetics and Nutrition for State of Louisiana: Louisiana Revised Statues 37:3086

Certificate (*specify*):

Not applicable

Other Standard (*specify*):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Board of Examiners in Dietetics and Nutrition

Frequency of Verification:

Initially, annually and as necessary

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Service Type:

Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.

Service Title:

Substitute Family Care (SFC)

HCBS Taxonomy:

Category 1:

02 Round-the-Clock Services

Sub-Category 1:

02021 shared living, residential habilitation

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one :

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (Scope):

Substitute Family Care services is the Louisiana service title for the CMS core definition Adult Foster Care. Substitute Family Care services include personal care and services, homemaker, chore, attendant care and companion services medication oversight (to the extent permitted under State law) are provided in a licensed (where applicable) private home by a principal care provider who lives in the home. Substitute Family Care in Louisiana is licensed as Substitute Family Care agencies.

Substitute Family Care is furnished to participants age 18 and older who receive these services in conjunction with residing in the home. The total number of individuals (including persons served in the waiver) living in the home, unrelated to the principal care provider, cannot exceed three.

Substitute Family Care participants may receive Individual and Family Supports services. Payments are not made for room and board, items of comfort or convenience, or the cost of facility maintenance, upkeep and improvement. Payment does not include payments made, directly or indirectly to members of the participants immediate family.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Substitute Family Care services are limited to one service per day.

Service Delivery Method (check each that applies):

- Participant-directed as specified in Appendix E
- Provider managed

Specify whether the service may be provided by (check each that applies):

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Agency	Substitute Family Care

Appendix C: Participant Services

C-1/C-3: Provider Specifications for Service

Service Type: Other Service

Service Name: Substitute Family Care (SFC)

Provider Category:

Agency

Provider Type:

Substitute Family Care

Provider Qualifications

License (specify):

Home and Community Based Services Provider Licensing Standard LAC Title 48, Part I, Subpart 3, Chapter 50, Substitute Family Care Module

Certificate (specify):

Not applicable.

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

Louisiana Department of Health, Office of Management and Finance, Health Standards Section

Frequency of Verification:

Initially, annually, and as necessary

Appendix C: Participant Services

C-1: Summary of Services Covered (2 of 2)

b. Provision of Case Management Services to Waiver Participants. Indicate how case management is furnished to waiver participants (*select one*):

- Not applicable** - Case management is not furnished as a distinct activity to waiver participants.
- Applicable** - Case management is furnished as a distinct activity to waiver participants.

Check each that applies:

- As a waiver service defined in Appendix C-3.** *Do not complete item C-1-c.*
- As a Medicaid state plan service under §1915(i) of the Act (HCBS as a State Plan Option).** *Complete item C-1-c.*
- As a Medicaid state plan service under §1915(g)(1) of the Act (Targeted Case Management).** *Complete item C-1-c.*
- As an administrative activity.** *Complete item C-1-c.*
- As a primary care case management system service under a concurrent managed care authority.** *Complete item C-1-c.*

c. Delivery of Case Management Services. Specify the entity or entities that conduct case management functions on behalf of waiver participants:

Private case management agencies are licensed by LDH and enrolled as a Medicaid provider of case management services.

Appendix C: Participant Services

C-2: General Service Specifications (1 of 3)

a. Criminal History and/or Background Investigations. Specify the state's policies concerning the conduct of criminal history and/or background investigations of individuals who provide waiver services (*select one*):

- No. Criminal history and/or background investigations are not required.**
- Yes. Criminal history and/or background investigations are required.**

Specify: (a) the types of positions (e.g., personal assistants, attendants) for which such investigations must be conducted; (b) the scope of such investigations (e.g., state, national); and, (c) the process for ensuring that mandatory investigations have been conducted. State laws, regulations and policies referenced in this description are available to CMS upon request through the Medicaid or the operating agency (if applicable):

In accordance with Home and Community Based Services Provider Licensing Standard LAC Title 48, Part I, Subpart 3, Chapter 92, Direct Service Worker Registry, criminal history/ background checks are conducted on all new employees prior to allowing the employee to work directly with individuals receiving HCBS services. The scope of the history or background checks is not mandated but at a minimum the Louisiana State Police (LSP) or their designee conduct a statewide level check.

The Louisiana State Police (LSP), or the LSP designee companies they recognize as competent, perform the actual criminal history/background checks and security check on the individual.

A sample of employee background checks/security checks are reviewed by Health Standards Section during licensing and monitoring reviews. Health Standards (HSS) is the regulatory agency for LDH. HSS licenses direct service providers (DSP) and ensures compliance with the applicable rules and regulations. Licensing standards require that DSPs conduct criminal history back ground checks and sex offender checks on all non-licensed personnel at the time an offer of employment is made. HSS surveyors will assess the provider's compliance with the requirement at the time surveys are conducted.

All persons who provide direct waiver services for children and adults who have disabilities are monitored by Health Standards Section for compliance with applicable laws as follows:

LA R.S. 14:403.2 XI-B; abuse and neglect of adults (includes disabled adults); and

LA R.S. 40:1300.53, "Criminal History Checks on Non-licensed Persons and Licensed Ambulance Personnel" and LA R.S. 40:1300.52 statutes were redesignated by HCR 84 Act 816 of the 2015 Regular Legislative Session as LA R.S. 40-1203.3 and LA R.S. 40-1203.2 respectively. These statutes require the criminal background check to include a security check. The security check will search the national sex offender public registry. All direct support provider agencies are encouraged to become familiar with, and have on hand, the above mentioned statutes as a reference when hiring.

b. Abuse Registry Screening. Specify whether the state requires the screening of individuals who provide waiver services through a state-maintained abuse registry (select one):

- No. The state does not conduct abuse registry screening.**
- Yes. The state maintains an abuse registry and requires the screening of individuals through this registry.**

Specify: (a) the entity (entities) responsible for maintaining the abuse registry; (b) the types of positions for which abuse registry screenings must be conducted; and, (c) the process for ensuring that mandatory screenings have been conducted. State laws, regulations and policies referenced in this description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable):

The Direct Service Worker Registry is managed under contract by the Louisiana Board of Examiner for Nursing Facility Administrators. All direct service providers are required to check the registry prior to hiring a worker to assure that there have been no findings of abuse, neglect, misappropriation, exploitation or extortion placed against a worker. Compliance is verified by Health Standards at the time of on-site surveys of provider agencies. Senate Bill 271 (Act 306) of the 2005 legislative session established the registry and directed LDH to publish rules and regulations. The DSW rule was published November 20, 2006.

Appendix C: Participant Services

C-2: General Service Specifications (2 of 3)

c. Services in Facilities Subject to §1616(e) of the Social Security Act. *Select one:*

- No. Home and community-based services under this waiver are not provided in facilities subject to §1616(e) of the Act.**
- Yes. Home and community-based services are provided in facilities subject to §1616(e) of the Act. The standards that apply to each type of facility where waiver services are provided are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).**

Appendix C: Participant Services

C-2: General Service Specifications (3 of 3)

d. Provision of Personal Care or Similar Services by Legally Responsible Individuals. A legally responsible individual is any person who has a duty under state law to care for another person and typically includes: (a) the parent (biological or adoptive) of a minor child or the guardian of a minor child who must provide care to the child or (b) a spouse of a waiver participant. Except at the option of the State and under extraordinary circumstances specified by the state, payment may not be made to a legally responsible individual for the provision of personal care or similar services that the legally responsible individual would ordinarily perform or be responsible to perform on behalf of a waiver participant. *Select one:*

- No. The state does not make payment to legally responsible individuals for furnishing personal care or similar services.**
- Yes. The state makes payment to legally responsible individuals for furnishing personal care or similar services when they are qualified to provide the services.**

Specify: (a) the legally responsible individuals who may be paid to furnish such services and the services they may provide; (b) state policies that specify the circumstances when payment may be authorized for the provision of *extraordinary care* by a legally responsible individual and how the state ensures that the provision of services by a legally responsible individual is in the best interest of the participant; and, (c) the controls that are employed to ensure that payments are made only for services rendered. *Also, specify in Appendix C-1/C-3 the personal care or similar services for which payment may be made to legally responsible individuals under the state policies specified here.*

The state ensures that the provision of services by a legally responsible individual is in the best interest of the participant using the team approach and must be on the plan of care.

Any NOW service may be provided by a member of the participant's family, provided that the family member passes all background checks. Family members that live in the home with the recipient cannot exceed a combined total of 40 hours per week. Family members that may provide services include parents of an adult child, siblings, grandparents, aunts, uncles, and cousins, in-laws. The family member must become an employee of the participant's agency of choice or under Self-Direction and must meet the same standards as direct support staff that are not related to the individual. Payment for services rendered are approved by prior and post authorization as outlined in the POC. An exception to the "lives with" exclusion applies to Adult Companion Care and Monitored in Home Caregiving (MIHC), since these services are based on a roommate/in home care giver providing supports to the participant. Legally responsible relative/representative cannot provide services on a 15 minute unit basis, however they can provide services under the Monitored in Home Caregiving.

During periods of emergency, participants may live with their direct support staff on a temporary basis as allowed, in writing, by the OCDD Assistant Secretary/designee.

- Self-directed**
- Agency-operated**

e. Other State Policies Concerning Payment for Waiver Services Furnished by Relatives/Legal Guardians. Specify state policies concerning making payment to relatives/legal guardians for the provision of waiver services over and above the policies addressed in Item C-2-d. *Select one:*

- The state does not make payment to relatives/legal guardians for furnishing waiver services.**
- The state makes payment to relatives/legal guardians under specific circumstances and only when the relative/guardian is qualified to furnish services.**

Specify the specific circumstances under which payment is made, the types of relatives/legal guardians to whom payment may be made, and the services for which payment may be made. Specify the controls that are employed to ensure that payments are made only for services rendered. *Also, specify in Appendix C-1/C-3 each waiver service for which payment may be made to relatives/legal guardians.*

Relatives/legal guardians may be paid for providing waiver services whenever the relative/legal guardian is qualified to provide services as specified in Appendix C-1/C-3.

Specify the controls that are employed to ensure that payments are made only for services rendered.

Any NOW service may be provided by a member of the participant’s family, provided that the family member passes all background checks. Family members that live in the home with the recipient cannot exceed a combined total of 40 hours per week. Family members that may provide services include parents of an adult child, siblings, grandparents, aunts, uncles, and cousins, in-laws. The family member must become an employee of the participant’s agency of choice or under Self-Direction and must meet the same standards as direct support staff that are not related to the individual. Payment for services rendered are approved by prior and post authorization as outlined in the POC. An exception to the “lives with” exclusion applies to Adult Companion Care and Monitored in Home Caregiving (MIHC), since these services are based on a roommate/in home care giver providing supports to the participant. Legally responsible relative/representative cannot provide services on a 15 minute unit basis, however they can provide services under the Monitored in Home Caregiving.

During periods of emergency, participants may live with their direct support staff on a temporary basis as allowed, in writing, by the OCDD Assistant Secretary/designee.

Other policy.

Specify:

f. Open Enrollment of Providers. Specify the processes that are employed to assure that all willing and qualified providers have the opportunity to enroll as waiver service providers as provided in 42 CFR §431.51:

Willing and qualified providers can access information on becoming an enrolled waiver service provider several ways:

Via the Louisiana Medicaid website;

Through state facilitated stakeholder meetings regarding waiver services; and

Through state facilitated meetings with provider organizations such as ARC of Louisiana, Alliance of Direct Support Professionals, and Alliance of Support Coordinators.

To date, Louisiana has not had a problem finding enough willing and qualified providers to enroll as waiver service providers.

As per the Interagency Agreement between the Medicaid Bureau of Health Services Financing (BHSF) and the OCDD:

All willing and qualified providers have the opportunity to enroll as waiver service providers by first submitting a facility needs review packet to LDH, Office of Management and Finance, Health Standards Section. Upon approval of the facility needs review, a license is issued.

After obtaining a license, the provider applicant must complete and sign a Louisiana Provider Enrollment form (PE-50) to participate in the Medicaid program;

BHSF, or its designee, reviews all information, and makes a determination whether to enroll the provider in the Medicaid program;

BHSF, or its designee assigns each new enrolled provider a unique Medicaid number and sends the OCDD this information;

The Providers name is then added to the Freedom of Choice list;

BHSF trains all waiver providers in licensing and certification procedures and requirements;

BHSF, OCDD, or its agent train waiver providers in the proper procedures to follow in submitting claims to the Medicaid program Fiscal Intermediary Provider relations handles all questions concerning the submission of claims;

BHSF is responsible for insuring that waiver providers remain in compliance with all rules and regulations required for participation in the Medicaid program; and

Fiscal Intermediary, or its designee notifies OCDD State Office in the event any previously enrolled waiver services provider is removed from the active Medicaid provider files. This notification includes the effective date of the closure and the reason.

All prospective providers must go through a provider enrollment on-site visit. The provider is listed on the Provider Freedom of Choice form for the appropriate regions for which they have completed enrollment and licensure. (Health Standards Section) notifies the OCDD State Office when an enrolled provider is removed from the active Medicaid provider file and Freedom of Choice list. Notification will include the reason and the date of closure.

Appendix C: Participant Services

Quality Improvement: Qualified Providers

As a distinct component of the States quality improvement strategy, provide information in the following fields to detail the States methods for discovery and remediation.

a. Methods for Discovery: Qualified Providers

The state demonstrates that it has designed and implemented an adequate system for assuring that all waiver services are provided by qualified providers.

i. Sub-Assurances:

a. Sub-Assurance: *The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services.*

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance, complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are

identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

C.a.i.a.1. Number and percentage of new HCBS providers who meet HCBS licensing standards prior to furnishing waiver services. Percentage = Number of HCBS providers who meet HCBS licensing standards prior to furnishing waiver services. / Total number of initial HCBS providers

Data Source (Select one):

Other

If 'Other' is selected, specify:

ASPEN

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: <input type="text" value="Health Standards Section"/>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: <input type="text" value="Health Standards Section"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

Performance Measure:

C.a.i.a.2. Number and percentage of HCBS providers that continually meet HCBS licensing standards. Percentage = Number of HCBS providers that continually meet HCBS licensing standards / Total number of licensed HCBS providers

Data Source (Select one):

Other

If 'Other' is selected, specify:

ASPEN

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = <input type="text" value="95%"/>
<input checked="" type="checkbox"/> Other Specify:	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:

Health Standards Section		
	<input type="checkbox"/> Continuously and Ongoing	<input checked="" type="checkbox"/> Other Specify: <div style="border: 1px solid black; padding: 2px; width: fit-content;">Combinations of compliant surveys and licensures</div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px auto;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: <div style="border: 1px solid black; padding: 2px; width: fit-content;">Health Standards Section</div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 150px; height: 25px; margin: 5px auto;"></div>

b. Sub-Assurance: The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.

For each performance measure the State will use to assess compliance with the statutory assurance, complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are

identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

C.a.i.b.1. Number and percentage of unlicensed providers who meet Medicaid enrollment requirements. Percentage = Number of unlicensed providers who meet Medicaid enrollment requirements / Total number of unlicensed provider applicants.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Medicaid Fiscal Intermediary

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

Performance Measure:

C.a.i.b.2. Number and percentage of self-direction employees screened by the fiscal/employer agent who are eligible for hire due to passing a criminal background screening. Percentage = Number of newly hired self-direction employees who pass the initial background screening / Total number of newly hired self-direction employees reviewed in the sample.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Fiscal Agent Report Review

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

c. Sub-Assurance: The State implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and the approved waiver.

For each performance measure the State will use to assess compliance with the statutory assurance, complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

C.a.i.c.1. The number and percentage of HCBS licensed providers meeting annual provider training requirements in accordance with state laws/policies. Numerator = Number of HCBS licensed providers meeting annual provider training requirements in accordance with state laws/policies; Denominator= Total number of licensed HCBS providers.

Data Source (Select one):

Training verification records

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: <input type="text" value="Health Standards Section"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: <input type="text" value="Health Standards Section"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.

C.a.i.c.1: LDH is required to maintain a registry of individuals to include information concerning any documentation of any investigation for findings of abuse, neglect, extortion, exploitation and misappropriation of property, including a summary of findings after an action is final. Employers must use the registry to determine if there is a finding of abuse, neglect or misappropriation. An individual with a finding of abuse, neglect or misappropriation on the registry may not be hired.

C.a.i.a.3: A provisional license may be issued to a provider that has deficiencies which are not a danger to the health and welfare of clients. They are issued for a period up to six months. Providers who fail to attain substantial compliance following the issuance of a provisional license may be denied license renewal or may have the license revoked.

b. Methods for Remediation/Fixing Individual Problems

i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the state to document these items.

For services provided in the NOW, the general remediation procedure the State utilizes is for the LGE staff to review data on corrective actions and identify which items are unclear or need revision. Staff work with the provider to ensure that the corrective action plan is clear, reasonable and has been implemented to address the concerns.

C.a.i.a.1 and C.a.i.a.2: For every deficiency cited, the provider must submit a plan of correction. If acceptable, a follow up survey will be conducted. This will be accomplished either via onsite visit or via written evidence submitted by the provider, depending on the deficiency(ies). The plan of correction will require the provider to give a completion date (no more than 60 days) for each deficiency as well as the staff person responsible for monitoring and assuring continued compliance. Failure to come into substantial compliance could result in non-renewal of the license or license revocation which will result in cancellation of the Medicaid provider agreement. Civil monetary penalties may be imposed for deficiencies resulting in abuse, neglect, actual harm or death to a client or when there are repeat deficiencies within 18 months. Failure to pay the fine results in withholding the money from vendor payment.

C.a.i.a.2: If a provisional license is issued, the provider will be reviewed at the end of the provisional license period to determine compliance. If the provider is still not in compliance, the license may not be renewed or license revocation may be initiated.

C.a.i.b.2: OCDD will monitor a random sample of 10% of newly hired staff for participant's who have chosen the self-direction option to ensure that background screenings have been done. If it is found that staff was allowed to work without a background screening, remediation will be required from the Fiscal Agent.

ii. Remediation Data Aggregation

Remediation-related Data Aggregation and Analysis (including trend identification)

Responsible Party <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: <div style="border: 1px solid black; padding: 2px; width: fit-content;">Health Standards Section and Fiscal Agent</div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 30px; width: 100%; margin-top: 5px;"></div>

c. Timelines

When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Qualified Providers that are currently non-operational.

- No
- Yes

Please provide a detailed strategy for assuring Qualified Providers, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix C: Participant Services

C-3: Waiver Services Specifications

Section C-3 'Service Specifications' is incorporated into Section C-1 'Waiver Services.'

Appendix C: Participant Services

C-4: Additional Limits on Amount of Waiver Services

a. Additional Limits on Amount of Waiver Services. Indicate whether the waiver employs any of the following additional limits on the amount of waiver services (*select one*).

- Not applicable-** The state does not impose a limit on the amount of waiver services except as provided in Appendix C-3.
- Applicable** - The state imposes additional limits on the amount of waiver services.

When a limit is employed, specify: (a) the waiver services to which the limit applies; (b) the basis of the limit, including its basis in historical expenditure/utilization patterns and, as applicable, the processes and methodologies that are used to determine the amount of the limit to which a participant's services are subject; (c) how the limit will be adjusted over the course of the waiver period; (d) provisions for adjusting or making exceptions to the limit based on participant health and welfare needs or other factors specified by the state; (e) the safeguards that are in effect when the amount of the limit is insufficient to meet a participant's needs; (f) how participants are notified of the amount of the limit. (*check each that applies*)

- Limit(s) on Set(s) of Services.** There is a limit on the maximum dollar amount of waiver services that is authorized for one or more sets of services offered under the waiver.
Furnish the information specified above.

- Prospective Individual Budget Amount.** There is a limit on the maximum dollar amount of waiver services authorized for each specific participant.
Furnish the information specified above.

- Budget Limits by Level of Support.** Based on an assessment process and/or other factors, participants are assigned to funding levels that are limits on the maximum dollar amount of waiver services.
Furnish the information specified above.

- Other Type of Limit.** The state employs another type of limit.
Describe the limit and furnish the information specified above.

Appendix C: Participant Services

Explain how residential and non-residential settings in this waiver comply with federal HCB Settings requirements at 42 CFR 441.301(c)(4)-(5) and associated CMS guidance. Include:

1. Description of the settings and how they meet federal HCB Settings requirements, at the time of submission and in the future.
2. Description of the means by which the state Medicaid agency ascertains that all waiver settings meet federal HCB Setting requirements, at the time of this submission and ongoing.

Note instructions at Module 1, Attachment #2, HCBS Settings Waiver Transition Plan for description of settings that do not meet requirements at the time of submission. Do not duplicate that information here.

The settings are not fully in compliance at this time. Please refer to Attachment #2.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (1 of 8)

State Participant-Centered Service Plan Title:

Plan of Care (POC)

a. Responsibility for Service Plan Development. Per 42 CFR §441.301(b)(2), specify who is responsible for the development of the service plan and the qualifications of these individuals (*select each that applies*):

- Registered nurse, licensed to practice in the state**
- Licensed practical or vocational nurse, acting within the scope of practice under state law**
- Licensed physician (M.D. or D.O)**
- Case Manager** (qualifications specified in Appendix C-1/C-3)
- Case Manager** (qualifications not specified in Appendix C-1/C-3).

Specify qualifications:

Louisiana identifies Case Management as Support Coordination. Support Coordinators' qualifications are the same as case managers.

Case Manager (CM) must meet the following:

- 1). A Bachelor's or Master Degree in social work from a program accredited by the Council on Social Work Education; or
- 2). A Bachelors's or Master Degree in nursing (RN)currently licensed in Louisiana (one year of paid experience will substitute for the degree); or
- 3). A Bachelor's or Master Degree in a human service field which includes; psychology, education, counseling, social services, sociology, philosophy, family and consumer sciences, criminal justice, rehab services, child development, substance abuse, gerontology, and vocational rehabilitation; or
- 4). A Bachelor's in liberal arts or general studies with a concentration of at least 16 hours in one of the fields listed in item 3 of this part.

- Social Worker**
Specify qualifications:

- Other**

Specify the individuals and their qualifications:

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (2 of 8)

b. Service Plan Development Safeguards. *Select one:*

- Entities and/or individuals that have responsibility for service plan development may not provide other direct waiver services to the participant.**
- Entities and/or individuals that have responsibility for service plan development may provide other direct waiver services to the participant.**

The state has established the following safeguards to ensure that service plan development is conducted in the best interests of the participant. *Specify:*

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (3 of 8)

c. Supporting the Participant in Service Plan Development. Specify: (a) the supports and information that are made available to the participant (and/or family or legal representative, as appropriate) to direct and be actively engaged in the service plan development process and (b) the participant's authority to determine who is included in the process.

Following selection of and linkage to a support coordination agency, the assigned support coordinator explains all available services in the Waiver during the initial contact so that the participant and his/her family/legal representatives can make informed choices. The participant is also informed of any procedural safeguards, their rights and responsibilities, how to request a change of Support Coordination agencies or Direct Service Providers, and the grievance and/or complaint procedures. The Support Coordinator provides assistance in gaining access to the full range of needed services including medical, social, educational, and/or other supports as identified by the participant.

The initial meetings are conducted in face-to-face visits preferably in the participants place of residence. During this visit, the participant chooses who will be part of their planning process as their support team. The Support Coordinator assists the participant in contacting the team members with the date(s) and time(s) of future planning meeting(s).

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (4 of 8)

d. Service Plan Development Process. In four pages or less, describe the process that is used to develop the participant-centered service plan, including: (a) who develops the plan, who participates in the process, and the timing of the plan; (b) the types of assessments that are conducted to support the service plan development process, including securing information about participant needs, preferences and goals, and health status; (c) how the participant is informed of the services that are available under the waiver; (d) how the plan development process ensures that the service plan addresses participant goals, needs (including health care needs), and preferences; (e) how waiver and other services are coordinated; (f) how the plan development process provides for the assignment of responsibilities to implement and monitor the plan; and, (g) how and when the plan is updated, including when the participant's needs change. State laws, regulations, and policies cited that affect the service plan development process are available to CMS upon request through the Medicaid agency or the operating agency (if applicable):

a. PLAN OF CARE (POC) DEVELOPMENT AND TIMING

Linkage to support coordination through certification for waiver services takes up to 90 days. During the 90 day period, the following activities occur:

- Initial support coordinator (SC) contact with the participant
- The support coordinator contacts the family to arrange a face-to-face meeting at a location convenient to the family.
- The support coordinator will schedule a time to begin Discovery activities, identify the person's Vision and Life Goals, and to conduct the needs-based assessment which inform development of the POC..
- The POC is developed through a collaborative support team process involving the participant, family, and support team.
- The approvable POC must be approved within 90 days after linkage.
- The LGE staff have ten working days in which to review the POC information, complete the precertification home visit and approve the POC prior to waiver services beginning. If Medicaid eligibility is delayed, then the LGE has 5 days from the date of receipt of the Medicaid eligibility determination to approve the POC. Waiver services cannot begin prior to the approved POC.
- The entire team meets annually to review and revise the POC for the upcoming service year The current POC is reviewed at least quarterly to determine progress toward goals/outcomes, and revisions may be made as needed to the current POC.

b. INITIAL ASSESSMENTS

The Office for Citizens with Developmental Disabilities (OCDD) has developed the "Guidelines for Support Planning" as a framework for all activities related to planning for individualized supports and services. The needs-based assessments described below are completed within the discovery process for all applicants age 21 and over who have received an OCDD waiver offer and to identify the individual's service needs. Discovery activities include:

1. A review of the participant's records relevant to service planning (i.e. school, vocational, medical, and psychological records).
2. Completing person-centered tools and worksheets, which may include a personal outcomes assessment, which assists the planning team in determining what is important to the participant and his/her satisfaction or dissatisfaction with different life domain areas.
3. The completion and review of the needs-based assessment is done within 30 days of linkage.
 - ii. The LA PLUS needs-based assessment is used to identify support/treatment needs and risks in various life areas (including health and behavioral health diagnostic information) as well as identify living arrangements, existing relationships, and preferences and level of satisfaction in various life areas.
4. A review and/or completion of any additional interviews, observations, or other needed professional assessments (i.e. occupational therapist, physical therapist, or speech therapist assessments).

Information obtained through the discovery process is shared via a draft of the POC with the support team in preparation for the POC meeting. If an individual's needs cannot be met with the other OCDD waivers and a request to move to the NOW is made, the decision occurs by the State Office Review Committee. If the participant disagrees with the decision, he/she may request a fair hearing through the formal appeals process (Louisiana Department of Health, Division of Administration Law (DAL) process as referenced in Appendix F-1, Opportunity to Request a Fair Hearing).

c. POC REVIEW

A review of the plan of care may be conducted at any time, particularly with a significant life change, but must be completed at least annually. The person-centered planning and review process is intended to be ongoing and designed to reflect changes in the participant's life, needs, and personal outcomes, inclusive of his/her preferences. The Support Coordinator and the participant/family, and others the participant/family chooses to be present, review the POC to determine if the goals identified on the POC are being achieved, the participant's/family's needs, including health and welfare are being addressed, and to make any adjustments or changes to the plan as necessary. The needs-based assessment may need to be updated to reflect significant changes.

Once approved for the NOW, if the participant disagrees with the proposed NOW services in the POC, the participant or

his/her authorized representative may request additional services and present supporting documentation. If the participant or his/her authorized representative is not satisfied with the decision related to the request for additional services, then he/she may appeal any limit or denial of services through the Louisiana Department of Health, Division of Administration Law (DAL) process as referenced in Appendix F-1, Opportunity to Request a Fair Hearing.

d. HOW PARTICIPANTS ARE INFORMED OF AVAILABLE SERVICES

The support coordinator informs the participant and his/her authorized representative of all available waiver and non-waiver services during the initial contact with the support coordination agency, in quarterly meetings as needed, on an annual basis during the POC development process, and as requested.

e. INCORPORATION OF PARTICIPANT GOALS/NEEDS/PREFERENCES IN PLAN

The following components are designed to incorporate the participant's goals, needs, and preferences in the POC:

1. Discovery, which involves gathering information about the participant's interests, goals, preferences, and support needs through assessments and interviews. The discovery process ends with the formulation of the participant's vision and goals.
2. Planning. This involves using the information from the discovery process to develop the POC. During the planning process, the support team works with the participant to develop strategies to assist him/her in achieving his/her goals and support needs. Strategies should identify all supports needed to assist the participant in achieving his/her goals and meeting other identified support needs and an appropriate action plan. For each personal outcome/goal identified, the support team will identify the following: the participant's strengths, skills, abilities that can be used to achieve his/her goals; challenges, barriers, health issues, or risk factors that can be deterrents to meeting his/her goals; strategies, treatments, or trainings which can be implemented to overcome barriers; any opportunities available for increasing the participant's independence in achieving his/her goals.
3. Implementation, which involves the completion of noted strategies and provision of needed supports according to the participant's plan.
4. Review, which involves assessing if implementation occurred as planned and if positive changes have occurred as a result of the plan. The support team will assess the effectiveness of the strategies implemented and changes will be made as needed.

f. COORDINATION OF SERVICES

The planning process requires the identification and utilization of all appropriate supports available to the participant prior to the support team considering waiver services.

Services are coordinated through the participant's support coordinator. The support coordinator leads the support team in developing a POC with and for the participant. The POC must include the following required components:

1. The participant's prioritized personal goals and specific strategies to achieve or maintain his/her desired personal goals. These strategies will focus first on the natural and community supports available to the participant and, if needed, paid services will be accessed as a supplement to natural and community supports.
2. An action plan which will lead to the implementation of strategies to achieve the participant's personal goals, including action steps, review dates, and the names of the persons who are responsible for specific steps.
3. Identified barriers, including health and safety risks, and specific strategies with timelines and the persons assigned to specific responsibilities, to address each issue.
4. All the services and supports the participant receives, regardless of the funding source which may include natural support networks, generic community services, and state plan services.
5. Identification of the frequency and location of services through a daily and alternate schedule.
6. Identification of providers and specification of the service arrangement.
7. Identification of the support team members who will assist the support coordinator in the planning process, as well as building and implementing supports for the participant.
8. Signature of all support team members present in the planning meeting to indicate their agreement with the service plan.

g. ASSIGNMENT OF RESPONSIBILITIES TO IMPLEMENT AND MONITOR PLAN

Each participant's POC includes multiple strategies and actions to achieve his/her life vision and goals, while addressing key support needs. The support team is responsible for:

1. Identifying any necessary training the participant's family or staff need in order to implement the actions and strategies

described in the POC and determining who will provide the necessary training.

2. Identifying any resources needed by the participant's family or staff to implement the actions and strategies described in the POC and determining who will provide or acquire the needed resources.

In addition, the support coordinator is required to make a monthly contact with participant and visit the participant once per quarter to monitor the implementation of the POC, the participant's satisfaction with services, and to determine if the participant has any new interests, goals, or needs. The quarterly visit should occur where services are being delivered so the support coordinator can observe service delivery.

The Support coordinator is responsible for reviewing the information on the POC, tracking progress on identified goals and timelines, and obtaining updated information on the participant's natural supports. This includes monitoring how individual providers (e.g. vocational, supported living) implement their portion of the participant's POC so that all relative goals and objectives are achieved.

During the quarterly monitoring reviews, the support team will review various data sources related to the participant's goals and objectives in order to determine if progress has been made.

h. HOW AND WHEN PLAN IS UPDATED

At least quarterly, the support team meets to review the POC to determine if the participant's goals have been achieved, if the participant's needs are being met, and to make any adjustments to the POC.

The POC must be updated at least annually or as necessary to meet the participant's needs. The completed, updated, annual POC must be submitted to the Support Coordination supervisor or LGE as defined in OCDD policy for approval. To be considered timely, the plan of care must be approved prior to the expiration of the previous plan of care.

OCDD uses the Guidelines for Support Planning, Chapter 9, Review and Modification of the Participant's Support Plan for HOW AND WHEN PLAN IS UPDATED.

http://LDH.louisiana.gov/assets/docs/OCDD/waiver/NOW/Guidelines_Support_Planning.pdf

At any time that the support coordinator or any other support team member identifies a condition related to the participant's health status, behavioral change, or any other type of change which is not satisfactorily addressed or which requires updated discussion or planning, the support coordinator will immediately reconvene the support team to revise the POC to reflect the participant's revised needs and desired outcomes. This change in the participant's condition or health status, behavior or other change may or may not have been identified through the needs-based assessment, but may have recently surfaced, been identified through the participant's primary care physician, or been identified through periodic monitoring.

Emergency revisions must be submitted by the support coordinator to the Support Coordination supervisor or LGE as defined in OCDD policy within twenty-four (24) hours or by the next working day for approval. Revisions that include routine changes, such as planned vacations, must be submitted by the support coordinator at least seven (7) working days prior to the change.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (5 of 8)

e. Risk Assessment and Mitigation. Specify how potential risks to the participant are assessed during the service plan development process and how strategies to mitigate risk are incorporated into the service plan, subject to participant needs and preferences. In addition, describe how the service plan development process addresses backup plans and the arrangements that are used for backup.

Information from various assessments conducted during the planning process is used to identify any potential risks, which are then addressed through mitigation strategies that are included in the Plan of Care (POC).

In addition, information gained during interviews with the participant and his/her legal representatives and support team members, as well as information from the LGE pre-certification visit is also used during the initial planning process to identify potential risks to the participant.

- The participant and all support team members are given informed choice regarding the inclusion of any strategies recommended to be included in an initial or revised POC. The initial or revised POC with the included strategies must be signed and dated by all support team members.
- Recommendations from support team members on strategies to mitigate specific risk are incorporated into the POC. The LGE reviews recommendations, makes additional recommendations, and/or refers the issue to the OCDD State Office for input prior to approval of an initial or revised POC.

The direct service provider is responsible for completing an emergency evacuation plan and back-up support or staffing plan for each participant. Both are submitted to the Support Coordinator during the POC development process. The Support Coordinator is responsible for submitting the back-up plan and emergency evacuation plan to the Support Coordination supervisor or LGE as per OCDD policy, along with the participant's POC. The Support Coordinator supervisor or LGE ensures that the back-up plan and emergency evacuation plan are in place and will not approve the POC without these documents.

BACK-UP STAFFING PLANS

- All enrolled providers of waiver services must possess the capacity to provide the support and services required by the participant in order to insure the participant's health and safety as outlined in the POC, and are required to have functional Individualized Back-Up plans consistent with the participant's POC. When paid supports are scheduled to be provided by an enrolled provider of waiver services, that provider is responsible for providing all necessary staff to fulfill the health and safety needs of the participant.
- The identified enrolled provider of waiver services cannot use the participant's informal support system as a means of meeting the agency's individualized back-up plan, and/or emergency evacuation response plan requirements unless requested by and agreed to by the participant/family.
- The identified enrolled provider of waiver services must have in place policies and procedures that outline the protocols the agency has established to assure that back-up direct support staff are readily available, lines of communication and chain-of-command have been established, and procedures are in place for dissemination of the back-up plan information to participants, their legal representatives, and Support Coordinators.
- It is the identified enrolled provider of waiver services responsibility to develop the back-up plan and provide it to the Support Coordinator in a time frame that will allow it to be submitted for review/approval as a part of the POC.
- The Support Coordinator is responsible for working with the participant, his/her family, friends, and providers during initial and subsequent POC meetings to establish plans to address these situations.
- The Support Coordinator assists the participant and the support team members to identify individuals who are willing and able to provide a back-up system during times when paid supports are not scheduled on the participant's POC.
- All back-up plans must include detailed strategies and person-specific information that addresses the specialized care and supports needed by the participant as identified in the POC. Back-up plans must be updated no less than annually to assure information is kept current and applicable to the participant's needs at all times.
- Support coordinators are to ensure that back-up and emergency evacuation plans are in place.

EMERGENCY EVACUATION PLANS

- An Emergency Evacuation Response Plan must be developed in addition to the individual back-up plan, be included in

or attached to the participant's service plan, and reviewed a minimum of once each service year.

- The Emergency Evacuation Response Plan provides detailed information for responding to potential emergency situations such as fires, hurricanes, hazardous materials release, tropical storms, flash flooding, ice storms, and terrorist acts.

- The Emergency Evacuation Response Plan must include at a minimum the following components:

- Individualized risk assessment of potential health emergencies;
- Geographical and natural disaster emergencies, as well as potential for any other emergency conditions;
- A detailed plan to address participant's individualized evacuation needs;
- Policies and procedures outlining the agency's protocols regarding implementation of Emergency Evacuation Response Plans and how these plans are coordinated with the local Office of Emergency Preparedness and Homeland Security;
- Establishment of effective lines of communication and chain-of-command, and procedures for dissemination of Emergency Response Plan to participants and Support Coordinators; and
- Protocols outlining how and when direct support staff and participants are to be trained in Emergency Evacuation Response Plan implementation and post-emergency protocols.

Training for direct support staff must occur prior to any worker being solely responsible for the support of the participant, and participants must be provided with regular, planned opportunities to practice the Emergency Evacuation Response Plan.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (6 of 8)

f. Informed Choice of Providers. Describe how participants are assisted in obtaining information about and selecting from among qualified providers of the waiver services in the service plan.

On acceptance of the waiver offer, the data management contractor offers Freedom of Choice of Support Coordination agencies.

At initial contact and annually with the participant, the support coordinator discusses the provider freedom of choice form and the availability of all services. The support coordinator is responsible for offering Freedom of Choice of providers.

The support coordinator is responsible for advising the participant that changes in providers can be requested at any time, but only by the participant or personal representative. The support coordinator will facilitate any request for a change of all providers.

The support coordinator is responsible for maintaining a current listing of qualified providers.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (7 of 8)

g. Process for Making Service Plan Subject to the Approval of the Medicaid Agency. Describe the process by which the service plan is made subject to the approval of the Medicaid agency in accordance with 42 CFR §441.301(b)(1)(i):

Service plans are subject to approval by the State Medicaid Agency (SMA). The SMA does not review and approve all service plans prior to implementation; however, all are subject to SMA’s approval. The SMA completes reviews of participant records on a routine basis. Information reviewed includes, but is not limited to: development of an appropriate individualized person-centered service plan, completion of updates and revisions to the service plan, and coordination with other agencies as necessary to ensure that services are provided according to the service plan.

Medicaid Program Support and Waivers (MPSW) section staff has access to the Louisiana Support Coordination Application (LASCA) database which houses results of annual monitoring of Support Coordination Agency performance. These performance results include determinations of level of performance on service plan development, implementation, and service delivery. MPSW compares support coordination service plans and corresponding monthly Support Coordination Documentation (SCD) obtained from the support coordination agency with LASCA results to validate the support coordination monitoring process and to ensure participants’ health and welfare. If discrepancies are identified, the Medicaid HCBS Oversight Committee addresses the discrepancies and determines actions necessary to resolve them on a systemic level, e.g. training or policy revision.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (8 of 8)

h. Service Plan Review and Update. The service plan is subject to at least annual periodic review and update to assess the appropriateness and adequacy of the services as participant needs change. Specify the minimum schedule for the review and update of the service plan:

- Every three months or more frequently when necessary
- Every six months or more frequently when necessary
- Every twelve months or more frequently when necessary
- Other schedule

Specify the other schedule:

i. Maintenance of Service Plan Forms. Written copies or electronic facsimiles of service plans are maintained for a minimum period of 3 years as required by 45 CFR §92.42. Service plans are maintained by the following (*check each that applies*):

- Medicaid agency
- Operating agency
- Case manager
- Other

Specify:

Direct Service Provider agency.

Appendix D: Participant-Centered Planning and Service Delivery

D-2: Service Plan Implementation and Monitoring

a. Service Plan Implementation and Monitoring. Specify: (a) the entity (entities) responsible for monitoring the implementation of the service plan and participant health and welfare; (b) the monitoring and follow-up method(s) that are used; and, (c) the frequency with which monitoring is performed.

The Support Coordinator is responsible for monitoring the implementation and effectiveness of the POC in meeting the participant's needs and preferences.

The Support Coordinator contacts the participant and his/her legal representative within 10 working days after the initial POC is approved to assure the appropriateness and adequacy of services delivery.

Support Coordinators make monthly contacts with each participant and/or his/her legal representatives. One contact per quarter must be a face-to-face visit in the participant's place of residence. The support coordinator may make unannounced visits to verify that the participant is receiving the services based on the schedule of the approved POC.

During these contacts the Support Coordinator checks to make sure that:

- There is access to waiver and non-waiver services identified in the POC, including access to health services;
- The strategies to meet the participant's personal goals are being implemented and the effectiveness of the strategies;
- The services outlined on the POC are meeting the needs of the participant;
- The participant is satisfied with the service providers he/she has chosen;
- Services are being furnished in accordance with the POC;
- The participant's health and welfare needs are being met; and
- Back-up plans, if utilized, are effective and persons identified as responsible for back-up plans are still active in the participant's life.

Information from Support Coordinator's monitoring is maintained at the Support Coordination Agency's physical office. Support Coordinators must refer any findings during contacts or visits that appear to be out of compliance with federal or state regulations, and OCDD policies to the LGE for review and recommendations. If the finding cannot be resolved at the LGE level, it will be referred to the OCDD State Office to be resolved.

Revisions to the POC reflect the results of the monitoring. During the monitoring of POC implementation, if changes are needed a revision to the POC will be completed. All revisions must be reviewed and prior approved by the Support Coordinator supervisor or the LGE per OCDD policy. Emergency revisions to the POC must be submitted to the Support Coordinator supervisor or LGE within 24 hours or next business day. Routine revisions must be submitted to the Support Coordinator supervisor or LGE at least seven (7) days prior to the change.

If a participant receives a denial, reduction or termination of services, the denial must be sent to the LGE to ensure appeal information is provided to the participant/authorized representative as outlined in Appendix F, section F-1.

b. Monitoring Safeguards. *Select one:*

- Entities and/or individuals that have responsibility to monitor service plan implementation and participant health and welfare may not provide other direct waiver services to the participant.**
- Entities and/or individuals that have responsibility to monitor service plan implementation and participant health and welfare may provide other direct waiver services to the participant.**

The state has established the following safeguards to ensure that monitoring is conducted in the best interests of the participant. *Specify:*

Appendix D: Participant-Centered Planning and Service Delivery

Quality Improvement: Service Plan

As a distinct component of the States quality improvement strategy, provide information in the following fields to detail the States methods for discovery and remediation.

a. Methods for Discovery: Service Plan Assurance/Sub-assurances

The state demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans for waiver participants.

i. Sub-Assurances:

a. Sub-assurance: Service plans address all participants assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

D.a.i.a.1. Number and percentage of plans of care in which services and supports align with the participants' assessed needs. Percentage = Number of plans of care that meet the assessed needs of waiver participants / Total number of plans of care reviewed in the sample.

Data Source (Select one):

Analyzed collected data (including surveys, focus group, interviews, etc)

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 2px; display: inline-block;">95% +/- 5%</div>
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	
--	---	--

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>

Performance Measure:

D.a.i.a.2. Number and percentage of plans of care in which services and supports align with the participant's assessed risk. Percentage = Number of plans of care that meet the assessed risks of waiver participants / Total number of plans of care reviewed in the sample.

Data Source (Select one):

Analyzed collected data (including surveys, focus group, interviews, etc)

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review

<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 2px; width: fit-content; margin-left: 20px;">95% +/- 5%</div>
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (<i>check each that applies</i>):	Frequency of data aggregation and analysis(<i>check each that applies</i>):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

Performance Measure:

D.a.i.a.3. Number and percentage of plans of care that address participants' personal goals. Percentage = Number of plans of care that address participants' personal goals / Total number of plans of care reviewed in the sample.

Data Source (Select one):

Analyzed collected data (including surveys, focus group, interviews, etc)

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 2px; width: fit-content; margin-left: 20px;">95% +/- 5%</div>
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 30px; width: 250px; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 30px; width: 250px; margin-top: 5px;"></div>

b. Sub-assurance: The State monitors service plan development in accordance with its policies and procedures.

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

c. Sub-assurance: Service plans are updated/revised at least annually or when warranted by changes in the waiver participants needs.

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

D.a.i.c.1. Number and percentage of annual plans of care received prior to the expiration date of the approved plan of care. Percentage = Number of annual plans of care received by due date / Total number of plans of care due during reporting

period.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Medicaid Data Contractor

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: <input type="text" value="Medicaid Data Contractor"/>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

Performance Measure:

D.a.i.c.2 Number and percentage of participants whose plans of care were reviewed and revised to address changing needs. Number of plans of care revised to address changing needs/total number of participants whose quarterly contact indicated a changing need.

Data Source (Select one):

Analyzed collected data (including surveys, focus group, interviews, etc)

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-top: 5px;">95%+/-</div>
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>

d. Sub-assurance: Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

D.a.i.d.1. Number and percentage of participants who received all types of services specified in the plan of care. Numerator = Number of participants who received all types of services specified in the plan of care; Denominator = Total number of participants.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Medicaid Data Contractor

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: <input type="text" value="Medicaid Data Contractor"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: Medicaid Data Contractor	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify:

Performance Measure:

D.a.i.d.2 Number and percent of participants who received services in the scope, amount, frequency and duration specified in the plan of care. Numerator = Number of participants who received services in the scope, amount, frequency and duration specified in the plan of care; Denominator = Total number of participants.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Medicaid Data Contractor

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval =
<input checked="" type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:

<div style="border: 1px solid black; padding: 2px; width: fit-content;">Medicaid data contractor</div>		<div style="border: 1px solid black; width: 100%; height: 20px;"></div>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 20px;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 20px;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: <div style="border: 1px solid black; padding: 2px; width: fit-content;">Medicaid Data Contractor</div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 20px;"></div>

e. Sub-assurance: Participants are afforded choice: Between/among waiver services and providers.

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are

identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

D.a.i.e.1. Number and percentage of waiver participants with a valid signature, defined as the participant's/authorized representative's signature, on the plan of care which verifies that the freedom of choice was offered among waiver providers.

Percentage = Number of waiver participants with a valid signature on the plan of care/ Total number of participants reviewed in the sample.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 2px; width: fit-content; margin: 5px auto;">95% +/- 5%</div>
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

Performance Measure:

D.a.i.e.2. Number and percentage of waiver participants with a valid signature, defined as the participants/authorized representative's signature, on the plan of care which verifies that available services were discussed with the waiver participants. Percentage = Number of participants with a valid signature on the plan of care/ Number of participants reviewed in the sample.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-top: 5px;">95% +/- 5%</div>
<input type="checkbox"/> Other Specify:	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:

	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.

For all performance measures except D.a.i.c.1(Updated prior to plan expire), D.a.i.d.1, and D.a.i.d.2, OCDD LGE staff perform monitoring of support coordination agencies at least annually utilizing the OCDD Support Coordination Monitoring Tools: Participant Interview, Participant Record Review, Support Coordinator Interview, and Agency Review. The sample size will be large enough for a confidence level of 95% + or 5%. The number of participants from the statewide sample to be included in each support coordination agency (SCA) sample will be proportional to the percentage of participants linked to each agency on the date the sample is generated. An SCA's sample size will be determined separately for each region in which the SCA operates.

For all performance measures except D.a.i.c.1, D.a.i.d.1 and D.a.i.d.2., the specific criteria for these measures are found in the OCDD Interpretive Guidelines for the OCDD Participant Record Review with a parallel set of guidelines entitled "Guidelines for Support Planning" for support coordinators.

D.a.i.c.1 measures the first part of sub-assurance c., whether the service plan was updated at least annually. The Medicaid Data contractor is responsible for prior authorization of services and authorizes services based up receipt of an approved service plan. Data is then entered into the contractor data system which provides 100% representativeness for this measure.

D.a.i.c.2 measures the second part of sub-assurance c., whether service plans are updated when warranted by changes in the waiver participant's needs. The data source is the OCDD Participant Record Review and the responsible party for data collection/generation is the LGE.

D.a.i.d.1, and D.a.i.d.2: the Medicaid data contractor prior authorizes services according the approved service plan and enters post authorization of service once a provider has verified service delivery. This data is utilized to determine whether the participant received the type, scope, amount, duration, and frequency specified in the service plan. The method for validating this information is collected by the Support Coordination Agency during the quarterly reviews in the home and entered into the Case Management Information System (CMIS) which is accessed by the Medicaid Data Contractor to validate if the services have been delivered in the type, amount, frequency, duration, of services identified in the plan of care. The Support Coordination Agency and the LGE review the data quarterly for these measures.

Regarding D.a.i.e.1 and D.a.i.e.2, a valid signature on the service plan is either the signature of a participant with the capacity to approve the plan or a person who has been designated on the OCDD Authorized Representative Form as such.

b. Methods for Remediation/Fixing Individual Problems

- i.** Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the state to document these items.

The State's method for addressing individual problems identified through performance measures D.a.i.c.1., D.a.i.d.1., D.a.i.d.2 is as follows:

D.a.i.c.1: The LGE receives quarterly reports from the Medicaid Data Contractor for review. If the participant's annual Plan of Care (POC) was not submitted within the required timeline, the LGE will contact the support coordination agency. The support coordination agency will have 10 days to respond identifying why the plans of care were not timely submitted. Depending upon the scope and persistence of such problems, OCDD may pursue sanctions as outlined in the Support Coordination Performance Agreement including withholding payment.

D.a.i.d.1: The LGE receives quarterly reports from the Medicaid Data Contractor in order to review trends and patterns of under-utilization of services. If this appears to be an isolated event, the LGE will follow up with the support coordination agency to determine the reason and the support coordinator shall revise the POC as necessary. If the POC revision is not submitted within the timeframe, OCDD shall pursue sanctions as outlined in the Support Coordination Performance Agreement. If this appears to be widespread, the LGE will consult with OCDD State Office who will then bring the issue to the Performance Review Committee and the OCDD Executive Management team for review and resolution.

D.a.i.d.2: The LGE receives quarterly reports from the Medicaid Data Contractor in order to review trends and patterns of under-utilization of services. If the LGE discovers under-utilization due to a particular agency, among certain services, lack of availability of services, etc., the LGE will consult with OCDD State Office who will then bring the issue to the Performance Review Committee and the OCDD Executive Management Team for review and resolution.

The State's method for addressing individual problems identified through the remaining performance measures is as follows: LGE staff perform monitoring of Support Coordinator Agencies (SCA) at least annually utilizing the OCDD Support Coordination Monitoring Tools: Participant Interview; Participant Record Review; Support Coordinator Interview; and Agency Review. The processes for scoring and determining the necessity for corrective actions are located in the "Updated Guidelines for Scoring, Corrective Action and Follow-up Monitoring." After all elements are assessed and scored, the LGE reviewer documents the findings, including the Statement of Determination which delineates every POC remediation required and required responses/plans of correction expected from the SCA. Based on the scope and severity of findings, the SCA is assigned a Statement of Determination at Level I, Level II, or Level III. The LGE and/or State Office follow-up according to timelines associated with each level to ensure that plans of correction are implemented and effective. Level III determinations are those having the actual or potential for immediate jeopardy. In these cases, the SCA must develop a plan of correction that includes the identification of the problem; full description of the underlying causes of the problem; actions/interventions that target each underlying cause; responsibility, timetable, and resources required to implement interventions; measurable indicators for assessing performance; and plans for monitoring desired progress and reporting results. In addition, OCDD takes enforcement action to assure the health and safety of participants. Actions include, but are not limited to: transfer of participants who are/may be in jeopardy; removal of SCA agency from the freedom of choice list; suspension of all new admissions; financial penalties; suspension of contract/certifications as a provider of SC services.

If a Plan of Correction, Progress Report and/or Follow-up Report remains unapproved by the time of the next annual review the agency placed on the next level with more stringent requirements. With a finding of satisfactory or a recommendation for improvement no remediation is required. These remediation activities will be documented through tracking events in the Support Coordination Monitoring database.

Training will be necessary when trends are detected in plans of care that do not address: participant goals, needs (including health care needs), and preferences; how waiver and other services are coordinated; and identification of responsibilities to implement the plan. The training requirements depend on the Support Coordination Monitoring findings and are based on the criteria found in OCDD Interpretive Guidelines for the OCDD Participant Record Review with a parallel set of guidelines entitled "Guidelines for Support Planning" for support coordinators.

An unsatisfactory plan of care is one with criteria "not met" according to the OCDD Interpretive Guidelines for the OCDD Participant Record Review and parallel set of guidelines entitled "Guidelines for Support Planning" for support coordinators.

ii. Remediation Data Aggregation

Remediation-related Data Aggregation and Analysis (including trend identification)

Responsible Party <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

c. Timelines

When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Service Plans that are currently non-operational.

No

Yes

Please provide a detailed strategy for assuring Service Plans, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix E: Participant Direction of Services

Applicability *(from Application Section 3, Components of the Waiver Request):*

Yes. This waiver provides participant direction opportunities. Complete the remainder of the Appendix.

No. This waiver does not provide participant direction opportunities. Do not complete the remainder of the Appendix.

CMS urges states to afford all waiver participants the opportunity to direct their services. Participant direction of services includes the participant exercising decision-making authority over workers who provide services, a participant-managed budget or both. CMS will confer the Independence Plus designation when the waiver evidences a strong commitment to participant direction.

Indicate whether Independence Plus designation is requested *(select one):*

Yes. The state requests that this waiver be considered for Independence Plus designation.

No. Independence Plus designation is not requested.

Appendix E: Participant Direction of Services

E-1: Overview (1 of 13)

- a. Description of Participant Direction.** In no more than two pages, provide an overview of the opportunities for participant direction in the waiver, including: (a) the nature of the opportunities afforded to participants; (b) how participants may take advantage of these opportunities; (c) the entities that support individuals who direct their services and the supports that they provide; and, (d) other relevant information about the waiver's approach to participant direction.

Self-Direction is a service delivery option which allows participants (or their authorized representative) to exercise Employer Authority in the delivery of their authorized Individual and Family Support (IFS) services.

Participants are informed of all available services and service delivery options, including Self-Direction, at the time of the initial assessment, annually, or as requested by participants or their authorized representative. Participants, who are interested in Self-Direction, need only notify their support coordinator who will facilitate the enrollment process.

A contracted fiscal/employer agent is responsible for processing the participant's employer-related payroll, withholding and depositing the required employment-related taxes, and sending payroll reports to the participant or his/her authorized representative.

Support coordinators assist participants with the following activities:

- a. developing the participants plan of care;
- b. organizing the unique resources the participant needs;
- c. training participants on their employer responsibilities;
- d. completing required forms necessary for participation in Self-Direction;
- e. back-up service planning;
- f. budget planning;
- g. verifying that potential employees meet program qualifications; and
- h. ensuring participants needs are being met through services.

Appendix E: Participant Direction of Services

E-1: Overview (2 of 13)

- b. Participant Direction Opportunities.** Specify the participant direction opportunities that are available in the waiver.
Select one:

- Participant: Employer Authority.** As specified in *Appendix E-2, Item a*, the participant (or the participant's representative) has decision-making authority over workers who provide waiver services. The participant may function as the common law employer or the co-employer of workers. Supports and protections are available for participants who exercise this authority.
- Participant: Budget Authority.** As specified in *Appendix E-2, Item b*, the participant (or the participant's representative) has decision-making authority over a budget for waiver services. Supports and protections are available for participants who have authority over a budget.
- Both Authorities.** The waiver provides for both participant direction opportunities as specified in *Appendix E-2*. Supports and protections are available for participants who exercise these authorities.

- c. Availability of Participant Direction by Type of Living Arrangement.** *Check each that applies:*

- Participant direction opportunities are available to participants who live in their own private residence or the home of a family member.
- Participant direction opportunities are available to individuals who reside in other living arrangements where services (regardless of funding source) are furnished to fewer than four persons unrelated to the proprietor.
- The participant direction opportunities are available to persons in the following other living arrangements

Specify these living arrangements:

--

Appendix E: Participant Direction of Services

E-1: Overview (3 of 13)

d. Election of Participant Direction. Election of participant direction is subject to the following policy (*select one*):

- Waiver is designed to support only individuals who want to direct their services.
- The waiver is designed to afford every participant (or the participant's representative) the opportunity to elect to direct waiver services. Alternate service delivery methods are available for participants who decide not to direct their services.
- The waiver is designed to offer participants (or their representatives) the opportunity to direct some or all of their services, subject to the following criteria specified by the state. Alternate service delivery methods are available for participants who decide not to direct their services or do not meet the criteria.

Specify the criteria

To be eligible, the participant must:

1. Be able to participate in the Self-Direction option without a lapse in or decline in quality of care or an increased risk to health and welfare. Health and welfare safeguards are articulated in Appendix G of this document and include the application of a comprehensive monitoring strategy and risk assessment and management system.
2. Complete the training programs (e.g. initial enrollment training) designated by OCDD.
3. Understand the rights, risks, and responsibilities of managing his/her own care, effectively managing their service plans; or if unable to make decisions independently have a willing decision maker (authorized representative as listed on the participants plan of care) who understands the rights, risks, and responsibilities of managing the care and supports of the participant within their individualized service plan.

Appendix E: Participant Direction of Services

E-1: Overview (4 of 13)

e. Information Furnished to Participant. Specify: (a) the information about participant direction opportunities (e.g., the benefits of participant direction, participant responsibilities, and potential liabilities) that is provided to the participant (or the participant's representative) to inform decision-making concerning the election of participant direction; (b) the entity or entities responsible for furnishing this information; and, (c) how and when this information is provided on a timely basis.

Participants are informed of the Self-Direction option at the time of the initial assessment, annually, or as requested by participants or their authorized representative. If the participant is interested, the support coordinator will then provide more information on the principles of self-determination, the services that can be self-directed, the roles and responsibilities of each service option, the benefits and risks of each service option, and the process for enrolling in Self-Direction.

Prior to enrolling in Self-Direction, the participant or his/her authorized representative is trained by the support coordinator on the material contained in the Self-Direction Employer Handbook. This includes training the participant (or his/her authorized representative) on the process for completing the following duties:

1. Best practices in recruiting, hiring, training, and supervising staff.
2. Determining and verifying staff qualifications;
3. The process for obtaining criminal background checks on staff;
4. Determining the duties of staff based on the service specifications;
5. Determining the wages for staff within the limits set by the state;
6. Scheduling staff and determining the number of staff needed.
7. Orienting and instructing staff in duties;
8. Best practices for evaluating staff performance;
9. Verifying time worked by staff and approving timesheets;
10. Terminating staff, as necessary;
11. Back-up planning.

This training also includes a discussion on the differences between Self-Direction and other service delivery options (which includes the benefits, risks, and responsibilities associated with each service option) and the roles and responsibilities of the employer, support coordinator, and fiscal/employer agent.

Participants who choose Self-Direction are provided with a copy of the Self-Direction Employer Handbook by the support coordinator or OCDD. Participants verify that they have received the required training from their support coordinator and a copy of the Self-Direction Employer Handbook by signing the Service Agreement form.

The Self-Direction Employer Handbook was developed through contribution and feedback from participants and families to ensure that the information included is easy-to-understand and addresses participants perspectives.

Appendix E: Participant Direction of Services

E-1: Overview (5 of 13)

f. Participant Direction by a Representative. Specify the state's policy concerning the direction of waiver services by a representative (*select one*):

- The state does not provide for the direction of waiver services by a representative.**
- The state provides for the direction of waiver services by representatives.**

Specify the representatives who may direct waiver services: (*check each that applies*):

- Waiver services may be directed by a legal representative of the participant.**
- Waiver services may be directed by a non-legal representative freely chosen by an adult participant.**

Specify the policies that apply regarding the direction of waiver services by participant-appointed representatives, including safeguards to ensure that the representative functions in the best interest of the participant:

Participants have the right to have a non-legal authorized representative perform the employer or managing employer responsibilities. The support coordinator is responsible to ensure that the selected authorized representative agrees to fulfill the responsibilities of the employer or managing employer by ensuring the completion of the standard agreement form. If an authorized representative is desired by the participant, they must:

- Effectuate the decision the participant would make for himself/herself;
- Accommodate the participant, to the extent necessary that they can participate as fully as possible in all decisions that affect them;
- Give due consideration to all information including the recommendations of other interested and involved parties; and
- Embody the guiding principles of self-determination.

A participant may designate any person 21 years of age or older as an authorized representative unless a legal representative has been designated by a court or is otherwise limited by existing or pending legal action prohibiting someone from serving as an authorized representative.

An authorized representative may not receive payment for functioning as an authorized representative, nor may they receive payment for any waiver service provided to support the participant.

The support coordinator must recognize the participant's authorized representative as a decision-maker, and provide the authorized representative with all of the information, training, and support the support coordinator would typically provide to a participant who is self-directing. The support coordinator must fully inform the authorized representative of the rights and responsibilities of an authorized representative in accordance with established procedures. The support coordinator must have the authorized representative review and sign a standard agreement form, which must be given to the authorized representative and maintained by the support coordinator. The agreement lists the roles and responsibilities of the authorized representative; asserts that the authorized representative accepts the roles and responsibilities of this function; and asserts that the authorized representative will abide by Medicaid Waiver policies and procedures.

Service plan monitoring takes place with each participant. Several questions on the standard service plan monitoring tool can prompt the identification of any issues with the authorized representative not acting in the best interest of the participant. Issues noted on the monitoring tool are addressed by Supports Coordinators, LGE and OCDD.

The support coordinator is required to address and report any issues identified with the authorized representative's performance including but not limited to compliance to Medicaid Waiver policies on incident reporting and report any incident of suspected fraud or abuse.

Appendix E: Participant Direction of Services

E-1: Overview (6 of 13)

g. Participant-Directed Services. Specify the participant direction opportunity (or opportunities) available for each waiver service that is specified as participant-directed in Appendix C-1/C-3.

Waiver Service	Employer Authority	Budget Authority
Individual and Family Support	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Appendix E: Participant Direction of Services

E-1: Overview (7 of 13)

h. Financial Management Services. Except in certain circumstances, financial management services are mandatory and integral to participant direction. A governmental entity and/or another third-party entity must perform necessary financial transactions on behalf of the waiver participant. *Select one:*

Yes. Financial Management Services are furnished through a third party entity. (Complete item E-1-i).

Specify whether governmental and/or private entities furnish these services. *Check each that applies:*

- Governmental entities**
- Private entities**

- No. Financial Management Services are not furnished. Standard Medicaid payment mechanisms are used. Do not complete Item E-1-i.**

Appendix E: Participant Direction of Services

E-1: Overview (8 of 13)

i. Provision of Financial Management Services. Financial management services (FMS) may be furnished as a waiver service or as an administrative activity. *Select one:*

- FMS are covered as the waiver service specified in Appendix C-1/C-3**

The waiver service entitled:

- FMS are provided as an administrative activity.**

Provide the following information

i. Types of Entities: Specify the types of entities that furnish FMS and the method of procuring these services:

Fiscal management services are provided by a contracted fiscal/employer agency, procured through the Departments Request for Proposal (RFP) process.

ii. Payment for FMS. Specify how FMS entities are compensated for the administrative activities that they perform:

The charges for fiscal management services will be paid through a monthly fee per participant by the Bureau of Health Services Financing (BHSF).

Based on the waiver average cost of \$55,934 (372 report – Waiver Yr4 2015), and the FMS PMPM annual cost of \$1,197. The percentage of FMS costs to service cost is approximately 2% which is reasonable given the scope of the supports furnished by the FMS entity.

iii. Scope of FMS. Specify the scope of the supports that FMS entities provide (*check each that applies*):

Supports furnished when the participant is the employer of direct support workers:

- Assist participant in verifying support worker citizenship status**
- Collect and process timesheets of support workers**
- Process payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance**
- Other**

Specify:

Supports furnished when the participant exercises budget authority:

- Maintain a separate account for each participant's participant-directed budget**
- Track and report participant funds, disbursements and the balance of participant funds**
- Process and pay invoices for goods and services approved in the service plan**

- Provide participant with periodic reports of expenditures and the status of the participant-directed budget**
- Other services and supports**

Specify:

Additional functions/activities:

- Execute and hold Medicaid provider agreements as authorized under a written agreement with the Medicaid agency**
- Receive and disburse funds for the payment of participant-directed services under an agreement with the Medicaid agency or operating agency**
- Provide other entities specified by the state with periodic reports of expenditures and the status of the participant-directed budget**
- Other**

Specify:

- iv. Oversight of FMS Entities.** Specify the methods that are employed to: (a) monitor and assess the performance of FMS entities, including ensuring the integrity of the financial transactions that they perform; (b) the entity (or entities) responsible for this monitoring; and, (c) how frequently performance is assessed.

The Bureau of Health Services Financing (BHSF) is responsible for the monitoring of the performance and financial integrity of FMS and the terms of the contract. BHSF performs monitoring of the fiscal/employer agents claims payment activities, billing history, and adherence to the terms of the contract on an on-going basis. OCDD provides BHSF with any data or other relevant information regarding the fiscal/employer agents performance. If any problems are identified (regardless of origination of issue), BHSF will require a corrective action plan from the fiscal/employer agent and will monitor its implementation.

Semi-monthly statements of participants employer-related payroll activities are sent to the participant, BHSF, and the OCDD for review to monitor the utilization of service plan units and payments.

In addition, BHSF requires that the fiscal/employer agent submit an annual independent audit by a Certified Public Accountant (CPA) to verify that expenditures are accounted for and disbursed according to generally accepted accounting principles.

Appendix E: Participant Direction of Services

E-1: Overview (9 of 13)

- j. Information and Assistance in Support of Participant Direction.** In addition to financial management services, participant direction is facilitated when information and assistance are available to support participants in managing their services. These supports may be furnished by one or more entities, provided that there is no duplication. Specify the payment authority (or authorities) under which these supports are furnished and, where required, provide the additional information requested (*check each that applies*):

- Case Management Activity.** Information and assistance in support of participant direction are furnished as an

element of Medicaid case management services.

Specify in detail the information and assistance that are furnished through case management for each participant direction opportunity under the waiver:

Support coordinators will inform participants of the Self-Direction option at the time of initial assessment, annually, and as requested by participants or their authorized representative. If participants or their authorized representative are interested, the support coordinators shall provide detailed information regarding the differences between service delivery options, roles and responsibilities in Self-Direction, and benefits and risks associated with Self-Direction. The Support Coordinator is responsible for providing the participant or their authorized representative with the Self-Direction Employer Handbook.

If the participant decides that he/she would like to participate in this option, the support coordinator shall notify the LGE, who then notifies OCDD State Office. Once the LGE is notified by OCDD SO that the participant is eligible to participate in Self-Direction, the LGE will notify the support coordinator who then facilitates the scheduling of the initial Self-Direction planning meeting.

The support coordinator will assist participants and their authorized representative with determining the number of direct care workers needed, preparing and completing of required forms as needed, determining what resources the participant will need to participate in Self-Direction, and arranging for other needed supports and services. The support coordinator will be responsible for training the participant (or his/her authorized representative) on the material contained in the Self-Direction Employer Handbook, which includes information on recruiting, hiring, and managing staff, with the participant.

The support coordinator will then facilitate planning and preparation of the plan of care/revision, which will be submitted to the Support Coordinator Supervisor or LGE as per OCDD policy for approval. Support coordinators are responsible for monitoring service delivery and implementation dates, and updating the participant’s plan of care annually or as changes in service needs occur. The Support Coordination supervisor or LGE will approve changes as needed.

Support coordinators also act as a resource and advocate for the participant in identifying and obtaining formal and informal supports, assist the participant in working with the fiscal/employer agent, and provides employment support and training to participants inclusive of the duties specified in Appendix E-2-a-ii.

Waiver Service Coverage.

Information and assistance in support of participant direction are provided through the following waiver service coverage(s) specified in Appendix C-1/C-3 (check each that applies):

Participant-Directed Waiver Service	Information and Assistance Provided through this Waiver Service Coverage
Community Life Engagment Development	<input type="checkbox"/>
Supported Independent Living	<input type="checkbox"/>
One-Time Transitional	<input type="checkbox"/>
Environmental Accessibility Adaptations	<input type="checkbox"/>
Prevocational Services	<input type="checkbox"/>
Center-Based Respite	<input type="checkbox"/>
Specialized Medical Equipment and Supplies	<input type="checkbox"/>
Personal Emergency Response	<input type="checkbox"/>

Participant-Directed Waiver Service	Information and Assistance Provided through this Waiver Service Coverage
Adult Companion Care	<input type="checkbox"/>
Substitute Family Care (SFC)	<input type="checkbox"/>
Skilled Nursing	<input type="checkbox"/>
Housing Stabilization Transition Service	<input type="checkbox"/>
Housing Stabilization Service	<input type="checkbox"/>
Supported Employment- Individual and Group	<input type="checkbox"/>
Monitored In-Home Care-giving	<input type="checkbox"/>
Day Habilitation	<input type="checkbox"/>
Individual and Family Support	<input checked="" type="checkbox"/>
Professional Services	<input type="checkbox"/>

Administrative Activity. Information and assistance in support of participant direction are furnished as an administrative activity.

Specify (a) the types of entities that furnish these supports; (b) how the supports are procured and compensated; (c) describe in detail the supports that are furnished for each participant direction opportunity under the waiver; (d) the methods and frequency of assessing the performance of the entities that furnish these supports; and, (e) the entity or entities responsible for assessing performance:

Appendix E: Participant Direction of Services

E-1: Overview (10 of 13)

k. Independent Advocacy (*select one*).

- No. Arrangements have not been made for independent advocacy.
- Yes. Independent advocacy is available to participants who direct their services.

Describe the nature of this independent advocacy and how participants may access this advocacy:

New Opportunities Waiver participants have access to independent advocacy through the Disability Rights Louisiana.

The Disability Rights is Louisiana's protection and advocacy system. Federal law requires that a protection and advocacy system operate in every state to protect the rights of persons with mental or physical disabilities. The Disability Rights Louisiana serves Louisiana residents with physical disabilities, mental illness, intellectual disabilities, and traumatic brain injury. The Disability Rights Louisiana provides services to people with disabilities and seniors regardless of income.

The Disability Rights Louisiana has a multi-disciplinary staff of lawyers, paralegals, client advocates and support staff who provide the following services: Information and Referral, Legal Assistance, Systems Advocacy, Outreach and Training, Legislative information and Education, and Investigations of Abuse and Neglect.

The Disability Rights Louisiana helps individuals gain access to skills and knowledge to act on their own behalf. The Disability Rights Louisiana provides a variety of booklets, reports, flyers, and other resources pertaining to elderly persons (60 years or older) and persons with disabilities. The Disability Rights Louisiana does not provide other direct services or perform waiver functions that have a direct impact on a participant.

Support coordinators are responsible for informing participants of the availability of independent advocacy.

Appendix E: Participant Direction of Services

E-1: Overview (11 of 13)

l. Voluntary Termination of Participant Direction. Describe how the state accommodates a participant who voluntarily terminates participant direction in order to receive services through an alternate service delivery method, including how the state assures continuity of services and participant health and welfare during the transition from participant direction:

Selection of the Self-Direction option is strictly voluntary and the participant may choose at any time to withdraw and return to traditional payment option. Withdrawal requires a revision of the POC, eliminating the FMS and indicating the Medicaid-enrolled waiver service provider of choice. Procedures must follow those outlined in the Support Coordination Manual. Proper arrangements will be made by the support coordinator to ensure that there is no lapse in services.

Should the request for voluntary withdrawal occur, the participant will receive counseling and assistance from their support coordinator immediately upon identification of issues or concerns in any of the above situations.

Appendix E: Participant Direction of Services

E-1: Overview (12 of 13)

m. Involuntary Termination of Participant Direction. Specify the circumstances when the state will involuntarily terminate the use of participant direction and require the participant to receive provider-managed services instead, including how continuity of services and participant health and welfare is assured during the transition.

Involuntary termination requires a revision of the plan of care, eliminating the fiscal/employer agency and indicating the Medicaid-enrolled waiver service provider of choice. Procedures must follow those outlined in the Support Coordination Manual.

Involuntary termination may occur for the following reasons:

1. If the participant does not receive self-directed services for ninety days or more.
2. If at any time OCDD determines that the health, safety, and welfare of the participant is compromised by continued participation in the Self-Direction option, the participant will be required to return to the traditional payment option.
3. If there is evidence that the participant is no longer able to direct his/her own care and there is no responsible representative to direct the care and the support coordinator agrees, then the participant will be required to return to the traditional payment option.
4. If the participant or the authorized representative/co-signer consistently:
 - a. Permits employees to work over the hours approved in the participants plan of care or allowed by the participants program
 - b. Places barriers to the payment of the salaries and related state and federal payroll taxes of direct support staff, as documented by the fiscal/employer agent.
 - c. Fails to provide required documentation of expenditures and related items, or fails to cooperate with the fiscal/employer agent or support coordinator in preparing any additional documentation of expenditures, as documented by the fiscal/employer agent and/or the support coordinator.
 - d. Violates Medicaid program rules or guidelines of the of the Self-Direction option.
5. If the participant becomes ineligible for Medicaid and/or home and community-based waiver services, the applicable rule for case closure/discharge will be applied.
6. If there is proof of misuse of public funds.

When action is taken to terminate a participant from Self-Direction involuntarily, the support coordinator immediately assists the participant in accessing needed and appropriate services through the NOW and other available programs, ensuring that no lapse in necessary services occurs for which the participant is eligible. There is no denial of services, only the transition to a different payment option. The participant and support coordinator are provided with a written notice explaining the reason for the action and citing the policy reference.

Appendix E: Participant Direction of Services

E-1: Overview (13 of 13)

n. Goals for Participant Direction. In the following table, provide the state's goals for each year that the waiver is in effect for the unduplicated number of waiver participants who are expected to elect each applicable participant direction opportunity. Annually, the state will report to CMS the number of participants who elect to direct their waiver services.

Table E-1-n

	Employer Authority Only	Budget Authority Only or Budget Authority in Combination with Employer Authority
Waiver Year	Number of Participants	Number of Participants
Year 1	760	
Year 2	875	
Year 3	990	
Year 4	1105	
Year 5	1220	

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant Direction (1 of 6)

a. Participant - Employer Authority Complete when the waiver offers the employer authority opportunity as indicated in Item E-1-b:

i. Participant Employer Status. Specify the participant's employer status under the waiver. *Select one or both:*

- Participant/Co-Employer.** The participant (or the participant's representative) functions as the co-employer (managing employer) of workers who provide waiver services. An agency is the common law employer of participant-selected/recruited staff and performs necessary payroll and human resources functions. Supports are available to assist the participant in conducting employer-related functions.

Specify the types of agencies (a.k.a., agencies with choice) that serve as co-employers of participant-selected staff:

- Participant/Common Law Employer.** The participant (or the participant's representative) is the common law employer of workers who provide waiver services. An IRS-approved Fiscal/Employer Agent functions as the participant's agent in performing payroll and other employer responsibilities that are required by federal and state law. Supports are available to assist the participant in conducting employer-related functions.

ii. Participant Decision Making Authority. The participant (or the participant's representative) has decision making authority over workers who provide waiver services. *Select one or more decision making authorities that participants exercise:*

- Recruit staff**
- Refer staff to agency for hiring (co-employer)**
- Select staff from worker registry**
- Hire staff common law employer**
- Verify staff qualifications**
- Obtain criminal history and/or background investigation of staff**

Specify how the costs of such investigations are compensated:

The cost of criminal background checks are paid for by LDH.

- Specify additional staff qualifications based on participant needs and preferences so long as such qualifications are consistent with the qualifications specified in Appendix C-1/C-3.**

Specify the state's method to conduct background checks if it varies from Appendix C-2-a:

As referenced in C-2a, the FMS is responsible for assuring that criminal background checks are conducted on all prospective self direction employees. Once the FMS verifies that the employee has cleared the background check, the employee is approved to provide services.

- Determine staff duties consistent with the service specifications in Appendix C-1/C-3.**
- Determine staff wages and benefits subject to state limits**
- Schedule staff**
- Orient and instruct staff in duties**
- Supervise staff**
- Evaluate staff performance**
- Verify time worked by staff and approve time sheets**
- Discharge staff (common law employer)**
- Discharge staff from providing services (co-employer)**
- Other**

Specify:

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (2 of 6)

b. Participant - Budget Authority Complete when the waiver offers the budget authority opportunity as indicated in Item E-1-b:

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

i. Participant Decision Making Authority. When the participant has budget authority, indicate the decision-making authority that the participant may exercise over the budget. *Select one or more:*

- Reallocate funds among services included in the budget
- Determine the amount paid for services within the state's established limits
- Substitute service providers
- Schedule the provision of services
- Specify additional service provider qualifications consistent with the qualifications specified in Appendix C-1/C-3
- Specify how services are provided, consistent with the service specifications contained in Appendix C-1/C-3
- Identify service providers and refer for provider enrollment
- Authorize payment for waiver goods and services
- Review and approve provider invoices for services rendered
- Other

Specify:

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (3 of 6)

b. Participant - Budget Authority

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

ii. Participant-Directed Budget Describe in detail the method(s) that are used to establish the amount of the participant-directed budget for waiver goods and services over which the participant has authority, including how the method makes use of reliable cost estimating information and is applied consistently to each participant. Information about these method(s) must be made publicly available.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (4 of 6)

b. Participant - Budget Authority

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

- iii. **Informing Participant of Budget Amount.** Describe how the state informs each participant of the amount of the participant-directed budget and the procedures by which the participant may request an adjustment in the budget amount.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (5 of 6)

b. Participant - Budget Authority

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

- iv. **Participant Exercise of Budget Flexibility.** *Select one:*

- Modifications to the participant directed budget must be preceded by a change in the service plan.
- The participant has the authority to modify the services included in the participant directed budget without prior approval.

Specify how changes in the participant-directed budget are documented, including updating the service plan. When prior review of changes is required in certain circumstances, describe the circumstances and specify the entity that reviews the proposed change:

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (6 of 6)

b. Participant - Budget Authority

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

- v. **Expenditure Safeguards.** Describe the safeguards that have been established for the timely prevention of the premature depletion of the participant-directed budget or to address potential service delivery problems that may be associated with budget underutilization and the entity (or entities) responsible for implementing these safeguards:

Appendix F: Participant Rights

Appendix F-1: Opportunity to Request a Fair Hearing

The state provides an opportunity to request a Fair Hearing under 42 CFR Part 431, Subpart E to individuals: (a) who are not given the choice of home and community-based services as an alternative to the institutional care specified in Item 1-F of the request; (b) are denied the service(s) of their choice or the provider(s) of their choice; or, (c) whose services are denied, suspended, reduced or terminated. The state provides notice of action as required in 42 CFR §431.210.

Procedures for Offering Opportunity to Request a Fair Hearing. Describe how the individual (or his/her legal representative) is informed of the opportunity to request a fair hearing under 42 CFR Part 431, Subpart E. Specify the notice(s) that are used to offer individuals the opportunity to request a Fair Hearing. State laws, regulations, policies and notices referenced in the description are available to CMS upon request through the operating or Medicaid agency.

The Louisiana Medicaid Eligibility Manual states, Every applicant for and enrollee of Louisiana Medicaid benefits has the right to appeal any agency action or decision and has the right to a fair hearing in the presence of an impartial hearing officer. (Medicaid Eligibility Manual, T-100/Fair Hearings/General Information).

Both applicants and participants are afforded the right to request a fair hearing for services which have been denied, not acted upon with reasonable promptness, suspended, terminated, reduced or discontinued, La. R.S. 46:107. In accordance with La. R.S. 28.454.16, a person may file an administrative appeal to the Division of Administrative Law - LA Department of Health Section regarding the following determinations:

- 1) A finding by the office that the person does not qualify for system entry;
- 2) Termination of a support or service;
- 3) Discharge from the system; and/or
- 4) Other cases as stated in office policy or as promulgated in regulation.

The participant or his/her representative may request a reconsideration and present supporting documentation if he/she disagrees with the specific OCDD waiver offered as a result of the initial needs based assessment and person-centered planning process. If the participant disagrees with the reconsideration decision, he/she may request a fair hearing through the formal appeals process (Louisiana Department of Health, Division of Administration Law (DAL) process as referenced in in this appendix.

Once approved for the NOW, if the participant disagrees with the proposed NOW services in the POC, the participant or his/her authorized representative may request additional services and present supporting documentation. If the participant or his/her authorized representative is not satisfied with the decision related to the request for additional services, then he/she may appeal any limit or denial of services through the Louisiana Department of Health, Division of Administration Law (DAL) process as referenced in this appendix.

During the initial assessment process, the Support Coordinator will give a participant and his/her legal representatives an OCDD information sheet entitled "Rights and Responsibilities for Applicants/Participants of a Home and Community Based Waiver" which includes information on how to file a complaint, grievance, or appeal with the Louisiana Department of Health. A copy of this information sheet is kept in the participant's record at the Support Coordination agency's physical location of business. In addition, the service plan contains a section that addresses the right to a fair hearing within ten days, and how to request a fair hearing, if the participant and his/her legal representatives disagree with any decision rendered regarding approval of the plan. Dated signatures of the participant, his/her legal representatives, and a witness are required on this section. Copies of the service plan, including this section are kept in the appropriate LGE and the Support Coordination agency's physical location of business.

If an individual does not receive the Louisiana Medicaid Long Term Care Choice of Service form offering the choice of home and community based services as an alternative to institutional care, and/or the Freedom of Choice form for case management and/or direct service providers, he/she or his/her legal representatives may request a fair hearing with the Division of Administrative Law – Louisiana Department of Health section in writing, by phone or e-mail. The LGEs are responsible for giving information to the individual and his/her legal representatives of how to contact the Division of Administrative Law – Louisiana Department of Health Section by writing, phone or e-mail, and how to contact the Advocacy Center by phone or mail. This is done at the time of enrollment and at any other time the participant and his/her legal representative requests the number(s).

BHSF utilizes the Adequate Notice of Home and Community Based Services (Waiver) Decision Form 18-W to notify individuals by mail if they have not been approved for Home and Community Based Waiver services due to financial ineligibility. A separate page is attached to this form entitled "Your Fair Hearing Rights". This page contains information on how to request a fair hearing, how to obtain free legal assistance, and a section to complete if the individual is requesting a fair hearing. If the participant does not return this form, it does not prohibit his/her right to appeal and receive a fair hearing.

In accordance with 42CFR 431.206, 210 and 211, participants receiving waiver services, and their legal representatives are sent a certified letter with return receipt to ensure the participant receives it by the appropriate LGE providing ten days advance and adequate notification of any proposed denial, reduction, or termination of waiver services. Included in the letter are instructions for requesting a fair hearing, and notification that an oral or written request must be made within ten days of receipt of a proposed adverse action by the LGE in order for current waiver services to remain in place during the appeal process. If the appeal request is not made within ten days, but is made within thirty days, all Medicaid waiver services are discontinued on the eleventh day; services that are continued until the final decision is rendered are not billable under the Medicaid waiver. If the final decision of the Administrative Law Judge is favorable to the appellant, services are re-implemented from the date of the final decision. An appeal hearing is not granted if the appeal request is made later than thirty days following receipt of a proposed adverse action sent by the LGE. Once a request for an appeal is received, the LGE must submit the request to the

Division of Administrative Law – Department of Health section no later than seven calendar days after receipt. A copy of the letter and the response/request is kept in the participant’s record at the appropriate LGE.

During an appeal request and/or fair hearing, the Support Coordinator provides:

- Assistance as requested by the participant and his/her legal representatives;
- Documentation in progress notes of the status of the appeal; and
- Information the participant and his/her legal representatives need to complete the appeal or prepare for a fair hearing.

Anyone requesting an appeal has the right to withdraw the appeal request at any time prior to the hearing. The appellant may contact the Division of Administrative Law – Louisiana Department of Health section directly, or may request withdrawal through the LGE. Requests for withdrawal are kept in the participant’s record at the appropriate LGE.

Louisiana Administrative Code Title 48, Part I, Subpart 3, Chapter Home and Community Based Service Provider Licensing Standards, Subchapter C, Admission, Transfer and Discharge Criteria, require that enrolled providers of waiver services provide participants and their legal representatives notice in writing at least thirty days prior to the transfer or discharge from the provider agency with the proposed date of the transfer/discharge, the reason for the action, and the names of personnel available to assist the participant throughout the process. The enrolled provider of waiver services must also provide the participant and his/her legal representatives with information on how to request an appeal of a decision for involuntary discharge. A copy of the notice of intent to transfer/discharge, and information that was provided on how to access the appeal process is kept in the participant’s record at the enrolled provider of waiver services’ physical location of business.

All Administrative Hearings are conducted in accordance with the Louisiana Administrative Procedure Act, La. R.S. 49:950 et seq. Any party may appear and be heard at any appeals proceeding through an attorney at law or through a designated representative.

Appendix F: Participant-Rights

Appendix F-2: Additional Dispute Resolution Process

a. Availability of Additional Dispute Resolution Process. Indicate whether the state operates another dispute resolution process that offers participants the opportunity to appeal decisions that adversely affect their services while preserving their right to a Fair Hearing. *Select one:*

- No. This Appendix does not apply**
- Yes. The state operates an additional dispute resolution process**

b. Description of Additional Dispute Resolution Process. Describe the additional dispute resolution process, including: (a) the state agency that operates the process; (b) the nature of the process (i.e., procedures and timeframes), including the types of disputes addressed through the process; and, (c) how the right to a Medicaid Fair Hearing is preserved when a participant elects to make use of the process: State laws, regulations, and policies referenced in the description are available to CMS upon request through the operating or Medicaid agency.

Appendix F: Participant-Rights

Appendix F-3: State Grievance/Complaint System

a. Operation of Grievance/Complaint System. *Select one:*

- No. This Appendix does not apply**
- Yes. The state operates a grievance/complaint system that affords participants the opportunity to register grievances or complaints concerning the provision of services under this waiver**

b. Operational Responsibility. Specify the state agency that is responsible for the operation of the grievance/complaint system:

LDH Health Standards Section is responsible for receiving, responding to and determining the necessity of and/or scope of investigation for all complaints in which the allegations involve potential non-compliance of Home and Community Based (HCBS) licensing standards by the direct service provider.

The LGEs are responsible for receiving, reporting, and responding to complaints received for individuals supported through the waiver in which the allegations involve alleged violations of waiver policy by the direct service provider and/or non-regulatory matters that are not handled by Health Standards.

- c. Description of System.** Describe the grievance/complaint system, including: (a) the types of grievances/complaints that participants may register; (b) the process and timelines for addressing grievances/complaints; and, (c) the mechanisms that are used to resolve grievances/complaints. State laws, regulations, and policies referenced in the description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

The Office for Citizens with Developmental Disabilities (OCDD) is responsible for receiving, reporting and responding to customer complaints received for people supported through their office including those supported through the NOW in which the allegations involve alleged violations of waiver policy by the direct service provider and/or non-regulatory matters that are not handled by Health Standards. A complaint is a concern, dissatisfaction, or dispute expressed through written or verbal communication or expressed through other means, such as assistive devices, regarding: care, supports and services, action or inaction of staff, department or agency requirement, regulation or policy or other circumstances affecting quality of care or quality of life, including allegations of rights of violations. Each OCDD entity including LGEs or State Office are responsible for receiving, reporting, and responding to customer complaints. Each OCDD entity is responsible for training their staff, participants, their families, and providers regarding OCDD's policy on complaints. A complaint may be made in person or by phone, fax, e-mail or mail to an OCDD entity. When a complaint is received by an OCDD entity the complaint is reviewed to determine if the complaint can be resolved by OCDD or if the complaint needs to be referred to another agency (Bureau of Health Services Financing, Protective Services, etc.) for action/resolution. The initiation of the complaint review and follow-up occurs within two business days of receipt of the complaint. Actions to resolve the complaint will be completed within fifteen calendar days of receipt of the complaint, unless an extension is granted. A written response describing the actions in response to the complaint, is mailed to the complainant within five (5) business days of the complaint resolution/action. OCDD entities will continue to follow up with other agencies regarding complaint action/resolution. All complaints are entered into a database for tracking of complaints and quality management purposes.

Each OCDD entity will utilize complaint data from the complaint database to conduct quality reviews. A sample size of complaints is reviewed based on the number of complaints received and resolved each quarter. The reviews shall include contacting the complainants to assure their satisfaction with the resolution. The reports generated from the complaints database shall be evaluated to identify trends and patterns for determining appropriate strategies for improving services.

OCDD State Office shall conduct oversight activities to assure that OCDD entities comply with policy guidelines. At least five percent of the total complaints from OCDD entities are reviewed quarterly to assess whether the complaints were addressed according to requirements. Reports are evaluated to identify trends and patterns and to make recommendations for training, technical assistance or strategies for improving services

The Health Standards Section (HSS) is responsible for the operation of grievance/complaints that involve the potential non-compliance of Home and Community Based licensing standards by the direct service provider.

- The HSS State Office maintains a toll free complaint line for receipt of complaints involving waiver participants as well as other home and community based services such as those provided through Medicaid State plan.
- The nature and scope of the complaint is at the discretion of the individual registering the complaint.
- The Health Standards toll free complaint line number, the LGE complaint line number and the number for protective services is printed on business cards, brochures, and fact sheet along with directions on what number to call depending upon the allegations being reported. It is given to participants and their legal representative(s) at intake by their support coordinator. During the pre-certification visit the LGE staff checks to make sure that the information has been given to them. The support coordinator reviews the information during quarterly face to face visits, and each year at the annual service plan team meeting, or whenever it is requested by the participant and his/her legal representative(s).
- HSS and LGE staff, as well as support agencies such as Families Helping Families distribute the HSS, LGE and protective services contact information when assisting participants and their legal representative(s). Direct service providers are also required to give the toll free numbers to all participants.
- Support coordinators are responsible for informing participants and their legal representative(s) initially, annually or whenever information about the system is requested that filing a grievance or complaint is not a pre-requisite or substitute for a Fair Hearing. LGE staff checks to make sure that this information has been relayed to them during the pre-certification visit.
- If LGE or State Office Staff is contacted by a participant/legal representative (s), other state agency, support coordinator or provider wishing to file a complaint, the entity staff will review and consider the information provided by the complainant and make a determination as to whether the complaint can be resolved by the LGE or whether additional action is required by HSS. If it is determined that there is evidence of non-compliance of the HCBS Licensing Standards, the LGE will refer the complainant to the HSS Complaint line within 24 hours.
- HSS and the LGE triages all complaints in the following manner:
 - o. Provider non-compliance licensing issues are resolved by HSS.
 - o. Complaints identified as abuse, neglect, exploitation or extortion are referred immediately to the applicable protective services agency.
 - o. All other types of complaints are referred to OCDD State Office for incident resolution. Complaints identified as critical events or incidents are investigated by the appropriate office within thirty days of receipt of such report.
- Pursuant to Louisiana Revised Statutes 40:2009.14 if the complaint involves provider non-compliance with HCBS

licensing standards, HSS will investigate by on site visit or administrative desk review. A written report is sent to the complainant within 45 days of receipt of the completed investigation, if a response to the complaint is requested by the complainant.

Appendix G: Participant Safeguards

Appendix G-1: Response to Critical Events or Incidents

a. Critical Event or Incident Reporting and Management Process. Indicate whether the state operates Critical Event or Incident Reporting and Management Process that enables the state to collect information on sentinel events occurring in the waiver program. *Select one:*

Yes. The state operates a Critical Event or Incident Reporting and Management Process (*complete Items b through e*)

No. This Appendix does not apply (*do not complete Items b through e*)

If the state does not operate a Critical Event or Incident Reporting and Management Process, describe the process that the state uses to elicit information on the health and welfare of individuals served through the program.

b. State Critical Event or Incident Reporting Requirements. Specify the types of critical events or incidents (including alleged abuse, neglect and exploitation) that the state requires to be reported for review and follow-up action by an appropriate authority, the individuals and/or entities that are required to report such events and incidents and the timelines for reporting. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Critical events or incidents reported as required by Louisiana Revised Statute 14:403.2, which defines reporting criteria pertaining to any known or suspected abuse, neglect, exploitation or extortion, by the discoverer of the incident immediately upon discovery to the appropriate protective services agency for review and follow-up action are:

- Abuse (adult), as defined in Louisiana Revised Statute 15:503.
- Abuse (child), as defined in Louisiana Children's Code, Article 1003.
- Exploitation (adult), as defined in Louisiana Revised Statute 15:503.
- Extortion (adult), as defined in Louisiana Revised Statute 15:503.
- Neglect (adult), as defined in Louisiana Revised Statute 15:503.
- Neglect (child), as defined in Children's Code, Article 1003.

The discoverer of suspected abuse, neglect, exploitation or extortion directed at a waiver participant must report the incident by telephone to the appropriate protective services hotline for entry into the protective services intake system.

The following categories of incidents as defined in OCDD Operational Instruction #F-5: Critical Incident Reporting, Tracking and Follow-up Activities for Waiver Services are required to be reported in the Statewide Incident reporting Management System (SIMS) by the provider or Support Coordinator:

- Death
- Fall
- Involvement with Law Enforcement
- Loss or Destruction of Home
- Major Behavioral Incident
- Major Illness
- Major Injury
- Missing Person
- Restraint Use
- Medication Errors

The provider employee or Support Coordinator who discovers the incident must enter it into the Statewide Incident Management System as directed in the OCDD Operational Instruction F-5.

The discoverer of any event that involves an OCDD waiver participant and meets the definition of one of the OCDD critical incident categories must either call in the incident or complete a hard-copy incident report and submit it to the Direct Service Provider or Support Coordinator to be entered into SIMS as soon as possible, but no more than 10 business days after the discovery. The Direct Service Provider or Support Coordinator who receives the hard copy report must enter it in to SIMS within 3 business days. A discoverer is defined as an employee of any support service for the waiver participant who receives reimbursement through the Medicaid waiver program, or an agent of the person who is participating in self-direction.

- c. Participant Training and Education.** Describe how training and/or information is provided to participants (and/or families or legal representatives, as appropriate) concerning protections from abuse, neglect, and exploitation, including how participants (and/or families or legal representatives, as appropriate) can notify appropriate authorities or entities when the participant may have experienced abuse, neglect or exploitation.

The state provides information to the participant, his/her family, legal representative or authorized representative during initial waiver planning/certification and annually thereafter.

Abuse, neglect and exploitation is discussed with the participant and/or families or legal representative initially by the support coordination agency, the local governing entity, and the provider agency. During the initial planning process, participants receive information regarding their right to be free from abuse, neglect and exploitation and how to report suspected abuse, neglect, or exploitation or extortion. Each participant and their legal guardian or authorized representative receives a copy of the OCDD Participant Rights and Responsibility form which contains the phone number to the Health Standards Complaint line, the OCDD Complaint Line as well as and the phone numbers to the different protective services agencies: (Elderly Protective Services (EPS), Adult Protective Services (APS) or Child Protected Services. (CPS).

During the annual plan of care meeting process, the OCDD Rights and Responsibilities form is reviewed and discussed, which includes a conversation regarding abuse, neglect, and exploitation. A copy of the OCDD Rights and Responsibilities form is given to the participant/family and is retained in the home. The form contains the phone number to the Health Standards Complaint line as well as the phone number to the different protective services agencies. (Elderly Protective Services (EPS), Adult Protective Services (APS) or Child Protected Services. CPS).

On a quarterly basis, the Support Coordinator is required to conduct a face to face visit with the participant (and/or families or legal representatives as appropriate). As part of the visit, the Support Coordinator ensures that the Health Standards Complaint line number, the OCDD Complaint Line number and the toll-free telephone numbers for the other protective services agencies are available to the participant. Any complaint called into the Health Standards complaint line that constitutes abuse, neglect, or exploitation results in a complaint being generated by Health Standards and routed to the appropriate agency -(Elderly Protective Services (EPS), Adult Protective Services (APS) or Child Protected Services. (CPS).

OCDD will make on-line training modules available for provider agencies, support coordinators and waiver personnel. The modules will cover definitions of abuse, neglect and exploitation of minors and adults, the responsibility to report suspected abuse, neglect or exploitation, and the responsibilities of licensed providers and support coordinators to report, follow up and take corrective actions as deemed necessary by protective services. Initial and annual review attendance will be tracked by the OCDD Training Section.

- d. Responsibility for Review of and Response to Critical Events or Incidents.** Specify the entity (or entities) that receives reports of critical events or incidents specified in item G-1-a, the methods that are employed to evaluate such reports, and the processes and time-frames for responding to critical events or incidents, including conducting investigations.

When a critical incident occurs, the following actions are taken:

Provider:

- Takes immediate action to assure that the participant is protected from further harm and must respond to any emergency needs of the participant. The provider must review each critical incident and record remedial actions taken in response to the incident within twenty-four (24) hours of the discovery of the incident, including reports made to protective services or law enforcement
- Enters critical incident report information into the incident reporting system by close of business the next business day after notification of a critical incident.
- Cooperates with the appropriate protective service agency once an investigation commences if abuse/neglect/exploitation/extortion is reported. Supplies relevant information, records, and access to members of the agency conducting the investigation.
- Participates in planning meetings to resolve each critical incident or to develop strategies to prevent or mitigate the likelihood of similar incidents in the future.
- Tracks critical incidents and outcomes in order to identify remediation needs and quality improvement goals and to determine the effectiveness of strategies employed for incident resolution.

Support Coordinator:

- Monitors critical incidents entered into the incident reporting system on a daily basis;
- Identifies and screens out reports that do not meet the criteria for critical incident.
- Contacts the DSP within two (2) hours of discovery if the incident is discovered by the Support Coordinator,
- Reports incidents involving abuse, neglect, exploitation, and extortion to Protective Services.
- Enters follow-up case note by close of the sixth (6th) business day after initial report;
- Continues to follow up with the DSP agency, the participant, the participant's guardian/authorized representative or natural supports, the LGE waiver office and any other entities involved, as necessary, and updates in the incident reporting system with case notes until the incident is resolved and the case is closed;
- Submits to the LGE waiver office a request for extension of open case in circumstances defined in OCDD Operational Instruction F-5;
- Convenes any planning meetings necessary to address remediation of the critical incident or develop strategies to prevent or mitigate the likelihood of similar critical incidents occurring in the future and revises the POC accordingly;
- Sends the participant and DSP a copy of the Incident Participant Summary within fifteen (15) days after LGE waiver office final supervisory review and closure. The Summary will not include the identity of the reporter or any sensitive or unsubstantiated allegations. The Participant Summary is not distributed in the event of deaths;
- For transfer of open cases, the transferring support coordination agency must supply the accepting support coordination agency with the incident number(s) at the time of transfer of records. Additionally, the transferring support coordination agency must notify the accepting LGE waiver office. The accepting agencies must review, assign, take actions to resolve the incident, and enter into the case record in the incident reporting system until closure of the incident.
- Tracks trends and patterns of critical incidents to identify necessary remediation and quality improvement goals and to determine the effectiveness of strategies employed.

Local Governing Entity (LGE):

- Reviews all new incoming critical incident reports in the incident reporting system on a daily basis and assigns incidents) to medical certification specialists within 1 business day for monitoring, follow-up and recommendation for closure when remediation of the incident is evidenced.
- Identifies and screens out reports that do not meet the criteria for critical incident.
- Identifies critical incidents as defined in OCDD Operational Instruction F-8, Risk Management Process for Waiver Services: Critical Incident Reviews that have crossed threshold for any participant and refers cases to the Critical Incident Committee.
- Assures that all activities occur within required timelines as detailed in OCDD Operational Instruction F-5 and F-8;
- Provides technical assistance to the support coordinator when timelines are not being met or the support coordinator reports an inability to identify necessary resources. Assists in making referrals to additional referral resources as needed;
- Immediately reports the incident to the appropriate protective service agency if the LGE suspects or becomes aware that a critical incident meets the definition of abuse, neglect, exploitation or extortion, and there is no documentation that the allegation has been reported to the appropriate protective services agency;
- Conducts follow-up monitoring of a sample of critical incidents where remedial actions required revision of the plan of care;
- Closes critical incident cases all necessary follow- up has occurred and documented in the critical incident report,

- The LGE may grant extensions to timelines for closure to open incidents in categories as permitted in OCDD Operational Instruction F-5;
- Tracks trends and patterns of critical incidents to identify systemic remediation needs and quality improvement goals and to determine the effectiveness of strategies employed.
- Develops system improvement strategies to address identified needs of waiver participants, service providers, or other support systems as a result of identified trends or patterns.

Department of Children & Family Services/Child Protective Services (DCFS/CPS):

- Investigates allegations or reports of abuse, neglect or exploitation by a family member or legal guardian involving a waiver participant, aged 0-17 years, based upon CPS policies and guidelines,
- Develops a protective plan and retains the authority to remove the minor participant from the home setting for his/her safety. The LGE waiver offices will coordinate continued waiver services contingent on CPS plan of protection.

Office of Aging and Adult Services/Adult Protective Services (APS):

- Investigates allegations of abuse, neglect, exploitation, or extortion involving a participant aged 18-59 when the alleged perpetrator is a family member, legal guardian, or other natural support person not employed by a licensed provider agency, based upon APS policies and guidelines.
- APS develops a protective plan and retains the authority to remove the participant from the home setting for his/her safety. The LGE waiver offices will coordinate continued waiver services contingent on APS plan of protection.

Elderly Protective Services (EPS):

- Investigates allegations of abuse, neglect, exploitation and extortion involving a participant aged 60 or older when the alleged perpetrator is a family member, legal guardian, or other natural support person not employed by a licensed provider agency, based upon EPS policies and guidelines.
- EPS develops a protective plan and retains the authority to remove the participant from the home setting for his/her safety. The LGE waiver offices will coordinate continued waiver services contingent on CPS APS EPS plan of protection.

Health Standards Section (HSS):

- HSS investigates allegations or reports of abuse, neglect, exploitation, or extortion when the alleged perpetrator is a licensed provider agency owner or employee, based upon HSS internal policy and guidelines.
- HSS determines the level of jeopardy to waiver participants, issues findings and deficiencies, and requires a plan of correction from the provider to remediate the conditions that caused the incident. The LGE and support coordination agency will coordinate waiver services contingent on the plan of correction.

Law Enforcement:

- The provider and support coordinator are required to ensure that they contact law enforcement in the event of any allegation of child abuse or neglect involving participants under the age of 18. Protective services contacts law enforcement in the event of a substantiated case of abuse or neglect according to their policies and procedures.
- In the event of a participant's arrest for a crime, the provider and support coordinator contact law enforcement to assure that information about the participant's health needs, medications or other risk factors are conveyed to assure safety while in police custody.

OCDD State Office:

- Provides technical assistance to LGEs when all attempts to mitigate harm have been exhausted;
- Collaborates with protective service agencies, Health Standards, law enforcement and the judicial system to assure coordination of activities to mitigate harm in individual cases;
- Monitors timely closure of critical incidents and adherence to OCDD critical incident operational instructions by the direct service providers, support coordinators and LGEs;
- Conducts case reviews for participants who experience repeated critical incidents as defined in OCDD Operational Instruction #F-8 Risk Management Process for Waiver Services: Critical Incident Reviews. The Committee may, at its discretion, request a follow-up report on progress towards mitigation within 60 day timeline;
- Conducts Mortality Review Committee (MRC) meetings to analyze deaths of waiver participants, as described in OCDD Operational Instruction #F-1 Mortality Review for Waiver Participants. MRC has the authority to issue a request for

corrective action to providers, support coordination agencies and LGEs when it is discovered that practices by any one or combination of these entities could potentially affect other participants negatively. The MRC request for corrective action may be issued in conjunction with corrective action plans issued by HSS.

- e. Responsibility for Oversight of Critical Incidents and Events.** Identify the state agency (or agencies) responsible for overseeing the reporting of and response to critical incidents or events that affect waiver participants, how this oversight is conducted, and how frequently.

OCDD is the State entity responsible for overseeing the operation of the incident management system. A multi-agency Memorandum of Understanding between OCDD and LGEs delegates the day to day responsibility for oversight of the reporting and response to critical incidents or events that affect waiver participants.

OCDD maintains the services of support coordination agencies through agreements that stipulate the requirements for compliance with waiver regulations.

OCDD State Office Quality Section analyzes trends and patterns in critical incident reports to identify potential quality enhancement goals and utilizes the critical incident data to determine the effectiveness of OCDD Quality Enhancement strategies.

OCDD provides the State Medicaid Agency with aggregate annual reports which are used to identify trends and patterns.

Frequency of oversight activities:

The LGE, on a monthly basis, will pull a sample of critical incidents to review for adherence to policy including a review to determine if all necessary actions were taken to address and resolve critical incidents and perform annual analysis of data to determine the effectiveness of quality enhancement goals and activities.

OCDD State Office and the LGEs jointly participate in the Human Services Accountability Plan (AP) to measure performance, report outcome measures and develop and implement quality enhancement strategies. LGEs will report measures to OCDD quarterly and OCDD will conduct site visits to each LGE annually. The monitoring protocol and strategy for corrective action plans is described in OCDD Operational Instruction F-7: Quality Partnership: Reporting and Verification of Performance Measures and Quality Management Initiatives for Developmental Disability Services.

MPSW provides oversight and remediation enforcement of critical incident management through the Medicaid HCBS Oversight Committee which meets quarterly to review current performance reports for all waiver assurances including health and welfare. Quality recommendations or issues which cannot be resolved at this level are placed on the agenda of the Medicaid/Program Offices Quarterly Meeting.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (1 of 3)

- a. Use of Restraints.** *(Select one): (For waiver actions submitted before March 2014, responses in Appendix G-2-a will display information for both restraints and seclusion. For most waiver actions submitted after March 2014, responses regarding seclusion appear in Appendix G-2-c.)*

- The state does not permit or prohibits the use of restraints**

Specify the state agency (or agencies) responsible for detecting the unauthorized use of restraints and how this oversight is conducted and its frequency:

- The use of restraints is permitted during the course of the delivery of waiver services.** Complete Items G-2-a-i

and G-2-a-ii.

- i. Safeguards Concerning the Use of Restraints.** Specify the safeguards that the state has established concerning the use of each type of restraint (i.e., personal restraints, drugs used as restraints, mechanical restraints). State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

LDH BHSF HCBS Providers Minimum Licensing Standards(LAC 48:I.Chapter 50)§5029 establishes prohibitions to the use of chemical, physical & mechanical restraints, seclusion or any procedure which denies food, drink, visits with family, or use of rest room facilities. Enrolled providers of waiver services are required to ensure that non-intrusive positive approaches to address the meaning/origins of behaviors are used prior to the development of a restrictive plan, & cover any behavioral emergency & provide documentation of the event in an IR format. Restraint is a reportable CI as described in OCDD OI F-5: Critical Incident Reporting, Tracking & Follow-up Activities for Waiver Services.

It is the policy of the Office for Citizens with Developmental Disabilities (OCDD) to allow the use of Restraints only when necessary to protect an individual or others from injury. (NOTE: Restraints is the OCDD chosen term to refer to restraints.)

- Restraints may only be used in response to a situation that represents an imminent and grave risk of injury and only when necessary as a health-related protection.
- The use of restraints that limit mobility or access is strongly discouraged and limited to use as a last resort when other methods have been determined to be ineffective in assuring health and safety.
- The use and type of restraints must be the least restrictive and intrusive to the person's dignity, liberty and autonomy that are effective in preventing injury.
- Restraints can only be used in conjunction with a physician's order.
- Restraints that may be applied and monitored by provider staff are limited to the use of helmets, mittens, splints or other equipment for the purposes of healing or protection. All other medical Restraints (i.e., use of a papoose board to complete a medical procedure) must be initiated by a physician or dentist (or his/her staff) in the physician/dentist's office/hospital/etc. under the supervision of the physician/dentist.
- Personal protective supports are prohibited unless specifically approved for a program under the optional clause of the OCDD Emergency Restraint Policy. As medical and behavioral supports improve in community settings, OCDD recognizes that there may also be situations where protective supports are required more frequently (e.g., small home focused on acute psychiatric services). If a provider can demonstrate that temporary strategies involving restraints, other than those described in this policy, do the following, the WSS may provide approval.

- (1) Demonstrate how implementation is safer for the person;
- (2) Demonstrate how implementation protects a person's dignity and rights;
- (3) Demonstrate that the program, overall, will expedite community living for people served and that protective supports utilized are integral.
- (4) Demonstrate that the appropriate clinical staff are involved in the program and its oversight.
- (5) Demonstrate use of evidenced based approaches to treatment/support.
- (6) Provide proposed policies and procedures to oversee use, collect and analyze data, provide appropriate staff training, provide appropriate observation and documentation, and assure due process for the individual.
- (6) No policy will be accepted that incorporates seclusion, painful stimuli, physical punishments, or coercion.

The following practices are prohibited:

- Restraints may not be used in lieu of appropriate treatment and/or behavioral supports, as coercion, discipline, punishment or for the convenience of or retaliation by staff.
- The use of prone containment (face down), horizontal holds, and mechanical devices to prohibit mobility are strictly prohibited within Waiver Supports and Services (WSS) settings.
- Restraints may not be used as part of a behavior support plan as a contingent consequence to effect a behavior change.
- The use of exclusionary time-out is strictly prohibited within WSS settings.
- The use of seclusion is strictly prohibited within WSS settings.

- ii. State Oversight Responsibility.** Specify the state agency (or agencies) responsible for overseeing the use of restraints and ensuring that state safeguards concerning their use are followed and how such oversight is conducted and its frequency:

Providers are required to report measures implemented to mitigate the use of restraints and follow-up in regards to referrals to protective services (if necessary), changes to behavior supports, or staff training. The provider is responsible for reviewing incidents for trends and patterns within its own agency caseload to determine what quality initiatives may be necessary to provide alternate means of addressing situations which result in restraint at least quarterly.

The support coordination agency is responsible for tracking trends in restraint incidents involving providers who serve participants on the support coordination agency caseload at least quarterly. The support coordinator is responsible for addressing behavioral needs on a quarterly basis and amending the plan of care to ensure positive support strategies are implemented.

LGEs are responsible for quarterly monitoring the reviews conducted by SCAs, to provide technical assistance and assist with referrals for additional services when necessary.

OCDD is responsible for reviewing aggregate data in the critical incident reporting system on the use of protective supports and procedures.

OCDD will present aggregate data to the OCDD Performance Review Committee to determine if any quality initiatives are necessary.

OCDD will provide MPSW with aggregate data and reports which are inclusive of any reported restraint use, remediation strategies and quality improvement initiatives and the results of quality improvement projects on a quarterly basis.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (2 of 3)

- b. Use of Restrictive Interventions.** *(Select one):*

- The state does not permit or prohibits the use of restrictive interventions**

Specify the state agency (or agencies) responsible for detecting the unauthorized use of restrictive interventions and how this oversight is conducted and its frequency:

The State prohibits the use of restrictive interventions. The state strategies for detecting unauthorized use of restraints is through review of critical incident reports, complaints, support coordinator quarterly contacts with participants and families and support coordinator unannounced visits.

- The use of restrictive interventions is permitted during the course of the delivery of waiver services** Complete Items G-2-b-i and G-2-b-ii.

- i. Safeguards Concerning the Use of Restrictive Interventions.** Specify the safeguards that the state has in effect concerning the use of interventions that restrict participant movement, participant access to other individuals, locations or activities, restrict participant rights or employ aversive methods (not including restraints or seclusion) to modify behavior. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency.

- ii. State Oversight Responsibility.** Specify the state agency (or agencies) responsible for monitoring and overseeing the use of restrictive interventions and how this oversight is conducted and its frequency:

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (3 of 3)

c. Use of Seclusion. *(Select one): (This section will be blank for waivers submitted before Appendix G-2-c was added to WMS in March 2014, and responses for seclusion will display in Appendix G-2-a combined with information on restraints.)*

The state does not permit or prohibits the use of seclusion

Specify the state agency (or agencies) responsible for detecting the unauthorized use of seclusion and how this oversight is conducted and its frequency:

The State prohibits the use of seclusion. The state strategies for detecting unauthorized use of seclusion is through review of critical incident reports, complaints, support coordinator quarterly contacts with participants and families, and support coordinator unannounced visits.

The use of seclusion is permitted during the course of the delivery of waiver services. Complete Items G-2-c-i and G-2-c-ii.

i. Safeguards Concerning the Use of Seclusion. Specify the safeguards that the state has established concerning the use of each type of seclusion. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

ii. State Oversight Responsibility. Specify the state agency (or agencies) responsible for overseeing the use of seclusion and ensuring that state safeguards concerning their use are followed and how such oversight is conducted and its frequency:

Appendix G: Participant Safeguards

Appendix G-3: Medication Management and Administration (1 of 2)

This Appendix must be completed when waiver services are furnished to participants who are served in licensed or unlicensed living arrangements where a provider has round-the-clock responsibility for the health and welfare of residents. The Appendix does not need to be completed when waiver participants are served exclusively in their own personal residences or in the home of a family member.

a. Applicability. Select one:

- No. This Appendix is not applicable** *(do not complete the remaining items)*
- Yes. This Appendix applies** *(complete the remaining items)*

b. Medication Management and Follow-Up

i. Responsibility. Specify the entity (or entities) that have ongoing responsibility for monitoring participant

medication regimens, the methods for conducting monitoring, and the frequency of monitoring.

If the participant does not self-administer, or if medication is not administered by family, a registered nurse shall authorize and monitor medication administration and noncomplex task performed by the DSW in accordance with LAC 48:I. Chapter 92 published in the Louisiana Register, Vol. 38, No. 12, December 20, 2012.

Medication administration can only be delegated to a DSW by an RN if the participant receives daily monitoring by a family member, direct service worker, and/or other health care providers for the purposes of collecting critical information needed to assure the individual's welfare. Additionally, the participant health status must be stable and predictable as determined by the RN.

The direct service worker attends to participants that receive periodic assessment by a RN based on the person's health status and specified within the plan of care; in no case shall the periodic assessment be less than annually. A comprehensive assessment performed for a client in accordance with policies and procedures established by Medicaid or by a LDH program office may serve as the basis of the RN assessment but may not be used in lieu of the RN assessment.

- ii. Methods of State Oversight and Follow-Up.** Describe: (a) the method(s) that the state uses to ensure that participant medications are managed appropriately, including: (a) the identification of potentially harmful practices (e.g., the concurrent use of contraindicated medications); (b) the method(s) for following up on potentially harmful practices; and, (c) the state agency (or agencies) that is responsible for follow-up and oversight.

The LDH Office of Management and Finance, Health Standards Section conducts a survey/monitoring of provider agencies, which includes a review of participant's records. This review includes an assessment of services provided and their outcomes. Types of services reviewed include medications and treatments ordered by physicians and medication administration by unlicensed direct service workers. For every provider agency surveyed, HSS ensures all licensing regulations are followed for participants records reviewed, including medication administration. If citations are issued due to non-compliance, HSS issues a statement of deficiency and requires a corrective action plan.

Appendix G: Participant Safeguards

Appendix G-3: Medication Management and Administration (2 of 2)

c. Medication Administration by Waiver Providers

i. Provider Administration of Medications. *Select one:*

- Not applicable.** *(do not complete the remaining items)*
- Waiver providers are responsible for the administration of medications to waiver participants who cannot self-administer and/or have responsibility to oversee participant self-administration of medications.** *(complete the remaining items)*

- ii. State Policy.** Summarize the state policies that apply to the administration of medications by waiver providers or waiver provider responsibilities when participants self-administer medications, including (if applicable) policies concerning medication administration by non-medical waiver provider personnel. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

Louisiana Department of Health Bureau of Health Services Financing Direct Service Worker Registry (LAC 48:I. Chapter 92) provides for general requirements for the performance of medication administration and noncomplex tasks.

The Support Coordinator is responsible for including medications, entity responsible for medication administration, and oversight into the participant's plan of care.

Unlicensed direct care staff that performs administration of medications or procedures may currently do so under Registered Nurse (RN) delegation. The RN signs a written document which indicates the participant's procedures, medications, dosages, site of administration and instructions. This document verifies that the delegating RN has provided specific training and instructions to the direct care staff concerning the listed medications and/or procedures, and verifies that they are acting under the RN's authority. Each provider agency's administration has the responsibility for conducting on-site visits and assessments of all employees delegated by the RN to give medications. They must also provide oversight when a person self-medicates.

In addition, the LDH-OCDD administers the Certified Medication Attendant Program which provides for the training and certification of unlicensed direct care staff through certified nurse instructors who are also trained by LDH-OCDD. These persons are trained to administer medications to persons with developmental disabilities. The state statute provides for the qualifications of the drug administration course and course applicants/participants and specifies authorized and prohibited functions for such certified provider personnel. This program is available to both waiver and institutional providers of developmental disabilities services.

Waiver provider personnel are mandated to have a minimum of 16 hours of training prior to working with a participant in addition to continued education per licensing regulations including Nurse Delegation training.

iii. Medication Error Reporting. *Select one of the following:*

- Providers that are responsible for medication administration are required to both record and report medication errors to a state agency (or agencies).**

Complete the following three items:

- (a) Specify state agency (or agencies) to which errors are reported:

Medication errors are reported by waiver providers through the critical incident reporting system, which is accessed by the Health Standards Section and OCDD with follow-up for conducting corrective actions via the LGE staff and contracted Support Coordinators.

- (b) Specify the types of medication errors that providers are required to *record*:

The administration of medication:

- In an incorrect form;
- Administered to wrong person;
- Administered but not as prescribed (dose & route);
- Ordered to the wrong person; or
- The failure to administer a prescribed medication.

If the error does NOT result in medical attention by a physician, nurse, dentist or any licensed health care provider, then the provider is required to record the error, but is not required to report the error to the State via the critical incident reporting process.

- (c) Specify the types of medication errors that providers must *report* to the state:

Major medication incidents which include, the administration of medication in an incorrect form, not as prescribed or ordered to the wrong person or the failure to administer a prescribed medication, which requires or results in medical attention by a physician, nurse, dentist or any licensed health care provider must be reported to the State via the critical incident reporting process.

- **Providers responsible for medication administration are required to record medication errors but make information about medication errors available only when requested by the state.**

Specify the types of medication errors that providers are required to record:

iv. State Oversight Responsibility. Specify the state agency (or agencies) responsible for monitoring the performance of waiver providers in the administration of medications to waiver participants and how monitoring is performed and its frequency.

LDH Office of Management and Finance, Health Standards Section (HSS) is the State agency responsible for monitoring waiver providers which includes the administration of medications for those clients included in the monitoring sample and to assure that there is no negative outcomes.

HSS identifies problems in provider performance through their licensing and survey reviews of all Medicaid enrolled direct service providers. This includes a review of medication administration records, policy, and reporting policy.

Medication errors are a reportable incident category in the OCDD critical incident reporting system. Direct service providers and support coordinators are responsible for reporting medication errors that result in the need for medical intervention for the participant, within timelines specified in OCDD operational instruction F-5. Resolution of the incident requires documentation of immediate actions taken by the direct service provider to assure health & safety of the participant as well as preventative actions that improve systemic performance within the direct service provider agency. Aggregate totals of medication errors are reviewed by the LGEs and OCDD Quality Enhancement Section on a quarterly basis to identify patterns. The OCDD Mortality Review Committee reviews all waiver deaths monthly and identifies any concerns regarding medication administration; unexplained errors on the part of direct service provider staff are referred to the HSS for investigation.

OCDD will disseminate reports to LGE waiver section management and the OCDD Performance Review Committee. These reports will be used to identify potentially harmful practices and implement training, technical assistance, and policy/procedural changes to improve quality statewide. The OCDD Quality Enhancement Section reports findings to the Medicaid agency (BHSF) quarterly.

OCDD's discovery of medication errors and related concerns may surface at any time and result from the support coordinator's and LGE's ongoing, real-time reviews of critical incident reports (which include medication errors), from LGE on-site visits or support coordinators quarterly on-site reviews and monthly contacts with participants, and from direct complaints lodged by participants, families or other stakeholders which may be phoned into OCDD State Office or the LGE. As these medication-related concerns surface, the LGE staff follow up to assure that appropriate corrective actions have been implemented by waiver providers. The LGE staff follow up to critical incidents involving medication is entered into the incident reporting system data base which is automatically accessible to the State Medicaid Agency (SMA) and Health Standards Section.

When discovery of medication-related critical incidents involve abuse/neglect, immediate jeopardy to participants, fraudulent claims or other serious licensing deficiencies, they are immediately reported to the respective LDH Bureau, Section or Program Office with legal authority to investigate, sanction, recoup or take other actions to protect waiver participants (i.e., Protective Services offices; Health Standards Section; BHSF/Program Integrity Section).

MPSW reviews aggregated critical incident reports from the operating agency on a quarterly basis to determine if they were resolved appropriately and timely and to determine trends and patterns that indicate further action by MPSW. MPSW also monitors the data reports to see if remediation activities were effective in improving data results from the previous time period. If remediation activities were not effective, the MPSW will meet with the operating agency to address any changes needed to remediation strategies in order to improve results. The MPSW will continue to follow up with the operating agency to evaluate remediation for effectiveness.

Appendix G: Participant Safeguards

Quality Improvement: Health and Welfare

As a distinct component of the States quality improvement strategy, provide information in the following fields to detail the States methods for discovery and remediation.

a. Methods for Discovery: Health and Welfare

The state demonstrates it has designed and implemented an effective system for assuring waiver participant health and welfare. (For waiver actions submitted before June 1, 2014, this assurance read "The State, on an ongoing basis, identifies, addresses, and seeks to prevent the occurrence of abuse, neglect and exploitation.")

i. Sub-Assurances:

a. Sub-assurance: *The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death. (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.)*

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

G.a.i.a.1. Number and percentage of substantiated abuse, neglect or exploitation cases where required remediation is completed, as measured by case closure in the incident reporting system. Numerator = Number of substantiated incidents of abuse, neglect or exploitation where required remediation was completed; Denominator = Total number of substantiated allegations.

Data Source (Select one):

Critical events and incident reports

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify:

	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

Performance Measure:

G.a.i.a.2. Number and percentage of deaths requiring a corrective action plan where the corrective action plan was completed as measured by closure of the critical incident in the incident reporting system. Numerator = Number of deaths requiring a corrective action plan where the corrective action plan was completed; Denominator = Total number of deaths requiring corrective action plan.

Data Source (Select one):

Critical events and incident reports

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
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<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

b. Sub-assurance: *The state demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.*

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

G.a.i.b.1. Number and percentage of critical incidents where all follow-up was completed and proper actions were taken as measured by closure of the critical incident according OCDD’s specified guidelines. Numerator = Number of critical incidents with completed follow-up and proper action were taken as measured by closure of the critical incident; Denominator = Total number of critical incidents.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Incident Reporting System

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

c. Sub-assurance: The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or

sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

G.a.i.c.1 Number & percent of reported use of restrictive interventions/seclusion where a prevention plan has been developed as a result of an incident. Numerator= Number of reported use of restrictive interventions/seclusion where a prevention plan has been developed as a result of an incident. Denominator= total # of incidents reporting use of restrictive interventions or seclusion

Data Source (Select one):

Other

If 'Other' is selected, specify:

Incident Reporting System

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify:	

	<input style="width: 80%; height: 20px;" type="text"/>	
--	--	--

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (<i>check each that applies</i>):	Frequency of data aggregation and analysis(<i>check each that applies</i>):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>

d. Sub-assurance: *The state establishes overall health care standards and monitors those standards based on the responsibility of the service provider as stated in the approved waiver.*

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

G.a.i.d.1 Number and percent of participants who received the coordination and support to access health care services identified in their service plan. Numerator = Number of participants who received the coordination and support to access health care services identified in their service plan; Denominator = Total number of participants reviewed.

Data Source (Select one):

Other

If 'Other' is selected, specify:

LASCA

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; padding: 2px; width: fit-content; margin-left: 20px;">95% +/- 5%</div>
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify:	<input checked="" type="checkbox"/> Annually

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input type="checkbox"/>	
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.

Support coordination agencies periodically conduct unannounced visits to participant homes. If a concern is identified during the unannounced visit, then the LGE is notified by the SCA, and the LGE may request a plan of correction from the provider agency.

If a complaint is received by OCDD or the LGEs that has the potential to affect the health and welfare of a participant then the Support Coordinator is notified to conduct an unannounced health and welfare check of all NOW participants served by the direct service provider. If additional problems are discovered that affect the health and safety of participants, then a complaint is reported to the Health Standards Section for follow-up.

b. Methods for Remediation/Fixing Individual Problems

i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the state to document these items.

For Performance Indicators G.a.i.a.1, G.a.i.a.2, G.a.i.b.1, G.a.i.c.1

There are several layers of remediation to address the issues identified in a Critical Incident Report (CIR). They include:

- Primary remediation occurs at the level of the provider agency, where immediate response is required in halting and correcting harmful, dangerous or potentially harmful or dangerous conditions at the time the condition is discovered.
- The support coordinator is responsible for determining any further remediation that can be implemented by way of strategies developed in team meetings with the participant and axillary support services.
- The LGE waiver offices are responsible for reviewing individual critical incidents on a daily basis and assuring that support coordinators follow through as described in the previous paragraph. The LGE provides technical support to support coordinators as necessary.
- OCDD State Office Quality Section conducts individual reviews of incidents involving waiver participants that meet the threshold for involvement at that level as required in OCDD policy. OCDD State Office generates recommendations to the LGE where each participant resides to further assist in remediation. All critical incidents are tracked for closure by OCDD State Office. If during the OCDD periodic review an LGE fails to close a CIR within the appropriate timelines, then OCDD may request a Corrective Action Plan for improvement.

Performance Indicator G.a.i.a.1

- Remediation of individual cases of substantiated abuse, neglect or exploitation is determined by the appropriate protective services agency (dependent on the waiver participant's age) and/or the LDH Health Standards Section as required in their policies and procedures.

Performance Indicator G.a.i.a.2

- The OCDD conducts individual reviews of all incidents resulting in the death of the waiver participant through the Mortality Review Committee. OCDD may determine the provider and/or support coordinator could improve services, and require a corrective action plan. Follow-up corrective action is also documented in the case file.

Performance Indicator G.a.i.d.1

LGE staff perform monitoring of Support Coordinator Agencies (SCA) at least annually utilizing the OCDD Support Coordination Monitoring Tools: Participant Interview; Participant Record Review; Support Coordinator Interview; and Agency Review. The processes for scoring and determining the necessity for corrective actions are located in the "Updated Guidelines for Scoring, Corrective Action and Follow-up Monitoring." After all elements are assessed and scored, the LGE reviewer documents the findings, including the Statement of Determination which delineates every POC remediation required and required responses/plans of correction expected from the SCA. Based on the scope and severity of findings, the SCA is assigned a Statement of Determination at Level I, Level II, or Level III. The LGE and/or State Office follow-up according to timelines associated with each level to ensure that plans of correction are implemented and effective. Level III determinations are those having the actual or potential for immediate jeopardy. In these cases, the SCA must develop a plan of correction that includes the identification of the problem; full description of the underlying causes of the problem; actions/interventions that target each underlying cause; responsibility, timetable, and resources required to implement interventions; measurable indicators for assessing performance; and plans for monitoring desired progress and reporting results. In addition, OCDD takes enforcement action to assure the health and safety of participants. Actions include, but are not limited to: transfer of participants who are/may be in jeopardy; removal of SCA agency from the freedom of choice list; suspension of all new admissions; financial penalties; suspension of contract/certifications as a provider of SC services.

If a Plan of Correction, Progress Report and/or Follow-up Report remains unapproved by the time of the next annual review the agency placed on the next level with more stringent requirements. With a finding of satisfactory or a recommendation for improvement no remediation is required. These remediation activities will be documented through tracking events in the Support Coordination Monitoring database.

Training will be necessary when trends are detected in plans of care that do not address: participant goals, needs (including health care needs), and preferences; how waiver and other services are coordinated; and identification of responsibilities to implement the plan. The training requirements depend on the Support Coordination Monitoring findings and are based on the criteria found in OCDD Interpretive Guidelines for the OCDD Participant Record Review with a parallel set of guidelines entitled "Guidelines for Support Planning" for support coordinators.

An unsatisfactory plan of care is one with criteria "not met" according to the OCDD Interpretive Guidelines for the OCDD Participant Record Review and parallel set of guidelines entitled "Guidelines for Support Planning" for support coordinators.

ii. Remediation Data Aggregation

Remediation-related Data Aggregation and Analysis (including trend identification)

Responsible Party <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>

c. Timelines

When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Health and Welfare that are currently non-operational.

No

Yes

Please provide a detailed strategy for assuring Health and Welfare, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix H: Quality Improvement Strategy (1 of 3)

Under §1915(c) of the Social Security Act and 42 CFR §441.302, the approval of an HCBS waiver requires that CMS determine that the state has made satisfactory assurances concerning the protection of participant health and welfare, financial accountability and other elements of waiver operations. Renewal of an existing waiver is contingent upon review by CMS and a finding by CMS that the assurances have been met. By completing the HCBS waiver application, the state specifies how it has designed the waiver’s critical processes, structures and operational features in order to meet these assurances.

- Quality Improvement is a critical operational feature that an organization employs to continually determine whether it operates in accordance with the approved design of its program, meets statutory and regulatory assurances and requirements, achieves desired outcomes, and identifies opportunities for improvement.

CMS recognizes that a state’s waiver Quality Improvement Strategy may vary depending on the nature of the waiver target population, the services offered, and the waiver’s relationship to other public programs, and will extend beyond regulatory requirements. However, for the purpose of this application, the state is expected to have, at the minimum, systems in place to measure and improve its own performance in meeting six specific waiver assurances and requirements.

It may be more efficient and effective for a Quality Improvement Strategy to span multiple waivers and other long-term care services. CMS recognizes the value of this approach and will ask the state to identify other waiver programs and long-term care services that are addressed in the Quality Improvement Strategy.

Quality Improvement Strategy: Minimum Components

The Quality Improvement Strategy that will be in effect during the period of the approved waiver is described throughout the waiver in the appendices corresponding to the statutory assurances and sub-assurances. Other documents cited must be available to CMS upon request through the Medicaid agency or the operating agency (if appropriate).

In the QIS discovery and remediation sections throughout the application (located in Appendices A, B, C, D, G, and I) , a state spells out:

- The evidence based discovery activities that will be conducted for each of the six major waiver assurances; and
- The *remediation* activities followed to correct individual problems identified in the implementation of each of the assurances.

In Appendix H of the application, a state describes (1) the *system improvement* activities followed in response to aggregated, analyzed discovery and remediation information collected on each of the assurances; (2) the correspondent *roles/responsibilities* of those conducting assessing and prioritizing improving system corrections and improvements; and (3) the processes the state will follow to continuously *assess the effectiveness of the OIS* and revise it as necessary and appropriate.

If the state's Quality Improvement Strategy is not fully developed at the time the waiver application is submitted, the state may provide a work plan to fully develop its Quality Improvement Strategy, including the specific tasks the state plans to undertake during the period the waiver is in effect, the major milestones associated with these tasks, and the entity (or entities) responsible for the completion of these tasks.

When the Quality Improvement Strategy spans more than one waiver and/or other types of long-term care services under the Medicaid state plan, specify the control numbers for the other waiver programs and/or identify the other long-term services that are addressed in the Quality Improvement Strategy. In instances when the QIS spans more than one waiver, the state must be able to stratify information that is related to each approved waiver program. Unless the state has requested and received approval from CMS for the consolidation of multiple waivers for the purpose of reporting, then the state must stratify information that is related to each approved waiver program, i.e., employ a representative sample for each waiver.

Appendix H: Quality Improvement Strategy (2 of 3)

H-1: Systems Improvement

a. System Improvements

- i. Describe the process(es) for trending, prioritizing, and implementing system improvements (i.e., design changes) prompted as a result of an analysis of discovery and remediation information.

The state of Louisiana utilizes a collaborative approach to develop and maintain the Quality Improvement System (QIS). The Medicaid agency in Louisiana, Bureau of Health Services Financing Medicaid Program Support and Waivers (BHSF/MPSW) has oversight for the implementation of Home and Community Based Services (HCBS) Waivers. The Office for Citizens with Developmental Disabilities (OCDD) is the operating agency, and the local operating arm for HCBS Waivers is the Local Governing Entity (LGE). The LGE provides oversight and monitoring of the contracted support coordination agencies; the contracted support coordination agencies provide oversight and monitoring of service utilization. All of the above mentioned entities also work collaboratively with Louisiana protective services agencies, Health Standards Section (HSS) and/or law enforcement as deemed necessary. The process of trending, prioritizing and implementing system improvement activities are required on all levels with upward reporting to the operating agency for oversight and management of the Quality Improvement System including a summary of root cause analysis completed at each level and recommendations for design changes or other system improvements. This approach provides opportunities for continued communication and review of performance measures, discovery and remediation activities.

The Quality Improvement System (QIS) for the New Opportunities Waiver is part of a cross-waiver function of the Office of Aging and Adult Services (OAAS) and the Office for Citizens with Developmental Disabilities (OCDD). The purpose of the QIS is to assess and promote the quality of waiver programs serving older persons and adults with physical, intellectual and developmental disabilities.

The QIS assures a consistent and high standard of quality across waiver programs through:

- Adoption of common standards and performance measures against which waiver programs are evaluated.

- Development of policies, tools, practices, training, protocols, contracts and agreements that embody sound approaches to managing, delivering and assessing HCBS services and supports. To the extent possible, HCBS waiver policies and practices have shared purposes, language and expectations.

- Streamlining and consolidation of functions to strengthen the collection and analysis of timely and reliable data on waiver performance.

- A transparent system of reporting performance data for use by program managers, policymakers, consumers, providers, and other stakeholders.

- A structured and coordinated process to identify improvement opportunities, set priorities, allocate resources, and implement effective strategies.

- A coordinated approach for evaluating the effectiveness of the QIS in meeting program goals.

OCDD has a multi-tiered system for quality improvement. Each level (Direct Service Provider Agency, Support Coordination Agency, Local Governing Entity, OCDD State Office, and BHSF) within the system is required to design and implement a Quality Management Strategy which is further described below.

Direct Service Provider and Support Coordination Agency Processes:

Direct Service Provider and Support Coordination Agencies are required to have a Quality Management Strategy that includes collecting information and data to learn about the quality of services, analyzing and reviewing data to identify trends and patterns, prioritizing improvement goals, implementing the strategies and actions on their quality enhancement plan, and evaluating the effectiveness of the strategies. At a minimum, agencies must review: 1) critical incident data, 2) complaint data, 3) data from case record reviews, and 4) interview/survey data from participants and families. The review process must include review by internal review team(s) composed of agency programmatic and management staff and an external review by the board of directors with stakeholder representation or a separate committee that includes stakeholders. Annually, agencies must submit to OCDD documentation to verify that they engage in ongoing, continuous quality review and enhancement activities.

OCDD LGE Processes:

The LGE is the operating arm for managing the New Opportunities Waiver (NOW), and they are also required to have a Quality Management Strategy. This entity represents the primary source for discovery and remediation information regarding the waiver. They are required to collect information on performance indicators, conduct remediation as needed, aggregate data and review to identify trends and patterns and areas in which improvement is needed, and prioritize needed improvements. They are required to design and implement quality enhancement strategies and evaluate the effectiveness of those strategies. Each LGE has a Quality Specialist whose function is to facilitate data analysis and review. Within each LGE, data review is conducted by programmatic and management staff and by the Regional Advisory Committee which is composed of stakeholders. OCDD State Office staff visit each LGE annually to validate the quarterly/annual data reported to State Office on performance indicators, to assure that remediation and system improvements occur as needed, and to provide technical assistance. When performance falls below the outlined measure, the LGE submits evidence to the operating agency, OCDD, with documentation of the quality improvement activities that have been implemented to improve performance. If the performance is not improved as outlined in the established benchmark, technical assistance will be provided to the LGE.

OCDD State Office Processes:
 Aggregate data for waiver performance indicators are reviewed for trends and patterns on an annual basis by the OCDD Waiver Section (program personnel) and Quality Section. These groups review data to ensure remediation is being completed by the LGE and to analyze the data for systemic concerns across waivers and across LGEs. Upon completion of the analysis, a representative from these teams presents data to the OCDD Performance Review Committee, with recommendations for system improvement. The OCDD Performance Review Committee is composed of designated members from each of the OCDD sections: Quality, Business Analytics, Clinical, Waiver, Early Intervention, and other members as designated by the OCDD Executive Management Staff. This provides the committee with expertise from several disciplines when reviewing recommendations. It also affords OCDD the opportunity to utilize existing expertise, processes, and tools to address new concerns, recommend strategies, and recommend systemic improvement that is best practice to ensure quality improvement and success. These recommendations are presented to OCDD Executive Management for consideration and approval. When significant system changes are proposed, the OCDD Core Stakeholder Group is convened and given the opportunity to review the proposed systemic changes and provide input regarding the recommendations. The Core Stakeholder Group is comprised of waiver participants, families of waiver participants, advocacy groups, including the state DD Council, and a representative from the Governor’s office, and meets as needed based on system improvement activities. Recommendations, performance indicator data reports, and quality improvement initiatives status reports are also submitted to the Bureau of Health Services Financing (BHSF) on an annual basis.

BHSF/MPSW Processes:
Medicaid/Program Offices Quarterly Meeting – This group convenes at least quarterly to perform executive level oversight of the performance of HCBS waivers, assure their effectiveness and efficiency, and discuss any other programmatic issues common to the program offices and Medicaid. Goals are to act upon issues and recommendations received from the Medicaid HCBS Oversight Committee and other HCBS workgroups. This meeting is a forum for executive level problem resolution, planning, and development of quality redesign strategies. Members include representatives from MPSW, the Medicaid Director or Deputy Director, the OCDD Assistant Secretary or Deputy Assistant Secretary, and other designated staff.
Medicaid HCBS Oversight Committee – meets at least quarterly with the specific purpose to ensure proper oversight of the OAAS and OCDD operated HCBS Medicaid programs. Goals are to review current performance reports, determine need for new activities concerning quality and oversight in waiver programs, and ensure adequate remediation enforcement. Quality recommendations or issues which cannot be resolved at this level are placed on the agenda of the Medicaid/Program Offices Quarterly Meeting. Oversight members include HCBS quality management staff from MPSW and OCDD and are chaired by the MPSW Section Chief or designee. The committee meets at least quarterly with the following standing agenda items:
 -OCDD operating agency staff present their analysis of all performance measure findings, remediation activities, and systemic improvements to MPSW as defined in the 1915© waiver quality strategy
 -MPSW Section Chief or designee indicates approval or disapproval of quarterly/annual data and activities;
 -Based on evidence presented, MPSW staff provides technical assistance, guidance, and support to the operating agency staff;
 -MPSW performs administrative oversight functions for OCDD HCBS program.
MPSW/OCDD/HCBS Data Contractor Meetings – facilitates monthly meetings with OCDD and Medicaid data contractor to discuss waiver issues, problems, and situations which have arisen and do not comport with program policy. At these meetings, solutions are formulated, corrective actions are agreed upon, and follow-up implemented by OCDD as necessary in the form of internal policy or provider policy.
Ad Hoc Cross-Population HCBS Oversight Meetings – Additional meetings will be held jointly between MPSW, OCDD, and the Office of Aging and Adult Services (OAAS) on an as needed basis for the following purposes:
 -Collaborate on design and implementation of a robust system of cross-population continuous quality improvement
 -Present Quality Improvement Projects (QIP)
 -Share ongoing communication of what works, doesn’t work, and best practices.

ii. System Improvement Activities

Responsible Party (check each that applies):	Frequency of Monitoring and Analysis (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly

Responsible Party <i>(check each that applies):</i>	Frequency of Monitoring and Analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input type="checkbox"/> Quality Improvement Committee	<input checked="" type="checkbox"/> Annually
<input checked="" type="checkbox"/> Other Specify: <div style="border: 1px solid black; padding: 2px; width: fit-content;">Medicaid HCBS Oversight Committee</div>	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>

b. System Design Changes

- i. Describe the process for monitoring and analyzing the effectiveness of system design changes. Include a description of the various roles and responsibilities involved in the processes for monitoring & assessing system design changes. If applicable, include the state's targeted standards for systems improvement.

OCDD Process:
 Following system design changes, data on performance indicators are reviewed by the Waiver and Quality program staff, as well as the OCDD Performance Review Committee to assure that the information is useful and accurate and to determine if performance has improved. Input is sought, as appropriate, from Support Coordination and Direct Service Provider Agencies, participants and their families, and other stakeholders, to determine whether the system design change is helping to improve efficiency and effectiveness of waiver supports and services. At this point, the Core Stakeholder Group may be convened, if needed, to address if system improvement has resulted from the system design/improvement activities.

BHSF/MPSW Processes:
 Medicaid HCBS Oversight Committee – meets at least quarterly with the specific purpose to ensure proper oversight of the OAAS and OCDD operated HCBS Medicaid programs. Goals are to review current performance reports, determine need for new activities concerning quality and oversight in waiver programs, and ensure adequate remediation enforcement. Quality recommendations or issues which cannot be resolved at this level are placed on the agenda of the Medicaid/Program Offices Quarterly Meeting. Oversight members include HCBS quality management staff from MPSW and OCDD and the committee is chaired by the MPSW Section Chief or designee. The committee meets at least quarterly with the following standing agenda items:
 -OCDD operating agency staff present their analysis of all performance measure findings, remediation activities, and systemic improvements to MPSW as defined in the 1915© waiver quality strategy
 -MPSW Section Chief or designee indicates approval or disapproval of quarterly/annual data and activities;
 -Based on evidence presented, MPSW staff provides technical assistance, guidance, and support to the operating agency staff;
 -MPSW performs administrative oversight functions for OCDD HCBS program.

- ii. Describe the process to periodically evaluate, as appropriate, the Quality Improvement Strategy.

The Medicaid Program Support and Waivers Section works in collaboration with the operating agency, OCDD, to periodically review the quality improvement strategies. Meetings are held to review and evaluate the performance indicators, discovery methods, remediation strategies, systemic issues, policies, procedures and any other issues that have surfaced as a result monitoring activities. Technical assistance is provided to the operating agency as needed by Bureau of Health Services Financing Medicaid Program Support and Waivers (BHSF/MPSW). The operating agency, OCDD, has a Performance Review Committee which meets at least quarterly and provides ongoing oversight and management of the Quality Improvement System. OCDD participates in the annual National Core Indicator (NCI) surveys which are addressed to a random sample of participants and families of participants to gauge their satisfaction with OCDD waiver services, and with the performance of support coordinators, LGEs and providers. OCDD aggregates findings to identify areas of concern in service delivery in order to initiate quality improvement strategies. Findings from this annual review will be analyzed by the Performance Review Committee to revise the QIS. Modifications may be made to quality standards and measures, data collection tools and methods, report formats documenting performance, or dissemination strategies for sharing performance data. New priority projects may be identified to better align the QIS to the needs of waiver managers, LGE program staff, support coordinators and providers and, most significantly, to improve desired outcomes for HCBS waiver participants. The modifications and priorities identified by the Performance Review Committee will be implemented or facilitated by the OCDD Quality Enhancement Section.

Appendix H: Quality Improvement Strategy (3 of 3)

H-2: Use of a Patient Experience of Care/Quality of Life Survey

a. Specify whether the state has deployed a patient experience of care or quality of life survey for its HCBS population in the last 12 months (*Select one*):

- No
- Yes (*Complete item H.2b*)

b. Specify the type of survey tool the state uses:

- HCBS CAHPS Survey :
- NCI Survey :
- NCI AD Survey :
- Other (*Please provide a description of the survey tool used*):

Appendix I: Financial Accountability

I-1: Financial Integrity and Accountability

Financial Integrity. Describe the methods that are employed to ensure the integrity of payments that have been made for waiver services, including: (a) requirements concerning the independent audit of provider agencies; (b) the financial audit program that the state conducts to ensure the integrity of provider billings for Medicaid payment of waiver services, including the methods, scope and frequency of audits; and, (c) the agency (or agencies) responsible for conducting the financial audit program. State laws, regulations, and policies referenced in the description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

All Medicaid providers will be required to fulfill the requirements under the provision of the Single Audit Act to maintain Medicaid enrollment. The Louisiana Legislative Auditor (LLA) is the entity that is responsible for conducting the periodic independent audit of the waiver program under the provisions of the Single Audit Act. Medicaid staff will ensure that any provider receiving the amount of funds specified in the Single Audit Act will be required to provide a copy of the independent audit for continued Medicaid enrollment on an annual basis. Disenrollment will occur as a result of non-compliance. Program Integrity's Surveillance and Utilization Review (SUR) Unit is responsible for conducting post-payment reviews of all fee-for-service Medicaid providers. The post-payment review process used by the Program Integrity Section within the Louisiana Department of Health (LDH) is described in the Louisiana Surveillance and Utilization Review Subsystem (SURS) Rule and the Medical Assistance Program Integrity Law (MAPIL). The SURS Rule is available online through the Louisiana Register at the following website address: <http://www.doa.la.gov/osr/reg/1211/1211.pdf> (Pages 97-111 of the pdf or 2774-2788 of the hardcopy). Specifically the rule may be found through the following citation: Louisiana Administrative Code 50:I.Chapter 41.

Waiver providers are selected and profiled. The providers that meet the exception criteria in the Surge run are screened/reviewed. Cases on Waiver providers are derived from multiple sources such as ad hoc data mining, the Surge by Region run, the HCPCs Outlier run, projects (such as services billed while the recipient is in the hospital) and complaints. Complaints are received via mail, fax, website and hotline. Sources for cases come from complaints, referrals (internal and external) and data mining (regularly scheduled data runs and ad hoc data runs). A team made up senior analysts and a supervisor triages all complaints. Onsite visits are determined on a case by case basis and depends on the severity of the complaint. The primary means of receiving documentation needed for the review is via mail, fax or electronic. Reasons for on-site vary. If a provider does not make available documentation requested for a review, the SURS analyst may be instructed to perform an on-site. If multiple complaints are received on the same provider, an on-site may be the method of retrieving documentation. A random sample of recipients is selected or a specific recipient may be addressed depending on the details of the complaint or reason(s) for the case opening. Sample selection uses a univariate sampling technique which allows all recipients equal chance of being selected. There is no weighting of recipients due to number of claims, amount paid, or any other factor. Generally, a scientific sample of 20 recipients is used. The basic logic for the scientific sampling process is:

- 1) A universe of claims/encounters is defined and the claims/encounters meeting the selection criteria are extracted.
 - a. Some criteria can be Provider ID, Procedure Codes, Medicare coverage, or other identifying claim/encounter characteristic.
- 2) The universe is read and each of the unique recipient ids are extracted.
- 3) Each unique recipient id is assigned a "uniform" random number using the SAS built-in UNIFORM () function. This is to ensure that each recipient will have an equal chance of being selected.
- 4) The recipients are sorted using the random number, as to create a random listing of the recipient ids.
- 5) The recipients with the lowest random numbers assigned to them are selected until the requested sample size is reached.
- 6) The claim/encounter records associated with the selected recipient ids are extracted for reporting and analysis.

All documentation to support the services billed are requested: timesheets, daily logs, etc. Additional information is also requested for the direct service worker which includes employee records and any other associated documentation from the provider agency. Complete copies of the personnel files of all employees employed during the time period reviewed who provided care for the recipients on the attached page. List names, title, education levels, and job descriptions. Include copies of applications, driver's licenses, current addresses, results of criminal background checks, and all certifications and/or trainings.

The SURS data mining team produces computer runs that generate open cases. Providers whose income spikes from one period to another are identified through exception processing and will generate case openings.

Post-payment reviews are triggered when potential fraud, waste and abuse is identified either through a complaint, referral or data mining. SURS opens complaint cases throughout the year after the triage process. Some data mining runs (such as SURGE or Spike runs, date of death runs, outlier runs, etc.) are done on a fixed schedule. Other data mining runs are done on an ad hoc basis where project cases are opened and are usually policy-focused. For example, providers billing for in-home services while the recipients are hospitalized.

SURGE Run is a computer run that is produced on a regular basis that identifies providers that meet a set of criteria and/or conditions. The run looks for providers with incomes that surge.

Enrolled providers are divided by regions established by the Louisiana Department of Health (LDH). The computer runs are done by region. There are a total of 10 computer runs. There are 9 in-state runs and 1 out-of-state run. Runs are done on a monthly basis with the exception of the month of June and December. Providers are selected based on 3 criteria: location, amount paid and percent change in amount paid.

- First, a provider must be located in the region that is being reviewed.

- Secondly, a provider must have generated a minimum dollar amount paid in a 12 month period to be included for processing.
- And finally, a provider must have had a “surge” in income from a six month period in one year to a six month period in another year.

SURGE by Region (SBR) Run is a production run that is used to monitor the activity of providers enrolled in the Louisiana Medicaid Program. The run identifies providers with a significant increase or “spike” in the billing. The basic concept of the SBR run is to compare a provider’s income for six months in one year to his or her income for six months in the following year. This run is a valuable tool because any significant increase in a provider’s income is detected and a review of the provider’s billing pattern is done to determine the reasons for the change. Enrolled providers are divided by regions established by the Louisiana Department of Health (LDH). The computer runs are done by region. There are a total of 10 computer runs. There are 9 in-state runs and 1 out-of-state run. Runs are done on a monthly basis with the exception of the month of June and December. Providers are selected based on 3 criteria: location, amount paid and percent change in amount paid. First, a provider must be located in the region that is being reviewed. Secondly, a provider must have generated a minimum dollar amount paid in a 12 month period to be included for processing. And finally, a provider must have had a “surge” in income from a six month period in one year to a six month period in another year. The provider types are divided into 3 groups based on an income threshold: Group A = \$75,000, Group B = \$150,000 and Group C = \$300,000. Providers in each group have to meet or exceed the minimum income threshold. Cases are opened using the following process. A SBR run is submitted in J-SURS according to the run schedule. The run generates a list of providers who meet the criteria or who except. A basic screening is performed on each of the providers on the exception list to determine if a case will be opened. Cases that pass the screening are opened and tracked as a “SURGE” case type in the SURS database. When a SURGE case is opened, two reports are available to assist with the case analysis: an individualized exception profile on the provider and a report with peer group data. An exception profile on the provider gives information specific to the individual servicing provider such as dollar and claim averages per recipients, recipients by age and gender, reimbursements by dollar categories, percent changes, etc. for six months in one year as well as metrics for six months in the following year. Top procedure codes paid and top diagnoses billed for the individual servicing provider are displayed for each six month period. A peer group comparison run is done on the provider type and specialty that includes a provider ranking by amount paid, top procedure codes paid, and top diagnoses billed. The reports deliver a comparison of the provider from one period to another period as well as a comparison of the provider to his or her peer group.

Ad hoc data runs are designed to look at more specific issues like waiver services billed while the recipient is in the hospital or dates of service after a recipient’s date of death or direct service workers employed who are excluded from participating in the Medicaid program.

A variety of professional staff are used to perform fraud, waste and abuse reviews. Analysts conducting the reviews are primarily Registered Nurses; however, there are dental hygienists and social workers on staff. In addition to the analysts, professional consultants are utilized such as physicians with different specialties, dentists, etc. Complaints are sent to the triage team, which is made up of professional staff that screen complaints for fraud, waste and abuse. If fraud, waste and abuse is involved, further research is done to determine if a comprehensive or focused review is done. Referrals are also made to professional licensing boards, local law enforcement, the Medicaid Fraud Control Unit (MFCU), child/adult protection, DHH program managers, etc. All SURS cases are worked by a professional staff analyst.

Once the review is completed by the analyst, the Quality Assurance (QA) team reviews the findings closely. Also, during the review process, medical consultants may give input as well as the Program Integrity Director and LDH program managers. After the case has completed the QA process, the findings of the review are also reviewed by the RN Supervisors. From there, the correspondence to provider detailing the results of the audit is presented by the RN Supervisors to the Program Integrity Director and manager. After the findings letter is sent, the provider is entitled to an informal hearing as well as an appeal hearing and judicial review. Once the review findings have been confirmed and finalized, any overpayments due are collected. The provider receives a recoupment letter with the specific areas of review. The provider has an opportunity to submit additional information, request an informal hearing with LDH or request an appeal. The provider can pay the overpayment amount in full or request a payment plan. In addition to recovering overpayments, SURS may request a corrective action plan to remedy the billing or programmatic issue identified.

Appendix I: Financial Accountability

Quality Improvement: Financial Accountability

As a distinct component of the States quality improvement strategy, provide information in the following fields to detail the States

07/19/2021

methods for discovery and remediation.

a. Methods for Discovery: Financial Accountability Assurance:

The State must demonstrate that it has designed and implemented an adequate system for ensuring financial accountability of the waiver program. (For waiver actions submitted before June 1, 2014, this assurance read "State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.")

i. Sub-Assurances:

a. Sub-assurance: The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.

(Performance measures in this sub-assurance include all Appendix I performance measures for waiver actions submitted before June 1, 2014.)

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

I.a.i.a.1 # and % of waiver claims coded & paid for in accordance with the reimbursement methodology specified in the approved waiver application and only for those services rendered. Numerator=# of waiver claims coded and paid for in accordance with the reimbursement methodology specified in the approved waiver application and only for those services rendered; Denominator=Total # of claims paid.

Data Source (Select one):

Other

If 'Other' is selected, specify:

MPSW Tracking System

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
<input type="checkbox"/> Other Specify:	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group:

	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input checked="" type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid black; height: 20px; width: 100%;"></div>

b. Sub-assurance: The state provides evidence that rates remain consistent with the approved rate methodology throughout the five year waiver cycle.

Performance Measures

For each performance measure the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator.

For each performance measure, provide information on the aggregated data that will enable the State to analyze and assess progress toward the performance measure. In this section provide information on the

method by which each source of data is analyzed statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:

I.a.i.b.1. Number and percentage of rate changes that are approved by MPSW and consistent with the CMS approved rate methodology. Numerator= Number of rate changes approved by MSPW and consistent with the CMS approved rate methodology; Denominator= Total number of rate changes.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Medicaid Data Warehouse

Responsible Party for data collection/generation (check each that applies):	Frequency of data collection/generation (check each that applies):	Sampling Approach (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input type="checkbox"/> Other Specify: <input type="text"/>	<input checked="" type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

<i>Responsible Party for data aggregation and analysis (check each that applies):</i>	<i>Frequency of data aggregation and analysis (check each that applies):</i>
<input checked="" type="checkbox"/> <i>State Medicaid Agency</i>	<input type="checkbox"/> <i>Weekly</i>
<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>
<input type="checkbox"/> <i>Sub-State Entity</i>	<input type="checkbox"/> <i>Quarterly</i>
<input type="checkbox"/> <i>Other</i> <i>Specify:</i> <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	<input checked="" type="checkbox"/> <i>Annually</i>
	<input type="checkbox"/> <i>Continuously and Ongoing</i>
	<input type="checkbox"/> <i>Other</i> <i>Specify:</i> <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>

ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.

b. Methods for Remediation/Fixing Individual Problems

i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the state to document these items.

I.a.i.a.1. BHSF determines all waiver payment amounts/rates in collaboration with OCDD, Division of Health Economics, and as necessary the Rate & Audit section. At the time of each requested rate change, MPSW and the Rate and Audit section reviews evidence that the rate adjustment was applied according to the methodology described in the waiver document. When a rate adjustment proposal is submitted without documentation which supports the current methodology it will not be approved and MPSW will offer technical guidance.

I.a.i.b.1 Upon annual review and analysis of all waiver claims payments through Medicaid Data Warehouse report generation, any discrepancies are resolved individually and systemically in collaboration with Medicaid Information Management Systems staff who oversee the Fiscal Intermediary.

ii. **Remediation Data Aggregation**

Remediation-related Data Aggregation and Analysis (including trend identification)

<i>Responsible Party (check each that applies):</i>	<i>Frequency of data aggregation and analysis (check each that applies):</i>
<input checked="" type="checkbox"/> <i>State Medicaid Agency</i>	<input type="checkbox"/> <i>Weekly</i>
<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>
<input type="checkbox"/> <i>Sub-State Entity</i>	<input type="checkbox"/> <i>Quarterly</i>
<input type="checkbox"/> <i>Other</i>	<input checked="" type="checkbox"/> <i>Annually</i>

Responsible Party (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
Specify: <input data-bbox="319 286 794 367" type="text"/>	
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input data-bbox="865 573 1337 654" type="text"/>

c. Timelines

When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Financial Accountability that are currently non-operational.

No

Yes

Please provide a detailed strategy for assuring Financial Accountability, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (1 of 3)

a. Rate Determination Methods. In two pages or less, describe the methods that are employed to establish provider payment rates for waiver services and the entity or entities that are responsible for rate determination. Indicate any opportunity for public comment in the process. If different methods are employed for various types of services, the description may group services for which the same method is employed. State laws, regulations, and policies referenced in the description are available upon request to CMS through the Medicaid agency or the operating agency (if applicable).

Rates for the payment of services are determined by the Office of Citizens with Developmental Disabilities (OCDD) upon approval by Medicaid. OCDD sets these rates with input from a group of interested parties, including but not limited to providers and or provider groups, program participants, advocates, and Medicaid representatives. Proposed service rates are promulgated through the Medicaid rulemaking process with includes opportunity for public input and comment. Final approval of proposed rates and oversight of the rate determination process is done by the Medicaid Director or his designee.

Rates for each service is based on following for each service:

INDIVIDUAL AND FAMILY SUPPORT, CENTER-BASED RESPITE, EMPLOYMENT RELATED TRAINING, SUPPORTED EMPLOYMENT, DAY HABILITATION, INDIVIDUAL AND FAMILY SUPPORT (SELF-DIRECTION)

The state of Louisiana will use a combination of a Fee Schedule and Tiered model for rate setting for HCBS services that utilize personal care services. Based on this methodology, providers will receive a fixed, pre-determined rate for each 15 minute increment of service provided.

- A. The rate model begins with an examination of state specific data for direct support workers available from the Louisiana Workforce Commission as a means to identify a base wage employee wage for personal care attendants (PCA).*
 - B. The state Medicaid agency implemented mandatory Cost Reporting for HCBS providers who provide personal care services. The cost reports were used to verify expenditures and to support rate setting for personal care services rendered to waiver recipients. The information from the report was used to determine the base PCA wage, employee benefits factor, productivity adjustment, administrative costs, program support costs, and staffing ratios.*
 - C. After these factors are used to set a base personal care services rate, the state Medicaid agency applies a tiered rate factor based on characteristics of the (1) individual population characteristics (developmental disabilities) and (2) acuity of the individual (determined by assessment).*
 - D. A final rate is then determined. As with all rates, the availability of state funding or LDH's ability to secure appropriation will be considered in the final determination of rates.*
 - E. Rates are required to be reviewed bi-annually using Cost Report Data. Newly suggested rates based on wage rate adjustments are subject to the availability of funding or LDH secured appropriation.*
- On August 1, 2018, the IFS night rate was increased. The department was given an appropriation to increase the IFS rate. The lowest IFS rate (night rate) was increased by approximately 25% which was roughly 50% of the suggested rate based on cost reports. The state collected the cost report data in 2016. State appropriation could support 50% of the difference in current rate and the cost report suggested rate. The state has over 400 providers of IFS services at the lower rate, so we are certain that the increase in the rate is adequate.*

The supplemental payments for individuals receiving Individual and Family Support services with complex medical and behavioral needs was based on a specific state appropriation of funds designed to prevent institutionalization of these individuals. The average estimated number of users in total was based on approximately 7.5% of the population receiving IFS services. The percentage used was based on the percentage of individuals who qualified for a similar service in another state. The appropriated dollars were divided by the number of individuals expected to meet the criteria for supplemental payment and then 365 days, which resulted in an estimated daily supplemental payment of \$38.88.

- F. All rate reimbursement methodology changes are subject to Medicaid Rulemaking Procedures which include a public posting and public comment period.*
- G. All new rates are published in the Louisiana Register, the state's Medicaid Website, Case Management Agencies, and available through request.*

Currently, supported employment, day habilitation, and employment related training rates were established by using the Louisiana Rehabilitative Services rate for employment services. The rates for Day Habilitation were negotiated between providers and LDH based on provider cost of providing the service and availability of state funding.

With the state's move to Cost Reports for Personal Care Services and its use to determine the cost of Personal Care Services, the state is planning a possible move to Cost Reports and Fee Schedule rate setting for its vocational services.

PROFESSIONAL SERVICES AND SKILLED NURSING

Professional Services and Skilled Nursing rates were established by looking at the rate of similar services provided under the Medicaid State Plan. For state plan look-a-like services, the rate of the similar service under the state plan was used (i.e. RN, LPN, CNA services). For all other professional services, the rate was negotiated based upon the provider cost of

rendering the service balanced against the potential cost of waiver and the availability of state funding. The negotiation process involved meeting with providers of the services, collection of informal surveys, and information gathered from the Louisiana Workforce Commission (State Department of Labor). After all data was gathered, a rate was developed and proposed. This suggested rate was then adjusted after consideration of available funding or LDH's ability to secure appropriation.

Personal Emergency Response System rates are based on the actual cost of providing the service.

Community Living Adaptations, Equipment, and Supplies, and One Time Transitional Services are paid at the cost of the provision of services with each having a annual cap. This cap was set based on the historical cost of providing the service.

Substitute Family Care and Supported Living rates are the result of negotiations between the advocates, stakeholders, and waiver personnel based on provider cost of providing the service, historical utilization trends, and state funds available.

The Adult Companion Care rate is paid to the provider at a daily rate. This rate includes the cost of payment to the Adult Companion worker for services delivered plus an additional cost component payable to the Adult Companion Care provider for oversight, monitoring, and facilitating an agreement between the provider and Adult Companion worker. The rate was based on the limited services expected to be provided, the anticipated users of the service and their level of need, plus an estimate of the amount of actual direct care service hours to be provided each day. The rate is being increased to more closely align with the same service in the Residential Options Waiver. The rate was based on estimated cost of providing the service. The Adult Companion Care rate was increased from 41.00 to 90.02 to allow for a cost component payable to the ACC provider agency for facilitating, oversight and monitoring the agreement between the companion and the individual. There was difficulty getting families and providers to consider the service at the previous rate. We will evaluate the usage at the higher rate and determine sufficiency at a future rate.

Both Housing Stabilization and Housing Stabilization Transition Service rates are based on the rate paid to support coordination agencies which employ individuals who have obtained a bachelor's degree and are qualified to provide two levels of supervision. An agency trainer or nurse consultant who meets the requirements as a support coordinator can also be reimbursed a per quarter hour rate for services provided. Administrative support, travel and office operating expenses are included in the 15 minute billing rate.

All proposed rates are then plugged into a cost projection and model to produce and estimated total program cost and average cost per recipient which is then used to determine the effects of these rates on program cost effectiveness. Rates are then renegotiated or changed as needed.

Payment rates are available to participants through provider agencies, support coordinators and agencies, as well as through publication in the Louisiana Register. Participants may also receive information on service rates by contacting their Regional OCDD Waiver Services and Supports Office.

*Monitored In Home Caregiving (MIHC) is based on Nursing Home daily rates. Level 1 was 40% of the average NH per diem (after subtracting the prvdtr tax). Level 2 was 60% of the average NH per diem rate (after subtracting the prvdtr tax). Payment rates are available to participants through prvdtr agencies, support coordinators & agencies, as well as through publication in the Louisiana Register, the official journal for the state of LA. Participants may also receive information on service rates by contacting their Human Services District or Authority office. OCDD solicited public input from recipients, prvdtrs, & advocacy organizations to determine rate, structure methodology, etc. This is accomplished through meetings w/ these entities around the state. The State used the existing rate for MIHC in the Medicaid system. However, basis of the rate will be adjusted to the average daily rate of the state's private intermediate care facilities (ICF-DD). The rate for level one will be 40% of that calculated rate & level two will be 60% of that same rate. The data for the calculation will come for the Medicaid MARS Data Warehouse for the state fiscal year. The average will be a simple calculation, total private ICF payments divided by the total number of unduplicated recipients. The State has a previously approved MIHC program that used the 40% and 60% ratios. Since the services are nearly identical in structure but being used for different populations, the State used the previously approved service methodology.

The State used the existing and approved rate methodology in Medicaid's other home and community based service waiver in other to keep one consistent methodology. However, because the New Opportunities Waiver is an I-DD waiver,

the platform for the waiver should have been the average daily rate for ICF-DD facilities rather than nursing homes. The state will correct this error.

The data source to be used will be the queries drawn from the Medicaid MARS Data Warehouse. The State queried Medicaid claims data to pull the number of paid recipients, paid days, and total payments by each private ICF-DD facility. Using this data, an average cost per day is calculated. The applicable bed fee was subtracted from this number to give the basis of the MIHC calculation. The 40% and 60% levels were then derived from this base number.

The State will recommend adjustments to the rate for Monitored In-home Care Service when there are adjustments made to the state's private ICF facility rate through periodic rebasing. However, the ability to adjust those rates will be contingent upon appropriated funding.

Private ICF rates and nursing daily rates are based on different platforms and methodologies. Nursing rates are based on a case-mix methodology and ICF rates are based on ICAPs as established in the State's Medicaid state plan.

- b. Flow of Billings.** Describe the flow of billings for waiver services, specifying whether provider billings flow directly from providers to the state's claims payment system or whether billings are routed through other intermediary entities. If billings flow through other intermediary entities, specify the entities:

Billings for waiver services provided to participants in the waiver program are submitted first to the data contractor for post authorization. After services are authorized, providers bill directly to the Medicaid fiscal intermediary for payment. Supplemental payments will also be submitted through the same process.

Self-direction time sheets are submitted to the agency with choice representative for processing. After time sheets are reviewed, all time records are submitted to the data contractor for post authorization of services. After prior authorizations are released, the agency with choice will bill the Medicaid fiscal intermediary for payment of all prior authorized and approved services. Payments for services rendered will be submitted to the agency with choice.

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (2 of 3)

- c. Certifying Public Expenditures (select one):**

- No. state or local government agencies do not certify expenditures for waiver services.**
- Yes. state or local government agencies directly expend funds for part or all of the cost of waiver services and certify their state government expenditures (CPE) in lieu of billing that amount to Medicaid.**

Select at least one:

- Certified Public Expenditures (CPE) of State Public Agencies.**

Specify: (a) the state government agency or agencies that certify public expenditures for waiver services; (b) how it is assured that the CPE is based on the total computable costs for waiver services; and, (c) how the state verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR §433.51(b). (Indicate source of revenue for CPEs in Item I-4-a.)

- Certified Public Expenditures (CPE) of Local Government Agencies.**

Specify: (a) the local government agencies that incur certified public expenditures for waiver services; (b) how it is assured that the CPE is based on total computable costs for waiver services; and, (c) how the state verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR §433.51(b). (Indicate source of revenue for CPEs in Item I-4-b.)

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (3 of 3)

d. Billing Validation Process. Describe the process for validating provider billings to produce the claim for federal financial participation, including the mechanism(s) to assure that all claims for payment are made only: (a) when the individual was eligible for Medicaid waiver payment on the date of service; (b) when the service was included in the participant's approved service plan; and, (c) the services were provided:

The Bureau of Health Services Financing (BHSF) utilizes a prior authorization and post authorization system maintained by a contracted entity to ensure that services provided to waiver participants are provided and paid for within the scope, duration, and frequency as specified in the approved plan of care. Medicaid eligibility for services is also checked and reviewed by the prior authorization entity.

Services are prior authorized according to the plan of care in quarterly increments and post authorized for payment after services have been rendered.

1. The prescribed services identified in the plan of care are entered in quarterly increments into the prior authorization system.
2. Upon the provision of services to the participant, the provider submits the service utilization data to the post authorization entity.
3. The post authorization entity checks the service utilization record against the participants approved plan of care which identifies the prior authorized services.
4. Post authorization for payment is released to the Fiscal Intermediary when services are properly rendered to participants per the approved plan of care and prior authorization.
5. The provider then submits claims for approved services to the Fiscal Intermediary for adjudication and payment.
6. Services provided to participants that are not listed on the prior authorization system are rejected and ineligible for payment until all discrepancies are resolved.

In Program Integrity's SURS unit, cases are opened once a month; however, a case may be opened sooner depending on the priority or type of case. Some production runs are performed monthly and some are performed quarterly. Data mining is performed on a weekly basis, and projects are opened throughout the year. Complaints and internal referrals are received daily and are prioritized. The scope of a case may vary from being recipient-focused to a general review of the provider's billing, or it may be in-between as in limited to specific billing codes depending on what the evidence reveals.

e. Billing and Claims Record Maintenance Requirement. Records documenting the audit trail of adjudicated claims (including supporting documentation) are maintained by the Medicaid agency, the operating agency (if applicable), and providers of waiver services for a minimum period of 3 years as required in 45 CFR §92.42.

Appendix I: Financial Accountability

I-3: Payment (1 of 7)

a. Method of payments -- MMIS (select one):

- Payments for all waiver services are made through an approved Medicaid Management Information System (MMIS).**
- Payments for some, but not all, waiver services are made through an approved MMIS.**

Specify: (a) the waiver services that are not paid through an approved MMIS; (b) the process for making such payments and the entity that processes payments; (c) and how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

- Payments for waiver services are not made through an approved MMIS.**

Specify: (a) the process by which payments are made and the entity that processes payments; (b) how and through which system(s) the payments are processed; (c) how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

- Payments for waiver services are made by a managed care entity or entities. The managed care entity is paid a monthly capitated payment per eligible enrollee through an approved MMIS.**

Describe how payments are made to the managed care entity or entities:

Appendix I: Financial Accountability

I-3: Payment (2 of 7)

b. Direct payment. *In addition to providing that the Medicaid agency makes payments directly to providers of waiver services, payments for waiver services are made utilizing one or more of the following arrangements (select at least one):*

- The Medicaid agency makes payments directly and does not use a fiscal agent (comprehensive or limited) or a managed care entity or entities.**
- The Medicaid agency pays providers through the same fiscal agent used for the rest of the Medicaid program.**
- The Medicaid agency pays providers of some or all waiver services through the use of a limited fiscal agent.**

Specify the limited fiscal agent, the waiver services for which the limited fiscal agent makes payment, the functions that the limited fiscal agent performs in paying waiver claims, and the methods by which the Medicaid agency oversees the operations of the limited fiscal agent:

A fiscal/employer agent will provide fiscal management services to self-direction participants, as an administrative activity. Payments will be made to employees for direct services to the waiver self-direction participants related to the IFS service. The fiscal/employer agent will process participants' employer-related payroll and withhold and deposit the required employment-related taxes. Oversight is conducted through reports and since this is a contracted agent, oversight is conducted pursuant to all applicable state regulations for contracted services.

- Providers are paid by a managed care entity or entities for services that are included in the state's contract with the entity.**

Specify how providers are paid for the services (if any) not included in the state's contract with managed care entities.

Appendix I: Financial Accountability

c. Supplemental or Enhanced Payments. Section 1902(a)(30) requires that payments for services be consistent with efficiency, economy, and quality of care. Section 1903(a)(1) provides for Federal financial participation to states for expenditures for services under an approved state plan/waiver. Specify whether supplemental or enhanced payments are made. Select one:

- No. The state does not make supplemental or enhanced payments for waiver services.
- Yes. The state makes supplemental or enhanced payments for waiver services.

Describe: (a) the nature of the supplemental or enhanced payments that are made and the waiver services for which these payments are made; (b) the types of providers to which such payments are made; (c) the source of the non-Federal share of the supplemental or enhanced payment; and, (d) whether providers eligible to receive the supplemental or enhanced payment retain 100% of the total computable expenditure claimed by the state to CMS. Upon request, the state will furnish CMS with detailed information about the total amount of supplemental or enhanced payments to each provider type in the waiver.

Supplemental payments are made to licensed PCA providers who provide Individual and Family Support direct care services to individuals with complex medical or behavioral needs as determined by an approved screening process. The provider will request the supplemental payment. The screening process will determine those individuals who meet the criteria for having complex medical or behavioral needs and will be approved initially by OCDD Central Office. In the future, the approval process may be redirected to the Local Governing Entity. The service will be available to all individuals in the waiver who meet the screening requirements in effect. The supplemental payment is a \$38.88 daily rate paid to the provider when an individual requires supports that focus on the prevention of deteriorating or worsening medical or behavioral conditions to prevent institutionalization. The non-Federal share of the supplemental payment will come initially from the NOW Fund. Any future payments may be from State General Funds or another state designated source (i.e., NOW Fund). The providers will retain 100% of the expenditure claimed by the state.

Appendix I: Financial Accountability

I-3: Payment (4 of 7)

d. Payments to state or Local Government Providers. Specify whether state or local government providers receive payment for the provision of waiver services.

- No. State or local government providers do not receive payment for waiver services. Do not complete Item I-3-e.
- Yes. State or local government providers receive payment for waiver services. Complete Item I-3-e.

Specify the types of state or local government providers that receive payment for waiver services and the services that the state or local government providers furnish:

The Louisiana State Legislature has re-named the OCDD Developmental Centers as Regional Service Centers in order to capture their current mission of providing a full range of community-based services. The OCDD Regional Service Centers will provide services to NOW waiver participants and will be paid for those services. Those NOW services will include transitional support services, individual and family services, and residential habilitation services supported employment, employment related training, and day habilitation. These waiver services delivered by the Regional Service Centers are not located in institutional-based settings.

Appendix I: Financial Accountability

I-3: Payment (5 of 7)

e. Amount of Payment to State or Local Government Providers.

Specify whether any state or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed its reasonable costs of providing waiver services and, if so, whether and how the state recoups the excess and returns the Federal share of the excess to CMS on the quarterly expenditure report. Select one:

- The amount paid to state or local government providers is the same as the amount paid to private providers of the same service.*
- The amount paid to state or local government providers differs from the amount paid to private providers of the same service. No public provider receives payments that in the aggregate exceed its reasonable costs of providing waiver services.*
- The amount paid to state or local government providers differs from the amount paid to private providers of the same service. When a state or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed the cost of waiver services, the state recoups the excess and returns the federal share of the excess to CMS on the quarterly expenditure report.*

Describe the recoupment process:

Appendix I: Financial Accountability

I-3: Payment (6 of 7)

f. Provider Retention of Payments. Section 1903(a)(1) provides that Federal matching funds are only available for expenditures made by states for services under the approved waiver. Select one:

- Providers receive and retain 100 percent of the amount claimed to CMS for waiver services.*
- Providers are paid by a managed care entity (or entities) that is paid a monthly capitated payment.*

Specify whether the monthly capitated payment to managed care entities is reduced or returned in part to the state.

Appendix I: Financial Accountability

I-3: Payment (7 of 7)

g. Additional Payment Arrangements

i. Voluntary Reassignment of Payments to a Governmental Agency. Select one:

- No. The state does not provide that providers may voluntarily reassign their right to direct payments to a governmental agency.*
- Yes. Providers may voluntarily reassign their right to direct payments to a governmental agency as provided in 42 CFR §447.10(e).*

Specify the governmental agency (or agencies) to which reassignment may be made.

ii. Organized Health Care Delivery System. Select one:

- No. The state does not employ Organized Health Care Delivery System (OHCD) arrangements under the provisions of 42 CFR §447.10.**
- Yes. The waiver provides for the use of Organized Health Care Delivery System arrangements under the provisions of 42 CFR §447.10.**

Specify the following: (a) the entities that are designated as an OHCD and how these entities qualify for designation as an OHCD; (b) the procedures for direct provider enrollment when a provider does not voluntarily agree to contract with a designated OHCD; (c) the method(s) for assuring that participants have free choice of qualified providers when an OHCD arrangement is employed, including the selection of providers not affiliated with the OHCD; (d) the method(s) for assuring that providers that furnish services under contract with an OHCD meet applicable provider qualifications under the waiver; (e) how it is assured that OHCD contracts with providers meet applicable requirements; and, (f) how financial accountability is assured when an OHCD arrangement is used:

iii. Contracts with MCOs, PIHPs or PAHPs.

- The state does not contract with MCOs, PIHPs or PAHPs for the provision of waiver services.**
- The state contracts with a Managed Care Organization(s) (MCO) and/or prepaid inpatient health plan(s) (PIHP) or prepaid ambulatory health plan(s) (PAHP) under the provisions of §1915(a)(1) of the Act for the delivery of waiver and other services. Participants may voluntarily elect to receive waiver and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the state Medicaid agency.**

Describe: (a) the MCOs and/or health plans that furnish services under the provisions of §1915(a)(1); (b) the geographic areas served by these plans; (c) the waiver and other services furnished by these plans; and, (d) how payments are made to the health plans.

- This waiver is a part of a concurrent §1915(b)/§1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The §1915(b) waiver specifies the types of health plans that are used and how payments to these plans are made.**
- This waiver is a part of a concurrent ?1115/?1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The ?1115 waiver specifies the types of health plans that are used and how payments to these plans are made.**
- If the state uses more than one of the above contract authorities for the delivery of waiver services, please select this option.**

In the textbox below, indicate the contract authorities. In addition, if the state contracts with MCOs, PIHPs, or PAHPs under the provisions of §1915(a)(1) of the Act to furnish waiver services: Participants may voluntarily elect to receive waiver and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the state Medicaid agency. Describe: (a) the MCOs and/or health plans that furnish services under the provisions of §1915(a)(1); (b) the geographic areas served by these plans; (c) the waiver and other services furnished by these plans; and, (d) how payments are made to the health plans.

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (1 of 3)

a. State Level Source(s) of the Non-Federal Share of Computable Waiver Costs. Specify the state source or sources of the non-federal share of computable waiver costs. Select at least one:

- Appropriation of State Tax Revenues to the State Medicaid agency**
- Appropriation of State Tax Revenues to a State Agency other than the Medicaid Agency.**

If the source of the non-federal share is appropriations to another state agency (or agencies), specify: (a) the state entity or agency receiving appropriated funds and (b) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if the funds are directly expended by state agencies as CPEs, as indicated in Item I-2-c:

- Other State Level Source(s) of Funds.**

Specify: (a) the source and nature of funds; (b) the entity or agency that receives the funds; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by state agencies as CPEs, as indicated in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (2 of 3)

b. Local Government or Other Source(s) of the Non-Federal Share of Computable Waiver Costs. Specify the source or sources of the non-federal share of computable waiver costs that are not from state sources. Select One:

- Not Applicable.** There are no local government level sources of funds utilized as the non-federal share.
- Applicable**

Check each that applies:

- Appropriation of Local Government Revenues.**

Specify: (a) the local government entity or entities that have the authority to levy taxes or other revenues; (b) the source(s) of revenue; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement (indicate any intervening entities in the transfer process), and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

- Other Local Government Level Source(s) of Funds.**

Specify: (a) the source of funds; (b) the local government entity or agency receiving funds; and, (c) the mechanism that is used to transfer the funds to the state Medicaid agency or fiscal agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (3 of 3)

c. Information Concerning Certain Sources of Funds. *Indicate whether any of the funds listed in Items I-4-a or I-4-b that make up the non-federal share of computable waiver costs come from the following sources: (a) health care-related taxes or fees; (b) provider-related donations; and/or, (c) federal funds. Select one:*

None of the specified sources of funds contribute to the non-federal share of computable waiver costs

The following source(s) are used

Check each that applies:

Health care-related taxes or fees

Provider-related donations

Federal funds

For each source of funds indicated above, describe the source of the funds in detail:

Appendix I: Financial Accountability

I-5: Exclusion of Medicaid Payment for Room and Board

a. Services Furnished in Residential Settings. *Select one:*

No services under this waiver are furnished in residential settings other than the private residence of the individual.

As specified in Appendix C, the state furnishes waiver services in residential settings other than the personal home of the individual.

b. Method for Excluding the Cost of Room and Board Furnished in Residential Settings. *The following describes the methodology that the state uses to exclude Medicaid payment for room and board in residential settings:*

Do not complete this item.

Appendix I: Financial Accountability

I-6: Payment for Rent and Food Expenses of an Unrelated Live-In Caregiver

Reimbursement for the Rent and Food Expenses of an Unrelated Live-In Personal Caregiver. *Select one:*

No. The state does not reimburse for the rent and food expenses of an unrelated live-in personal caregiver who resides in the same household as the participant.

- Yes. Per 42 CFR §441.310(a)(2)(ii), the state will claim FFP for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the waiver participant. The state describes its coverage of live-in caregiver in Appendix C-3 and the costs attributable to rent and food for the live-in caregiver are reflected separately in the computation of factor D (cost of waiver services) in Appendix J. FFP for rent and food for a live-in caregiver will not be claimed when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.*

The following is an explanation of: (a) the method used to apportion the additional costs of rent and food attributable to the unrelated live-in personal caregiver that are incurred by the individual served on the waiver and (b) the method used to reimburse these costs:

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (1 of 5)

a. Co-Payment Requirements. Specify whether the state imposes a co-payment or similar charge upon waiver participants for waiver services. These charges are calculated per service and have the effect of reducing the total computable claim for federal financial participation. Select one:

- No. The state does not impose a co-payment or similar charge upon participants for waiver services.*
- Yes. The state imposes a co-payment or similar charge upon participants for one or more waiver services.*

i. Co-Pay Arrangement.

Specify the types of co-pay arrangements that are imposed on waiver participants (check each that applies):

Charges Associated with the Provision of Waiver Services (if any are checked, complete Items I-7-a-ii through I-7-a-iv):

- Nominal deductible*
- Coinsurance*
- Co-Payment*
- Other charge*

Specify:

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (2 of 5)

a. Co-Payment Requirements.

ii. Participants Subject to Co-pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (3 of 5)

a. Co-Payment Requirements.

iii. Amount of Co-Pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (4 of 5)

a. Co-Payment Requirements.

iv. Cumulative Maximum Charges.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (5 of 5)

b. Other State Requirement for Cost Sharing. Specify whether the state imposes a premium, enrollment fee or similar cost sharing on waiver participants. Select one:

- No. The state does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.**
- Yes. The state imposes a premium, enrollment fee or similar cost-sharing arrangement.**

Describe in detail the cost sharing arrangement, including: (a) the type of cost sharing (e.g., premium, enrollment fee); (b) the amount of charge and how the amount of the charge is related to total gross family income; (c) the groups of participants subject to cost-sharing and the groups who are excluded; and, (d) the mechanisms for the collection of cost-sharing and reporting the amount collected on the CMS 64:

Appendix J: Cost Neutrality Demonstration

J-1: Composite Overview and Demonstration of Cost-Neutrality Formula

Composite Overview. Complete the fields in Cols. 3, 5 and 6 in the following table for each waiver year. The fields in Cols. 4, 7 and 8 are auto-calculated based on entries in Cols 3, 5, and 6. The fields in Col. 2 are auto-calculated using the Factor D data from the J-2-d Estimate of Factor D tables. Col. 2 fields will be populated ONLY when the Estimate of Factor D tables in J-2-d have been completed.

Level(s) of Care: ICF/IID

Col. 1	Col. 2	Col. 3	Col. 4	Col. 5	Col. 6	Col. 7	Col. 8
Year	Factor D	Factor D'	Total: D+D'	Factor G	Factor G'	Total: G+G'	Difference (Col 7 less Column4)
1	53390.50	7762.00	61152.50	76036.00	7083.00	83119.00	21966.50
2	59858.80	8034.00	67892.80	76036.00	7331.00	83367.00	15474.20
3	60076.82	8315.00	68391.82	76036.00	7587.00	83623.00	15231.18
4	60324.22	8606.00	68930.22	76036.00	7853.00	83889.00	14958.78
5	60601.54	8907.00	69508.54	76036.00	8128.00	84164.00	14655.46

Appendix J: Cost Neutrality Demonstration

a. Number Of Unduplicated Participants Served. Enter the total number of unduplicated participants from Item B-3-a who will be served each year that the waiver is in operation. When the waiver serves individuals under more than one level of care, specify the number of unduplicated participants for each level of care:

Table: J-2-a: Unduplicated Participants

Waiver Year	Total Unduplicated Number of Participants (from Item B-3-a)	Distribution of Unduplicated Participants by Level of Care (if applicable)	
		Level of Care:	
		ICF/IID	
Year 1	9100		9100
Year 2	9100		9100
Year 3	9100		9100
Year 4	9100		9100
Year 5	9100		9100

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (2 of 9)

b. Average Length of Stay. Describe the basis of the estimate of the average length of stay on the waiver by participants in item J-2-a.

The average length of stay estimate is based on total number of days of waiver eligibility of all NOW participants divided by the number of unduplicated recipients over the waiver plan year. Current average length of stay information is taken from the CMS 372 report.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (3 of 9)

c. Derivation of Estimates for Each Factor. Provide a narrative description for the derivation of the estimates of the following factors.

i. Factor D Derivation. The estimates of Factor D for each waiver year are located in Item J-2-d. The basis and methodology for these estimates is as follows:

Factor D estimates are based on actual program utilization data for the number of unduplicated recipients and services per recipient for each service in the waiver. An estimated cost per service is derived by multiplying these estimates by actual service rates. This dollar amount is then totaled and divided by the number of unduplicated recipients for an average cost per recipient. A utilization inflation factor is thereby applied to each subsequent year based on program history and other factors.

Factor D was developed using program data for the year beginning July 1, 2014 and ending June 30, 2015.

An increase in the IFS night rate effective 8/1/2018 required that the average cost per unit estimates be adjusted for the IFS service with more current information. The IFS night rate was adjusted for WY2 and prior to the requested effective date for this amendment in order to more accurately reflect actual data.

The rate increase was due to a legislative appropriation which supported the increase in the night rate. The night rate was increased from \$2.17 per unit to \$2.75 per unit. This increased the overall rate for Individual and Family Support by approximately \$.04 per unit as IFS night services are not utilized by the majority of individuals who access IFS services.

The estimate for Adult Companion Care services was based on information obtained from families and possible providers and advocates. There was not usable data from the CMS 372 to help establish the new rate.

The Adult Companion Care rate was increased from 41.00 to 90.02 to allow for a cost component payable to the ACC provider agency for facilitating, oversight and monitoring the agreement between the companion and the individual. The number of hours was estimated at about 8 hours a day of support. When adding the hours of support to a provider oversight cost, the rate of 90.02 is appropriate.

The estimate of Factor D for years 3-5 has been adjusted per CMS request. Waiver year 3 has been reduced by 1/2 since there are no individuals accessing this service.

The State has a previously approved Monitored In Home Caregiving (MIHC) program that used the 40% and 60% ratios. Since the services are nearly identical in structure but being used for different populations, the State used the previously approved service methodology.

The State used the existing and approved rate methodology in Medicaid's other home and community based service waiver in order to keep one consistent methodology. However, because the New Opportunities Waiver is an I-DD waiver, the platform for the waiver should have been the average daily rate for ICF-DD facilities rather than nursing homes. The state will correct this error.

The data source to be used will be the queries drawn from the Medicaid MARS Data Warehouse. The State queried Medicaid claims data to pull the number of paid recipients, paid days, and total payments by each private ICF-DD facility. Using this data, an average cost per day is calculated. The applicable bed fee was subtracted from this number to give the basis of the MIHC calculation. The 40% and 60% levels were then derived from this base number.

The State will recommend adjustments to the rate for Monitored In-home Care Service when there are adjustments made to the state's private ICF facility rate through periodic rebasing. However, the ability to adjust those rates will be contingent upon appropriated funding. Private ICF rates and nursing daily rates are based on different platforms and methodologies. Nursing rates are based on a case-mix methodology and ICF rates are based on ICAPs as established in the State's Medicaid state plan.

- ii. Factor D' Derivation.** *The estimates of Factor D' for each waiver year are included in Item J-1. The basis of these estimates is as follows:*

Factor D is an estimate based on the actual participant expenditures for all other Medicaid services outside of waiver services. This dollar amount is totaled and then divided by the number of waiver recipients to get an estimated average cost. A utilization inflation factor is thereby applied to each subsequent year based on program history and other factors.

To exclude Medicare Part D Pharmacy cost from our cost effectiveness calculations we:

- 1. identified all NOW recipients who had dual eligibility for Medicaid and Medicare services*
- 2. developed an independent query to identify pharmacy related Part D acute care expenditures.*
- 3. based on these expenditures, an estimate for average annual Part D expenditure per recipient was derived.*
- 4. deducted this amount from the average acute care cost per waiver recipient.*

iii. Factor G Derivation. *The estimates of Factor G for each waiver year are included in Item J-1. The basis of these estimates is as follows:*

Factor G is an estimate based on the actual Medicaid expenditures for all intermediate care facilities for the developmentally disabled(ICF/DD). This dollar amount is totaled and then divided by the number of waiver recipients to get an estimated average cost. A utilization inflation factor is thereby applied to each subsequent year based on program history and other factors.

iv. Factor G' Derivation. *The estimates of Factor G' for each waiver year are included in Item J-1. The basis of these estimates is as follows:*

Factor G is an estimate based on the actual Medicaid expenditures for all other Medicaid services provided to citizens residing in intermediate care facilities for the developmentally disabled (ICF/DD). This dollar amount is totaled and then divided by the number of waiver recipients to get an estimated average cost. A utilization inflation factor is thereby applied to each subsequent year based on program history and other factors.

To exclude Medicare Part D Pharmacy cost from our cost effectiveness calculations we:

- 1. identified all ICF/DD recipients who had dual eligibility for Medicaid and Medicare services*
- 2. developed an independent query to identify pharmacy related Part D acute care expenditures.*
- 3. based on these expenditures, an estimate for average annual Part D expenditure per recipient was derived.*
- 4. deducted this amount from the average acute care cost per ICF/DD recipient.*

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (4 of 9)

Component management for waiver services. *If the service(s) below includes two or more discrete services that are reimbursed separately, or is a bundled service, each component of the service must be listed. Select “manage components” to add these components.*

Waiver Services	
Center-Based Respite	
Day Habilitation	
Individual and Family Support	
Monitored In-Home Care-giving	
Prevocational Services	
Supported Independent Living	
Supported Employment- Individual and Group	
Skilled Nursing	
Specialized Medical Equipment and Supplies	
Adult Companion Care	
Community Life Engagment Development	
Environmental Accessibility Adaptations	
Housing Stabilization Service	

<i>Waiver Services</i>	
<i>Housing Stabilization Transition Service</i>	
<i>One-Time Transitional</i>	
<i>Personal Emergency Response</i>	
<i>Professional Services</i>	
<i>Substitute Family Care (SFC)</i>	

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (5 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 1

<i>Waiver Service/Component</i>	<i>Unit</i>	<i># Users</i>	<i>Avg. Units Per User</i>	<i>Avg. Cost/ Unit</i>	<i>Component Cost</i>	<i>Total Cost</i>
Center-Based Respite Total:						730774.39
<i>Center-Based Respite</i>	15 minutes	113	1919.00	3.37	730774.39	
Day Habilitation Total:						15337417.23
<i>Day Habilitation</i>	15 minutes	1779	2589.00	3.33	15337417.23	
Individual and Family Support Total:						425798985.60
<i>Individual and Family Support</i>	15 minutes	8376	14121.00	3.60	425798985.60	
Monitored In-Home Care-giving Total:						571645.40
<i>Monitored In-Home Care Level 2</i>	daily	1	241.00	89.40	21545.40	
<i>Monitored In-Home Care Assessment</i>	daily	25	1.00	250.00	6250.00	
<i>Monitored In-Home Care Level 1</i>	daily	25	365.00	59.60	543850.00	
Prevocational Services Total:						2420209.50
<i>Prevocational Services</i>	15 minutes	295	2829.00	2.90	2420209.50	
Supported Independent Living Total:						13372520.00
<i>Supported Independent</i>					13372520.00	
GRAND TOTAL:						485853511.58
<i>Total Estimated Unduplicated Participants:</i>						9100
<i>Factor D (Divide total by number of participants):</i>						53390.50
<i>Average Length of Stay on the Waiver:</i>						328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Living	daily	2282	293.00	20.00		
Supported Employment- Individual and Group Total:						9100930.08
Supported Employment- Individual and Group	15 minutes	836	3279.00	3.32	9100930.08	
Skilled Nursing Total:						14661568.08
Skilled Nursing	15 minutes	159	11512.00	8.01	14661568.08	
Specialized Medical Equipment and Supplies Total:						41715.36
Specialized Medical Equipment and Supplies	1 time	72	1.00	579.38	41715.36	
Adult Companion Care Total:						823075.00
Adult Companion Care	per diem	55	365.00	41.00	823075.00	
Community Life Engagment Development Total:						1495200.00
Community Life Engagment Development	15 minutes	890	240.00	7.00	1495200.00	
Environmental Accessibility Adaptations Total:						1224191.36
Environmental Accessibility Adaptations	1 time	263	1.00	4654.72	1224191.36	
Housing Stabilization Service Total:						16077.04
Housing Stabilization Service	15 minutes	28	38.00	15.11	16077.04	
Housing Stabilization Transition Service Total:						60.44
Housing Stabilization Transition Service	15 minutes	4	1.00	15.11	60.44	
One-Time Transitional Total:						31578.03
One-Time Transitional	1 time	11	1.00	2870.73	31578.03	
Personal Emergency						177968.89
GRAND TOTAL:						48583511.58
Total Estimated Unduplicated Participants:						9100
Factor D (Divide total by number of participants):						53390.50
Average Length of Stay on the Waiver:						328

Waiver Service/Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Response Total:						
Personal Emergency Response	monthly	599	11.00	27.01	177968.89	
Professional Services Total:						40934.40
Nutrition/Dietary Services	15 minutes	2	8.00	8.82	141.12	
Psychologist	15 minutes	37	36.00	30.46	40572.72	
Social Worker	15 minutes	3	8.00	9.19	220.56	
Substitute Family Care (SFC) Total:						8660.78
Substitute Family Care (SFC)	daily	2	229.00	18.91	8660.78	
GRAND TOTAL:					485853511.58	
Total Estimated Unduplicated Participants:					9100	
Factor D (Divide total by number of participants):					53390.50	
Average Length of Stay on the Waiver:					328	

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (6 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 2

Waiver Service/Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Center-Based Respite Total:						827779.84
Center-Based Respite	15 minutes	128	1919.00	3.37	827779.84	
Day Habilitation Total:						16570273.14
Day Habilitation	15 minutes	1922	2589.00	3.33	16570273.14	
Individual and Family Support Total:						479797069.68
Individual and Family Support	15 minutes	8126	14262.00	4.14	479797069.68	
Monitored In-Home Care-giving Total:						980301.00
GRAND TOTAL:					544715048.49	
Total Estimated Unduplicated Participants:					9100	
Factor D (Divide total by number of participants):					59858.80	
Average Length of Stay on the Waiver:					328	

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Monitored In-Home Care Level 2	daily	15	241.00	89.40	323181.00	
Monitored In-Home Care Assessment	1 time	18	1.00	250.00	4500.00	
Monitored In-Home Care Level 1	daily	30	365.00	59.60	652620.00	
Prevocational Services Total:						724628.80
Prevocational Services	15 minutes	322	776.00	2.90	724628.80	
Supported Independent Living Total:						14298400.00
Supported Independent Living	daily	2440	293.00	20.00	14298400.00	
Supported Employment-Individual and Group Total:						11299958.64
Supported Employment-Individual and Group	15 minutes	1038	3279.00	3.32	11299958.64	
Skilled Nursing Total:						15952523.76
Skilled Nursing	15 minutes	173	11512.00	8.01	15952523.76	
Specialized Medical Equipment and Supplies Total:						45191.64
Specialized Medical Equipment and Supplies	1 time	78	1.00	579.38	45191.64	
Adult Companion Care Total:						972725.00
Adult Companion Care	per diem	65	365.00	41.00	972725.00	
Community Life Engagement Development Total:						1629600.00
Community Life Engagement Development	15 minutes	970	240.00	7.00	1629600.00	
Environmental Accessibility Adaptations Total:						1321940.48
Environmental Accessibility Adaptations	1 time	284	1.00	4654.72	1321940.48	
Housing Stabilization Service Total:						17225.40
GRAND TOTAL:					544715048.49	
Total Estimated Unduplicated Participants:					9100	
Factor D (Divide total by number of participants):					59858.80	
Average Length of Stay on the Waiver:						328

Waiver Service/Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Housing Stabilization Service	15 minutes	30	38.00	15.11	17225.40	
Housing Stabilization Transition Service Total:						60.44
Housing Stabilization Transition Service	15 minutes	4	1.00	15.11	60.44	
One-Time Transitional Total:						34448.76
One-Time Transitional	1 time	12	1.00	2870.73	34448.76	
Personal Emergency Response Total:						192230.17
Personal Emergency Response	monthly	647	11.00	27.01	192230.17	
Professional Services Total:						42030.96
Nutrition/Dietary Services	15 minutes	2	8.00	8.82	141.12	
Psychologist	15 minutes	38	36.00	30.46	41669.28	
Social Worker	15 minutes	3	8.00	9.19	220.56	
Substitute Family Care (SFC) Total:						8660.78
Substitute Family Care (SFC)	daily	2	229.00	18.91	8660.78	
GRAND TOTAL:					544715048.49	
Total Estimated Unduplicated Participants:					9100	
Factor D (Divide total by number of participants):					59858.80	
Average Length of Stay on the Waiver:						328

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (7 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 3

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Center-Based Respite Total:						873049.05
Center-Based Respite	15 minutes	135	1919.00	3.37	873049.05	
Day Habilitation Total:						16570273.14
Day Habilitation	15 minutes	1922	2589.00	3.33	16570273.14	
Individual and Family Support Total:						479777251.50
Individual and Family Support	15 minutes	8045	14405.00	4.14	479777251.50	
Monitored In-Home Care-giving Total:						1067358.40
Monitored In- Home Care Level 2	daily	16	241.00	89.40	344726.40	
Monitored In- Home Care Assessment	1 time	19	1.00	250.00	4750.00	
Monitored In- Home Care Level 1	daily	33	365.00	59.60	717882.00	
Prevocational Services Total:						731380.00
Prevocational Services	15 minutes	325	776.00	2.90	731380.00	
Supported Independent Living Total:						14157760.00
Supported Independent Living	daily	2416	293.00	20.00	14157760.00	
Supported Employment- Individual and Group Total:						12998218.32
Supported Employment- Individual and Group	15 minutes	1194	3279.00	3.32	12998218.32	
Skilled Nursing Total:						16136946.00
Skilled Nursing	15 minutes	175	11512.00	8.01	16136946.00	
Specialized Medical Equipment and Supplies Total:						45191.64
Specialized Medical Equipment and Supplies	1 time	78	1.00	579.38	45191.64	
Adult Companion Care Total:						1077480.00
GRAND TOTAL:						546699072.16
Total Estimated Unduplicated Participants:						9100
Factor D (Divide total by number of participants):						60076.82
Average Length of Stay on the Waiver:						328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Adult Companion Care	per diem	72	365.00	41.00	1077480.00	
Community Life Engagment Development Total:						1646400.00
Community Life Engagment Development	15 minutes	980	240.00	7.00	1646400.00	
Environmental Accessibility Adaptations Total:						1321940.48
Environmental Accessibility Adaptations	1 time	284	1.00	4654.72	1321940.48	
Housing Stabilization Service Total:						17225.40
Housing Stabilization Service	15 min	30	38.00	15.11	17225.40	
Housing Stabilization Transition Service Total:						60.44
Housing Stabilization Transition Service	15 min	4	1.00	15.11	60.44	
One-Time Transitional Total:						34448.76
One-Time Transitional	1 time	12	1.00	2870.73	34448.76	
Personal Emergency Response Total:						192230.17
Personal Emergency Response	monthly	647	11.00	27.01	192230.17	
Professional Services Total:						43198.08
Nutrition/Dietary Services	15 minutes	3	8.00	8.82	211.68	
Psychologist	15 minutes	39	36.00	30.46	42765.84	
Social Worker	15 minutes	3	8.00	9.19	220.56	
Substitute Family Care (SFC) Total:						8660.78
Substitute Family Care (SFC)	daily	2	229.00	18.91	8660.78	
GRAND TOTAL:					546699072.16	
Total Estimated Unduplicated Participants:					9100	
Factor D (Divide total by number of participants):					60076.82	
Average Length of Stay on the Waiver:						328

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (8 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 4

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Center-Based Respite Total:						911851.23
Center-Based Respite	15 minutes	141	1919.00	3.37	911851.23	
Day Habilitation Total:						16570273.14
Day Habilitation	15 minutes	1922	2589.00	3.33	16570273.14	
Individual and Family Support Total:						479754729.90
Individual and Family Support	15 minutes	7965	14549.00	4.14	479754729.90	
Monitored In-Home Care-giving Total:						1176211.20
Monitored In- Home Care Level 2	Daily	18	241.00	89.40	387817.20	
Monitored In- Home Care Assessment	1 time	21	1.00	250.00	5250.00	
Monitored In- Home Care Level 1	daily	36	365.00	59.60	783144.00	
Prevocational Services Total:						738131.20
Prevocational Services	15 minutes	328	776.00	2.90	738131.20	
Supported Independent Living Total:						14017120.00
Supported Independent Living	daily	2392	293.00	20.00	14017120.00	
Supported Employment- Individual and Group Total:						14946862.44
Supported Employment- Individual and Group	15 minutes	1373	3279.00	3.32	14946862.44	
Skilled Nursing Total:						16321368.24
Skilled Nursing	15 minutes	177	11512.00	8.01	16321368.24	
GRAND TOTAL:						548950438.57
Total Estimated Unduplicated Participants:						9100
Factor D (Divide total by number of participants):						60324.22
Average Length of Stay on the Waiver:						328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Specialized Medical Equipment and Supplies Total:						45191.64
Specialized Medical Equipment and Supplies	1 time	78	1.00	579.38	45191.64	
Adult Companion Care Total:						1182235.00
Adult Companion Care	per diem	79	365.00	41.00	1182235.00	
Community Life Engagment Development Total:						1663200.00
Community Life Engagment Development	15 minutes	990	240.00	7.00	1663200.00	
Environmental Accessibility Adaptations Total:						1321940.48
Environmental Accessibility Adaptations	1 time	284	1.00	4654.72	1321940.48	
Housing Stabilization Service Total:						17225.40
Housing Stabilization Service	15 min	30	38.00	15.11	17225.40	
Housing Stabilization Transition Service Total:						60.44
Housing Stabilization Transition Service	15 min	4	1.00	15.11	60.44	
One-Time Transitional Total:						34448.76
One-Time Transitional	1 time	12	1.00	2870.73	34448.76	
Personal Emergency Response Total:						192230.17
Personal Emergency Response	monthly	647	11.00	27.01	192230.17	
Professional Services Total:						44368.16
Nutrition/Dietary Services	15 minutes	3	8.00	8.82	211.68	
Psychologist	15 minutes	40	36.00	30.46	43862.40	
Social Worker	15 minutes	4	8.00	9.19	294.08	
GRAND TOTAL:						548950438.57
Total Estimated Unduplicated Participants:						9100
Factor D (Divide total by number of participants):						60324.22
Average Length of Stay on the Waiver:						328

Waiver Service/Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Substitute Family Care (SFC) Total:						12991.17
Substitute Family Care (SFC)	daily	3	229.00	18.97	12991.17	
GRAND TOTAL:						548950438.57
Total Estimated Unduplicated Participants:						9100
Factor D (Divide total by number of participants):						60324.22
Average Length of Stay on the Waiver:						328

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (9 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 5

Waiver Service/Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Center-Based Respite Total:						957120.44
Center-Based Respite	15 minutes	148	1919.00	3.37	957120.44	
Day Habilitation Total:						16570273.14
Day Habilitation	15 minutes	1922	2589.00	3.33	16570273.14	
Individual and Family Support Total:						479669466.60
Individual and Family Support	15 minutes	7885	14694.00	4.14	479669466.60	
Monitored In-Home Care-giving Total:						1306818.00
Monitored In-Home Care Level 2	Daily	20	241.00	89.40	430908.00	
Monitored In-Home Care Assessment	1 time	23	1.00	250.00	5750.00	
Monitored In-Home Care Level 1	Daily	40	365.00	59.60	870160.00	
Prevocational Services Total:						747132.80
Prevocational Services	15 minutes	332	776.00	2.90	747132.80	
GRAND TOTAL:						551474025.36
Total Estimated Unduplicated Participants:						9100
Factor D (Divide total by number of participants):						60601.54
Average Length of Stay on the Waiver:						328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Supported Independent Living Total:						13876480.00
Supported Independent Living	daily	2368	293.00	20.00	13876480.00	
Supported Employment- Individual and Group Total:						17189436.12
Supported Employment- Individual and Group	15 minutes	1579	3279.00	3.32	17189436.12	
Skilled Nursing Total:						16505790.48
Skilled Nursing	15 minutes	179	11512.00	8.01	16505790.48	
Specialized Medical Equipment and Supplies Total:						45191.64
Specialized Medical Equipment and Supplies	1 time	78	1.00	579.38	45191.64	
Adult Companion Care Total:						1301955.00
Adult Companion Care	per diem	87	365.00	41.00	1301955.00	
Community Life Engagement Development Total:						1680000.00
Community Life Engagement Development	15 minutes	1000	240.00	7.00	1680000.00	
Environmental Accessibility Adaptations Total:						1321940.48
Environmental Accessibility Adaptations	1 time	284	1.00	4654.72	1321940.48	
Housing Stabilization Service Total:						17225.40
Housing Stabilization Service	15 minutes	30	38.00	15.11	17225.40	
Housing Stabilization Transition Service Total:						60.44
Housing Stabilization Transition Service	15 minutes	4	1.00	15.11	60.44	
One-Time Transitional Total:						34448.76
One-Time					34448.76	
GRAND TOTAL:					551474025.36	
Total Estimated Unduplicated Participants:					9100	
Factor D (Divide total by number of participants):					60601.54	
Average Length of Stay on the Waiver:						328

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Transitional	1 time	12	1.00	2870.73		
Personal Emergency Response Total:						192230.17
Personal Emergency Response	monthly	647	11.00	27.01	192230.17	
Professional Services Total:						45464.72
Nutrition/Dietary Services	15 minutes	3	8.00	8.82	211.68	
Psychologist	15 minutes	41	36.00	30.46	44958.96	
Social Worker	15 minutes	4	8.00	9.19	294.08	
Substitute Family Care (SFC) Total:						12991.17
Substitute Family Care (SFC)	15 minutes	3	229.00	18.91	12991.17	
GRAND TOTAL:					551474025.36	
<i>Total Estimated Unduplicated Participants:</i>					9100	
<i>Factor D (Divide total by number of participants):</i>					60601.54	
<i>Average Length of Stay on the Waiver:</i>					328	