

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 waiver's 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 an Amendment to a §1915(c) Home and Community-Based Services Waiver

1. Request Information

A. The **State of Oklahoma** requests approval for an amendment to the following Medicaid home and community-based services waiver approved under authority of §1915(c) of the Social Security Act.

B. Program Title:

Medically Fragile

C. Waiver Number:OK.0811

D. Amendment Number:OK.0811.R02.01

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

10/01/18

Approved Effective Date of Waiver being Amended: 07/01/18

2. Purpose(s) of Amendment

Purpose(s) of the Amendment. Describe the purpose(s) of the amendment:

The Oklahoma Health Care Authority (OHCA) is proposing a 3.00% increase, to the current rate and reimbursement structures in the SoonerCare program. Upon passage of Senate Bill 1605, OHCA was mandated to increase most provider rates by 2.00% after years of rate reductions. Due to years of rate reductions the proposed 3.00% rate increase exceeds what the legislature mandated. Per Senate Bill 1605, the proposed rate increases excludes: services financed through appropriations to other state agencies; Durable Medical Equipment, Prosthetics, Orthotics, and Supplies (DMEPOS); nonemergency transportation capitation payments; services provided to Insure Oklahoma (IO) members; payments for drug ingredients/physician supplied drugs; Indian Health Services/Tribal/Urban Clinics (I/T/U); Federally Qualified Health Centers (FQHCs); Rural Health Centers (RHCs); and Long-Term Care Facilities.

3. Nature of the Amendment

A. Component(s) of the Approved Waiver Affected by the Amendment. This amendment affects the following component(s) of the approved waiver. Revisions to the affected subsection(s) of these component(s) are being submitted concurrently (*check each that applies*):

| Component of the Approved Waiver | Subsection(s) |
|---|----------------------|
| <input checked="" type="checkbox"/> Waiver Application | B. Additional Inform |
| <input type="checkbox"/> Appendix A – Waiver Administration and Operation | |
| <input type="checkbox"/> Appendix B – Participant Access and Eligibility | |

| Component of the Approved Waiver | Subsection(s) |
|--|---------------|
| <input type="checkbox"/> Appendix C – Participant Services | |
| <input type="checkbox"/> Appendix D – Participant Centered Service Planning and Delivery | |
| <input type="checkbox"/> Appendix E – Participant Direction of Services | |
| <input type="checkbox"/> Appendix F – Participant Rights | |
| <input type="checkbox"/> Appendix G – Participant Safeguards | |
| <input type="checkbox"/> Appendix H | |
| <input checked="" type="checkbox"/> Appendix I – Financial Accountability | I-2 |
| <input checked="" type="checkbox"/> Appendix J – Cost-Neutrality Demonstration | J-2 |

B. Nature of the Amendment. Indicate the nature of the changes to the waiver that are proposed in the amendment (*check each that applies*):

- Modify target group(s)
- Modify Medicaid eligibility
- Add/delete services
- Revise service specifications
- Revise provider qualifications
- Increase/decrease number of participants
- Revise cost neutrality demonstration
- Add participant-direction of services
- Other

Specify:

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

1. Request Information (1 of 3)

A. The **State of Oklahoma** 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*):

Medically Fragile

C. Type of Request: amendment

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

Waiver Number: OK.0811.R02.01

Draft ID: OK.010.02.02

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

Regular Waiver

E. Proposed Effective Date of Waiver being Amended: 07/01/18

Approved Effective Date of Waiver being Amended: 07/01/18

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:

The State limits the waiver to the Skilled subcategory of 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 State of Oklahoma requests to amend the 1915(c) Home and Community-Based Services Waiver for Medicaid members who have been diagnosed with a medically fragile condition who require a Hospital/Skilled Nursing Facility (H/SNF) level of care (LOC) and whose needs could not otherwise be met through another Oklahoma Waiver. A medically fragile condition is defined as a chronic physical condition, which results in prolonged dependency on medical care for which daily skilled (nursing) intervention is medically necessary and is characterized by one or more of the following:

- (1) There is a life threatening condition characterized by reasonably frequent periods of acute exacerbation which requires frequent medical supervision, and/or physician consultation and which in the absence of such supervision or consultation would require hospitalization.
- (2) The individual requires frequent time consuming administration of specialized treatments which are medically necessary.
- (3) The individual is dependent on medical technology such that without the technology a reasonable level of health could not be maintained. Examples include but are not limited to dependence on ventilators, dialysis machines, enteral or parenteral nutrition support and continuous oxygen.

The goal of this program is to provide services which allow Medicaid eligible persons whose UCAT assessment scores meet Hospital/Skilled Nursing Facility level of care and one of the characteristics of a medically fragile condition as listed above; the opportunity to remain at home or in the residential setting of their choosing while receiving the necessary care. The Medically Fragile program offers an alternative to institutional placement in order to receive Medicaid-funded care. The waiver also offers self-direction opportunities for a specified group of services such as Advanced Supportive/Restorative, Personal Care and Respite as service delivery options.

Under the Medically Fragile Waiver Program, Oklahomans who qualify will receive the following services:

- * Advanced Supportive/Restorative Assistance
- * Case Management
- * Environmental Modifications
- * Home Delivered Meals
- * Hospice Care
- * Institutional Transition Case Management
- * Occupational Therapy
- * Personal Care
- * Prescribed Drugs
- * Personal Emergency Response System (PERS)
- * Physical Therapy
- * Private Duty Nursing
- * Respiratory Therapy
- * Respite
- * Skilled Nursing
- * Specialized Medical Equipment and Supplies
- * Self-Directed Goods and Services
- * Speech Therapy
- * Transitional Case Management

The Medically Fragile waiver is a State of Oklahoma Medicaid program operated by the Oklahoma Health Care Authority (OHCA), the State Medicaid Agency. As a Medicaid program, federal and state guidelines, rules, regulations and laws govern the operation of the program. At the state level, authority for the operation of Medicaid programs rests with the OHCA. Services are provided by qualified providers who have entered into provider agreements with OHCA.

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 statewide requirements 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 following processes and forums have provided opportunity for public input to the waiver renewal process:

On October 19, 2017, the Living Choice Advisory Committee (LCAC) met and the Medically Fragile Waiver renewal was presented as an agenda item. No comments were received; therefore, no comments were adopted.

On March 6, 2018 the OHCA held their bi-monthly SoonerCare Tribal Consultation Meetings which included a presentation of the proposed waiver renewal changes. There was one question asked during the consultation meeting. The commenter wanted to know how many natives were on the Medically Fragile Waiver. The State responded, there are 8 natives currently enrolled in the Medically Fragile Waiver.

The Medically Fragile renewal application was placed on the OHCA website for public comment from February 15, 2018 – March 25, 2018. There were no public comments received during the input process; therefore, no comments were adopted. The waiver was posted at <http://okhca.org/xPolicyChange.aspx?id=21843&blogid=68505>.

In February 2018, OHCA had notices regarding the Medically Fragile waiver renewal published in five of the largest newspapers: Daily Oklahoman, Tulsa World, Lawton Constitution, Norman Transcript and Tulsa Business & legal News (Broken Arrow). Additionally, notice was published in a diversity publication, The Black Chronicle.

In order to fulfill the non-electronic requirements for public comment, the State posted written notices in all county offices to ensure meaningful opportunities for input for individuals served or eligible to be served in the waiver. The public notice contained a summary of the changes and instruction where individuals could submit comments and request a full copy of the waiver. This comment period was open from February 23, 2018 - March 25, 2018. There were no public comments received during the input process, therefore no comments were adopted. Additionally, the state extended the comment period for the electronic comment submissions to coincide with the non-electronic comment period, comments were accepted from February 15, 2018 - March 25, 2018. There were no public comments received during the input process, therefore no comments were adopted.

On September 4, 2018 the OHCA held their bi-monthly SoonerCare Tribal Consultation Meetings which included a presentation of the proposed 3% rate increases to the SoonerCare program. No comments were received; therefore, no comments were adopted.

On September 13, 2018 the OHCA held their monthly Board Meetings which included a presentation of the proposed 3% rate increases to the SoonerCare program. No comments were received; therefore, no comments were adopted.

On September 20, 2018 the OHCA held their quarterly Medical Advisory Committee meeting which included a presentation of the proposed 3% rate increases to the SoonerCare program. No comments were received; therefore, no comments were adopted.

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:

First Name:

Title:

Agency:

Address:

Address 2:

City:

State: **Oklahoma**

Zip:

Phone: **Ext:** **TTY**

Fax:

E-mail:

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

Last Name:

First Name:

Title:

Agency:

Address:

Address 2:

City:

State: **Oklahoma**

Zip:

Phone: Ext: TTY

Fax:

E-mail:

8. Authorizing Signature

This document, together with the attached revisions to the affected components of the waiver, constitutes the State's request to amend its approved waiver under §1915(c) of the Social Security Act. The State affirms that it will abide by all provisions of the waiver, including the provisions of this amendment when approved by CMS. The State further attests that it will continuously operate the waiver in accordance with the assurances specified in Section V and the additional requirements specified in Section VI of the approved waiver. The State certifies that additional proposed revisions to the waiver request will be submitted by the Medicaid agency in the form of additional waiver amendments.

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:

First Name:

Title:

Agency:

Address:

Address 2:

City:

State: **Oklahoma**

Zip:

Phone: Ext: TTY

Fax:

E-mail:

Attachments

becky.pasternik-ikard@okhca.org

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:

The State affirms that no current participants will experience a change in services, the reduction of unduplicated number of participants only affects unused waiver slots only.

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.

Purpose

The Centers for Medicare and Medicaid Services (CMS) published its final rule related to Home and Community Based Services (HCBS) for Medicaid funded long-term services and supports provided in residential and non-residential home and community based settings. The final rule took effect March 17, 2014. States are required to submit transition plans to CMS within a year of the effective date indicating how they intend to comply with the new requirement within a reasonable time period. If states amend or renew any of their currently operating waivers or state plan amendments prior to the effective date, that action serves as a trigger for the state to submit a transition plan for all its waivers under 1915(c), as well as any state plan amendments under 1915(i) or 1915(k) within 120 days of the amendment/renewal submission.

Background

This document describes the Statewide Transition Plan (SWTP) of the Oklahoma Health Care Authority (OHCA), the single State Medicaid Agency, as required by the CMS final regulation related to new federal requirements for home and community based (HCBS) settings. This SWTP includes the state's assessment of its regulations, standards, policies, licensing requirements, and other provider requirements to ensure settings comply with the new federal requirements. Additionally, the SWTP plan will describe action the state proposes to assure full and on-going compliance with the HCBS settings requirements.

Overview

Oklahoma administers/operates six 1915 (c) waivers. There are approximately 26,106 individuals served in the State of

Oklahoma through one of these 1915 (c) waivers. Oklahoma does not currently offer services through the state plan under 1915 (i) or 1915 (k) authority. Oklahoma operates two waiver programs with a Nursing Facility level of care (NFLOC) designation and four waiver programs with an Intermediate Care Facility/Intellectual Disability (ICF/ID) level of care designation. Across the six waiver programs, there are eight distinct settings utilized among Home and Community Based Waiver members, that does not include the member owned or family owned home. This document summarizes the State's preliminary assessment activities and its proposed strategy for continuous monitoring and remediation of HCBS settings for both the aged and physically disabled (NFLOC) waivers and the developmental disabilities waivers (ICF/ID LOC).

Section A: Systemic Review

I. Review Methodology

This section details how the State approached the systemic review for the Statewide Transition Plan. The State utilized a three-pronged approach for the review. The review began with the State lead compiling and reviewing all related regulations, contracts, policies and procedures, and service definitions. It was the responsibility of the State lead, the State Medicaid agency, to compile this information, assess it, and define its consistency to the HCBS Final Rule. The second prong of the process was a review by the State leads' partner agencies. These partner agencies included the Oklahoma Department of Human and Services (DHS) Developmental Disabilities Services (DDS) division and the Aging Services Divisions (ASD). These partner agencies had the responsibility of reviewing the assessed regulation, policies and procedures, and service definitions. Partner Agencies were responsible for adding additional regulations and policies that were not previously identified. Partner Agencies made an assessment of each of the regulations and policies consistency/compliance with the HCBS final rule. Partner Agencies also proposed remediation and action plans for all of those regulations and policies that required such. The third prong of the systemic review process involved stakeholder groups. Stakeholders represented both the ICF/ID level of care waivers as well as the NFLOC waivers. The systemic assessment was sent to all stakeholder groups affiliated with the waivers. The stakeholder groups were charged with reviewing the systemic grid and providing feedback on the State leads and partner agencies determination of applicable regulations and policies and their consistency with the HCBS final rule. All feedback, comments, and suggestions were reviewed and incorporated as appropriate in the STWP and systemic assessment grids.

II. Compliance Analysis

Within the three-prong review process each group (State Lead, Partner Agencies, and Stakeholders) made an analysis of whether the identified relevant policies and regulations were consistent with the elements outlined the HCBS Final Rule. The analysis of the policies and regulations resulted in a determination of fully compliant, partially compliant, silent, or non-compliant with the elements of the HCBS Final Rule. The outcome was determined through an evaluation of the regulations and/or policies consistency and congruence with elements of the HCBS final rule. Regulation and policy language precisely consistent and congruent with the elements was determined to be fully compliant. Policies and/or regulations consistent with only part of the elements of the HCBS Final Rule were determined to be partially compliant. Inconsistent language or language opposing the elements of the HCBS final rule was determined to be non-compliant. Absent language was determined to be silent. DHS DDS adopted an overarching general provision administrative rule in order to ensure clarity, consistency, and compliance across all waiver program settings. The overarching general provision administrative rule precisely follows the elements detailed in the HCBS Final Rule. As a result, it was determined that all ICF/ID LOC settings are compliant with the HCBS Final Rule. The systemic grid also includes supporting regulation and policies that enhance the consistency of the regulations and policies that address the elements in the HCBS Final Rule. Aging Services plans to adopt a similar overarching general provision administrative rule that will assist in its settings becoming more compliant with the HCBS Final Rule. Much of the regulations and policy pertaining to the NFLOC settings specifically Adult Day Health setting, remained silent; therefore the adoption of an overarching administrative rule would more directly signify that settings must comply with the standards of the HCBS Final Rule.

III. Remediation Activities

NF LOC Waivers

Many of the current policy and regulations pertaining to settings in the NF LOC waivers were determined to remain silent or be partially compliant with the elements of the HCBS Final Rule. It has been determined that remediation is necessary in order to allow the settings to become compliant with the HCBS Final Rule. Remediation activities will consist of the development and addition of an overarching policy that will precisely follow language of the HCBS Final Rule that settings will have to abide by. The development of this standard for NF LOC waiver settings will go through the States permanent rule promulgation process. It is projected the proposed additional standards for NF LOC waiver settings will be effective 9/1/2017. A draft copy of the updated policy and language can be found in Appendix C.

ICF/ID LOC

The DHS DDS developed an overarching general provision standard that was made effective 9/1/2015. This standard pertains to and must be followed by all settings in the ICF/ID waivers. This overarching general provision strictly follows the language in the HCBS Final Rule. There are minimal instances where remediation is needed, specifically where the state policy and the

waiver language conflict such as the case with the policy surrounding restraints. DHS has supporting policy that will be updated as a means of enhancing compliance and having additional policy to directly correspond with the HCBS Final Rule. Proposed changes to specific language can be found in Appendix D.

IV. Alignment of Review

The State of Oklahoma, pursuant to House Bill 1566 which passed the Oklahoma Legislature and was signed by Governor Mary Fallin in April 2015, has issued a Request for Proposal (RFP). The RFP is for a care coordination model for the Aged, Blind, and Disabled populations (ABD). Throughout the process of the RFP development OHCA has worked with the State's contracted consultant group to verify all related managed care rules and how the proposed new service delivery model will ensure compliance with the HCBS Final Rule. The intent of the Legislation is to provide better access to care, improve quality and health outcomes, and control spending costs for the ABD populations. The State is working to gather all relevant information from federal statutes including the HCBS Final Rule, the newly proposed managed care rules, State policy, and stakeholder engagement.

Section B: NF LOC Waivers

Introduction

Oklahoma operates two 1915(c) waivers with a Nursing Facility level of care (NFLOC) designation serving approximately 21,000 individuals per month in community settings. The State conducted a review of all of its applicable State statutes, administrative rules, approved waivers, provider requirements, and service specifications pertaining to the HCBS settings. The results of the State's systemic review are located in Appendix A.

The following are the approved NFLOC Waiver Programs.

Medically Fragile – Serves individuals 19 years of age and older who meet hospital and/or skilled nursing level of care. The purpose of the waiver is to provide assistance for families who require long-term supports and services to maintain the medically fragile member in the family home while meeting their unique medical needs. Daily operation of this waiver is performed by the Oklahoma Health Care Authority.

ADvantage – Serves frail elderly individuals age 65 or older and adults age 21 to 64 with physical disabilities or other disabilities, without cognitive impairment that would otherwise require placement in a nursing facility. Daily operation of this waiver is the responsibility of the Department of Human Services Aging Services (DHS-AS). The Oklahoma Health Care Authority retains administrative oversight of the waiver.

I. Assessment Methodology & Continued Monitoring

The DHS – Aging Services, Medicaid Services Unit, (MSU), Quality Assurance/Improvement (QAI) department Provider Audit team has begun formally conducting annual on-site provider agency reviews in all NFLOC settings. Settings include Assisted Living (AL), and Adult Day Health (ADH) Onsite reviews were conducted in SFY17 (July 1, 2016 – June 30, 2017) and will continue annually after the transition plan period. The Provider Audit team has been conducting annual on-site reviews for Home Care (HC) and Case Management (CM) providers since 2000, and will continue these reviews, in accordance to the ADvantage Waiver performance measure requirements. Reviews are completed by DHS-AS MSU-QAI for providers and HCB settings annually, extending beyond the transition period (March 15, 2019). In accordance to the ADvantage Waiver, Raosoft is used to obtain a representative sample of case records of Members receiving services in each provider type reviewed, including ADH and/or Members who reside in an AL facility. Included in each review is a survey of Member perception. Member Perception contacts are made with Members who were randomly selected for provider review in their ADH/AL setting, in the Member's home, or via telephone. ADvantage does not currently have a Provider utilizing more than one setting type. If a provider had multiple types of settings, each setting would be reviewed separately. Providers with multiple locations have separate reviews for each location.

In SFY 2015, the State conducted baseline provider self-assessment surveys. By the end of SFY16, DHS-AS completed follow-up onsite reviews of Assisted Living facilities. In SFY16, DHS-AS also worked with DHS, Developmental Disabilities Services (DDS), to complete Adult Day site visit reports at the Adult Day Centers. During these preliminary follow-up reviews, DHS-AS found 71% of the seven AL providers reviewed were in full compliance while the other two AL settings and all 29 ADH settings were not in compliance but could be with modifications. Examples of reasons a setting did not comply include the lack of community outing opportunities; unclear opportunities to provide change in Member needs and preferences; secure places for personal belongings; removal of gates, locked doors or other barriers to allow access to areas to the same degree of those not receiving HCBS; providing members with information regarding how to update or change services and/or providers. Providers received feedback directly regarding agency specific findings. In addition, a statewide overview of common findings and pertinent training reminders was provided at the Fall 2016 Regional Provider Trainings to assure 100% compliance.

DHS-AS Medicaid Services Unit has developed Adult Day Health (ADH) and Assisted Living (AL) Consumer-Focused Quality Care Review (C-FQCR) tools using exploratory questions as a guide for the HCB settings section of the C-FQCR tool. A C-FQCR tool was used to review Assisted Living provider settings in SFY16, while an Adult Day site visit report was used

for ADH provider settings in SFY16. Updates to the Assisted Living C-FQCR tool have been made and an Adult Day Health C-FQCR tool was developed for use in SFY17 and subsequent review years. The C-FQCR tools are based on the ADvantage Program contractual documents, Oklahoma Administrative Code (OAC), Oklahoma statutes, and HCBS Final Rules. The tools are designed to measure provider compliance with defined standards and adherence to the waiver requirements, including Member choice of services and provider, training, compliance with delivery of services as authorized. As a measure to further validate findings, the tool will also survey the member's perception of service delivery performance and support to integrate into the greater community. Each SFY17 review will include a remediation plan of correction that the agency completes, as well as progress reports if there were any non-compliance issues with any of the requirements. The provider review team is responsible for monitoring and tracking the provider's progress in complying with the performance measures, HCB settings requirements, and any necessary remediation. MSU-QAI staff has received trainings provided by CMS through various webinars. Annual and ongoing review staff training will be provided on the usage of the C-FQCR tool, user instructive material, policy, and CMS rules. Seasoned reviewers participate at least yearly in interrater reliability demonstration training; new reviewers are assessed more frequently at milestones in orientation training through interrater reliability activities with various reviewers.

Compliance Determination

During SFY 16, HCB settings compliance was determined using a site visit report for Adult Day Health Centers and a C-FQCR tool for Assisted Living Centers. In order to be considered fully compliant, the HCB settings score had to be 100% on the respective tool. HCB settings scores below 100% were reviewed to designate whether the setting could comply with modifications. Non-compliance was defined as an agency that could not comply with modifications. All ADvantage agencies scoring below 100% were determined to be able to comply with minor modifications.

Individual, Private Home

The Department of Human Services Social Worker and Long Term Care (LTC) Nurse complete both financial and medical criteria, respectively, to evaluate eligibility for the ADvantage Program. A Uniform Comprehensive Assessment (UCAT Part III) is completed, in the home of each applicant by the LTC Nurse initially and annually by the individual's Case Manager. Using the UCAT III as a tool in the home to evaluate health and safety, the LTC Nurse and Case Manager obtain information relevant in the assessment of compliance with Home and Community Based (HCB) settings requirements including setting choice and access to the greater community including a section that asks "if you could not continue to live in your present location, do you have any ideas about where you would live?" The tool is designed to ask probing questions regarding activities of daily living (ADLs) and instrumental activities of daily living (IADLs) to aid in the development of the member driven person-centered service plan. During this initial assessment, the member chooses their desired providers and offers input to the services in their person-centered service plan. The LTC Nurse and Case Manager use the UCAT Assessor Manual to complete the form. Additionally, case management training is a requirement for ADvantage Case Management certification. A full day is devoted to the UCAT which requires the assessor to review the Member's physical and mental health, functional abilities, social supports, and physical environment documenting safety and accessibility concerns. The assessment is extensive and allows the assessor to document all observations and professional determinations regarding the appropriateness of home and community based services and settings assuring that any setting even the private home overcomes the presumptions of compliance. If the member or applicant is in a setting that does not comply, the member or applicant will be advised of options of remediation, relocation to another setting, or other program options.

Population: All members with service plans active during the reporting period

Sample Size/Methodology: Random cumulative sample selected according to the percentage of members served by a single ADH/AL provider as a proportion of the total number of members served receiving ADH/AL services on the Waiver. The sample size is validated utilizing Raosoft Survey Design.

II. Assessment Process

Aging Services (AS), Quality Assurance and Improvement (QAI) staff review all applicable rules, provider contractual documents, lease agreements, as well as any other pertinent documentation before the on-site provider agency review. During the on-site provider agency review, AS-QAI staff review member charts, personnel records, other agency documentation, conduct observational review of the facility, interview members identified via random sampling procedure and evaluate this information in the context of appropriate and applicable contract standards, state, and federal rules. The Consumer-Focused Quality Care Review (C-FQCR) tool is utilized during the provider agency review. The tool has been revised to specifically address requirements for home and community based settings. After compiling the findings from the provider agency review, the AS-MSU QAI lead reviewer conducts an Exit conference with the provider agency presenting the findings and the preliminary provider report. The provider is given an opportunity to provide refuting documentation at that time. Any refuting documentation is considered and the provider is provided a Final Review Letter with the Final Review Report and instruction for completing any required remedial action.

III. Remediation Strategy

Remediation

Any provider who scored below 100% on these HCB settings compliance reviews will be required to complete a plan of correction developed by the review team, complete two progress reports over a 6-month period and receive a follow-up visit. The plan of correction includes the identification and cause of the problem, the proposed action/intervention, a monitoring plan, the person accountable, the implementation and projected completion dates and the expected outcome. The progress reports include the status of implementation, what data has been collected, the collection date and the person accountable. The plan of correction is submitted within 30 days from the date that the final reports are mailed to the agency and the progress reports are due every 30 days after the plan of correction is approved by the Programs Assistant Administrator of the Quality Assurance/Improvement department or designee. The follow-up review is completed during the month following the final progress report and includes only those conditions that require a plan of correction. All annual AL and ADH reviews for SFY18 must be completed by June 30, 2018, and remediation for HCB settings requirements and follow-up confirmation of full compliance must be confirmed by November 30, 2018 for AL and December 31, 2018 for ADH allowing appropriate time for relocation activities as necessary. Remediation will continue as a regular part of the methodology for continuous monitoring for quality assurance and improvement as outlined above.

Improvement

Full compliance is requested for all HCB setting requirements, as well as other performance measures to be evaluated during the review. During the transition period DHS Aging Services staff will work with providers to come into full compliance on all HCB settings by December 31, 2018 in accordance with the timeline for relocation below. Trainings have been conducted with providers, including separate trainings with ADH and AL Providers during the fall of 2015 to explain the monitoring method and answer any questions. Regional Provider Trainings were held throughout the state during the month of September 2016. Trainings were held on September 7, 2016 in Tulsa, September 8, 2016 in McAlester, September 14, 2016 in Norman, and September 15, 2016 in Lawton. The Regional Trainings provided continual education on this review process and devoted much focus to requirements of the final rule. Providers continue to receive training at least annually regarding Quality Assurance and Improvement changes and reminders.

Plan for Relocation

1. Each Member has an individualized person-centered service plan, prepared by the ADvantage Case Manager in conjunction with the Interdisciplinary Team (IDT), completed during each service plan year or when living arrangements are modified. One section of the service plan is life transition planning. In this area, contingency plans list choices by the member if they can no longer stay at the assisted living and the supports available to assist with this transition.
2. Each Member has an individualized person-centered services backup plan crafted by the ADvantage Case Manager in conjunction with the IDT team completed during each service plan year or when living arrangements are modified. This services backup plan includes contingency plans for direct care assistance, critical health and supportive services, equipment repair or replacement, medications, DME supplies, transportation, etc. First, second, and third tier designated backups are also listed on the plan. The plan is signed by the member, ADvantage Case Manager and any witnesses, if applicable.
3. Should the setting fail to meet compliance, members, ADvantage Case Managers and the IDT will strategize utilizing the contingency plans included in the person-centered service plan as a basis for identifying possible living options available in the community. Immediate coordination with the ADvantage Case Manager and all other IDT members requested by the member are critical in evaluating the wishes of the Member and the options available to them. Some of the options available would be as follows:

Assisted Living

- Transferring to another certified ADvantage Assisted Living Center
- Home with HCB services and informal supports
- Home with Adult Day Health services
- Explore all assistance and living arrangements with family, friends
- Nursing facility placement (if necessary)

Adult Day Health

- Transferring to another Adult Day Health facility
- Remaining in the home with PCA services in place, in conjunction with informal supports
- Move to a certified ADvantage Assisted Living Center
- Explore all assistance and living arrangements with family, friends.
- Nursing facility placement (if necessary)

IV. Plan of Action

The proposed plan of action is contingent upon CMS approval of the plan.

| SFY | Start Date | End Date | Milestone | Plan of Action |
|--------|-------------|------------|-----------------------------|---|
| SFY 15 | August 2014 | March 2015 | All Baseline Data Collected | The State will obtain baseline data using provider performance self-assessments. Baseline provider self-assessments were completed utilizing the exploratory questions from the CMS Rule toolkit. |

SFY 15 March 2015 March 2015 Public Meeting The State hosted its first public meeting regarding the requirements of the Final Rule and the Statewide Transition Plan process.

SFY 15 April 2015 April 2015 Public Meeting The State hosted its second public meeting to discuss the draft version of the State's initial Statewide Transition Plan.

SFY 15 May 2015 May 2015 Submission of Initial SWTP The State submitted its first version of the Statewide Transition Plan

SFY 16 August 2015 August 2015 Provider HCB Settings Compliance Training The State (DHS Aging Services and DHS Developmental Disabilities Services) met with Adult Day Health Providers, reviewed the Final Rule, and the On-Site Visit Report that would be used to assess compliance with HCB Settings. Allowed providers opportunities for Questions and Answers.

SFY 16 October 2015 October 2015 Provider HCB Settings Compliance Training The State (DHS Aging Services) met with Assisted Living Providers, reviewed the Final Rule, and the Consumer-Focused Quality Care Review (C-FQCR) tool that would be used to assess compliance with HCB Settings and other contractual requirements. Allowed providers opportunities for Questions and Answers.

SFY 16 December 2015 December 2015 Public Meeting The State hosted its third public meeting to inform stakeholders and the public of the feedback garnered from the CMIA letter and begin the development of a plan to amend the initial Statewide Transition Plan.

SFY 16 April 2016 April 2016 Follow-up/Preliminary Site Review (Assisted Living Settings) The State assessed all Assisted Living Providers during on-site monitoring visits and through the annual provider review process. Data was collected and analyzed to further determine compliance with the Final Rule.

SFY 17 September 2016 September 2016 Regional Provider Training The State (DHS Aging Services) met with all interested ADvantage providers, reviewed the Final Rule, and the Consumer-Focused Quality Care Review (C-FQCR) tools for Assisted Living and Adult Day Health providers that would be used to assess compliance with HCB Settings. The State also reemphasized Person-Centered Planning and its impact and every phase of service delivery.

SFY 17

October 2016 October 2016 Follow-up/Preliminary Site Review (Adult Day Health Settings) The State assessed all Adult Day Health Providers during on-site monitoring visits and through the annual provider review process. Data was collected and analyzed to further determine compliance with the Final Rule.

SFY 17 November 2016 November 2016 Submission of Revised Statewide Transition Plan (Initial Approval) The state submitted its revisions to the Systemic Assessment portions of the Statewide Transition Plan for initial approval.

SFY 17 January 2017 January 2017 Public Meeting The State hosted a public meeting in January to discuss and garner feedback from Stakeholders pertaining to the latest version of the SWTP.

SFY 17 February 2017 February 2017 Submission of Revised Statewide Transition Plan (Final Approval)

SFY 17 July 2016 June 2017 New Tool Developed The State will be utilizing a new tool in July 2016 for Adult Day Health and an amended tool for Assisted Living for the purpose of ongoing monitoring. These new/amended tools will include a review of provider agency contractual documents, Oklahoma Administrative Code (OAC), Oklahoma statutes, and HCBS Final Rule. The State will work with providers to identify ways to achieve compliance within required timeframes. The State will provide ongoing training and consultation to providers to ensure providers are working toward successful methods for achieving compliance.

[SFY 18] July 2017 June 2018 Completion of Annual Reviews (All Settings Types) The State will continue to monitor providers' compliance through the provider performance review process. Any provider that scores below 100% on the provider review will be required to complete a plan of correction.

SFY 19 November 2018 November 2018 Remediation of non-compliance complete (Assisted Living) All remediation for non-compliance with HCB settings requirement including Plan of Correction, Progress Reporting and Follow-up visits completed by this date for Assisted Living providers

SFY 19 December 2018 December 2018 Remediation of non-compliance complete (Adult Day Health) All remediation for non-compliance with HCB Settings requirement including Plan of Correction, Progress Reporting and Follow-up visits completed by this date for Adult Day Health providers

SFY 19 December 2018 December 2018 Notifications of Decertification Sent (Assisted Living) Notices will be sent advising of the decertification of the Assisted Living contract with the MSU-AA, in conjunction with the Oklahoma Health Care Authority.

SFY 19 January 2019 January 2019 Notifications of Decertification Sent (Adult Day Health) Notices will be sent advising of the decertification of the Adult Day Health contract with the MSU-AA, in conjunction with the Oklahoma Health Care Authority.

SFY 2019 March 2019 March 2019 Relocation Completed All settings that are not fully compliant with the HCB settings regulation will be identified and individuals receiving HCBS in those setting will be relocated to a compliant setting. Ongoing Education Trainings, provider education, and technical assistance was provided throughout the SWTP process beginning in FY15 and beyond. It will continue throughout the transition period and after the transition period has ended.

V. Baseline Assessment Process and Results

Baseline assessments were completed from August 2014 to March 2015. Providers received a survey via electronic mail and follow-up phone calls. The survey consisted of questions from the CMS Final Rule Exploratory Questions document. Follow-up calls were made to ensure that providers completed the survey in the allotted timeframe. Surveys were sent to the entire NFLOC waiver settings locations. There was an 80% response rate on the survey. The State did reach out to those providers that did not respond to the survey. It was estimated based on the baseline provider self-assessments that at least 75% of all settings comply with the HCBS Final Rule and 25% are non-compliant. A more detailed overview of the baseline provider self-assessment survey results can be found in Appendix E. In an effort to validate the baseline findings, the State conducted a follow-up assessment that included all providers in the AL and ADH settings. The State assessed these individuals during on-site monitoring visits and through the annual provider review process discussed in Section B.I that includes a site visit and Member perception survey. The C-FQCR tool was used to review Assisted Living provider settings in SFY16, while an Adult Day site visit report was used for ADH provider settings in SFY16. The findings from the follow-up review indicated that most providers need minor adjustments to become fully compliant with the HCBS final rule. Further details concerning the results of the assessment can be found in Appendix E.

During annual reviews, if a setting is found to not fully comply and unable to complete remediation activities within required timeframe, the state will implement the relocation plan with the above referenced timeline.

VI. NFLOC Heightened Scrutiny

DHS-AS MSU-AA QAI team used the Final Rule and exploratory questions for residential and non-residential settings to identify settings that are presumed not a home and community based setting. The facilities identified for heightened scrutiny are listed in Appendix F with the reason for heightened scrutiny. The assessments developed using the CMS exploratory questions, in Appendix F demonstrate the State's evidence for each setting meeting the qualities of home and community based settings. Detailed reports of heightened scrutiny finding can be found in Appendix F. All ADvantage Assisted Living and Adult Day Health providers were reviewed using CMS guidelines for facilities to Not be or Presumed Not to be HCB Settings. All ADvantage providers were determined to be a HCB setting. Those identified with the CMS guidelines for facilities that are Presumed Not to be HCB Settings were further reviewed line by line with the exploratory questions by the DHS-AS MSU-AA QAI team and evidence was submitted demonstrating the setting had qualities of an HCB setting and did NOT have institutional qualities.

Section C: ICF/ID Waivers

Introduction

Oklahoma operates four home and community based waivers which require an ICF/ID level of care. Average monthly enrollment in these waivers is approximately 5,382. In accordance with Title 340 Chapter 100 of the Oklahoma Administrative Code (OAC), the ICF/ID level of care is mutually exclusive from the nursing facility levels of care, which are necessary for enrollment in the waivers administered and operated by DHS DDS. The State conducted a review of all of its applicable State statutes, administrative rules, approved waivers, provider requirements, and service specifications. The results of the State's systemic review are located in Appendix B.

The following are the approved ICF/ID Waiver Programs. Daily operation of each of these waivers is the function of the Oklahoma Department of Human Services – Developmental Disabilities Services.

Community – Serves individuals who are 3 years of age and older who have intellectual disabilities and certain persons with related conditions who would otherwise require placement in an ICF/ID.

Homeward Bound – Serves individuals who are 18 years of age and older who have intellectual disabilities and certain persons with related conditions who (1) would otherwise require placement in an ICF/ID; and (2) have been certified by the U.S.

District Court for the Northern District of Oklahoma as being members of the plaintiff class in Homeward Bound et al. v. The Hissom Memorial Center et al., Case No. 85-C-437-e.

In-Home Supports Waiver for Adults – Serves the needs of individuals 18 years of age and older with intellectual disabilities who would otherwise require placement in an ICF/ID.

In-Home Supports Wavier for Children – Serves the needs of children ages 3 through 17 years with intellectual disabilities who would otherwise require placement in an ICF/ID

I. Assessment Methodology & Continued Monitoring

The Oklahoma Department of Human Services (DHS), Developmental Disabilities Services Division (DDS), Quality Assurance department conducts an annual on-site performance survey with all agencies providing services through the ICF/ID Home and Community Based Waivers. Performance surveys are conducted to assess compliance with all relevant rules and policies. Performance surveys are conducted each fiscal year. The performance survey includes an evaluation of information obtained from observations, interviews with both members and providers, and records reviewed in the context of appropriate and applicable contract standards, state, and federal rules. In accordance with current ICF/ID waiver renewal language, Raosoft is used to obtain the appropriate sample size. Once the sample size is ascertained this information is sent to the DHS

Office of Planning, Research, and Statistics to select the random sample of waiver members. Utilizing Statistical Package for the Social Science (SPSS) SPSS software, individual waiver members are randomly selected. The Quality Assurance department then identifies all provider agencies and setting types that coincides with the waiver member sample. Notification is given to provider agencies of when the performance survey will be completed. The Quality Assurance department completes all performance surveys via on-site visits. The on-site visits are conducted at the individual settings where the member receives their HCB services. Individual locations are reviewed by the Quality Assurance department, thereby accounting for the providers who have more than one setting. Performance surveys are completed on an annual basis; however the survey has only recently been updated to reflect the settings requirements in the HCBS Final Rule. In SFY 16, the Quality Assurance department collected the baseline data pertaining to the HCBS settings requirements. The Quality Assurance department will continue to assess settings requirements in provider surveys on an annual basis hereafter.

The Developmental Disability, Quality Assurance department, also conducts an Area survey and has designed a Case Management Survey in an effort to further validate the Performance Survey conducted annually. The Area survey is conducted utilizing the same representative sample reviewed for the Performance surveys. The Area survey review compliance of the HCBS settings rules as it pertains to person centered planning. Data is analyzed to reflect compliance data received and reviewed during the provider performance survey process. The Quality Assurance department has designed a new Case Management review tool that will be used annually to assess 100% of members served in the four ICF/ID waivers. The data will be used to validate the results of the performance surveys, as they will be focused on member perception and experience with services received. The DDS Quality Assurance staff also plan to utilize the NCI data as a means of statistical validation. The staff will compare the results of this data with data gathered from the performance survey. Any statistically relevant discrepancies will be further investigated. All new Quality Assurance staff is required to complete 60 hours of classroom training and 180 hours of on the job training that includes shadowing a senior quality assurance staff member. After the initial 180 hours of on the job training is completed, quality assurance staff participates in 8 hours of additional training with his or her supervisor. Quality assurance staff is provided quarterly training on policy and procedural updates. An annual performance survey is conducted with agencies providing services through a Home and Community Based Waiver, to assess compliance with expectations defined in the agency's contract. A random sample is selected by DHS Office of Planning, Research and Statistics utilizing SPSS software. Surveys are conducted during each state fiscal year with providers of residential, vocational, or non-medical home supports. A representative sample of service recipients from each of the four waivers is selected and then organized by provider agency who serves each service recipient included in the random sample. Notification is given to providers in the survey sample of when the survey will be completed. Surveys are completed through on-site visits.

Individual, Private Home

Members who reside in individual, private homes are included in the provider survey sample universe. Based on the data collected in SFY 16 and the data collected thus far in SFY 17, it reveals that individual residences are in compliance with the HCBS Final Rule on settings. There are currently no potentials for heightened scrutiny.

Population: Members with active service plans during the reporting period (All waiver members, in all waivers)

Sample Size/Methodology: Random cumulative sample selected according to the percentage of Members served in each of the ICF/ID waivers. Sample size will be validated utilizing Raosoft Survey Design.

II. Assessment Process

Developmental Disabilities Services (DDS) Quality Assurance staff review all applicable rules and provider contracts before the site visit. During the site visit, DDS Quality Assurance staff observes and conducts interviews with service recipients and staff involved in each type of service provided by the agency. Observations and interviews occur during various times of service delivery. Quality Assurance staff members evaluate information obtained from observations, interviews, and records reviewed in the context of appropriate and applicable contract standards, state, and federal rules. The survey tools utilized by the Quality Assurance team have been revised to specifically address requirements for home and community based settings. Once the site visit is complete, the DDS Quality Assurance team conducts an Exit conference with the provider agency, where the findings of the review are presented. The proposed action steps and timelines for the SWTP are outlined below in the Plan of Action Section.

III. Remediation Strategy

Provider agencies surveyed by DDS Quality Assurance Staff are given two weeks after the exit conference to send the Quality Assurance Staff a written response that identifies a date by which the agency will comply with cited requirements. The projected resolution date must be within two months of the exit conference. During SFY 17 Provider agencies that receive citations for non-compliance will be re-surveyed to assess resolution of identified contract and rule deficiencies. Each agency is re-reviewed 60 days after the original survey. DDS staff will continue to work with individual providers to achieve compliance until compliance is reached. During SFY 18, if provider agencies receive citations for non-compliance, sanctions will be imposed, and the process of relocating waiver members will commence.

Plan for Relocation

Each Member has an individualized person-centered service plan, prepared by the Case Manager in conjunction with the Interdisciplinary Team (IDT), completed during each service plan year or when living arrangements are modified. Waiver members may not remain in a non-compliant setting. Immediate coordination with the Case Manager, the IDT Team members, and the member will be critical in determining the options available. Choices of other compliant settings will be made available to the member. The member will have the opportunity to visit each of his or her choosing and will make a final selection. Waiver member will be relocated prior to March 17, 2019. Options available to the member include continuing to receive the same supports in another setting that is fully compliant with the HCBS settings or changing the supports he or she receives based on the person-centered plan. Oklahoma DDS staff will follow person-centered planning in the transition process. Individuals will have choice among qualified providers, settings and be provided opportunities to visit several settings and given information to help them understand the various options available. Individuals will be relocated as necessary by March 15, 2019.

IV. Plan of Action

The proposed plan of action is contingent upon CMS approval of the plan.

SFY Start Date End Date Milestone Plan of Action

SFY 14 - 15 April 2014 June 2016 Training & Education Participated in several Final Rule trainings and survey development meetings.

SFY 15 March 2015 March 2015 Public Meeting The State hosted its first public meeting regarding the requirements of the Final Rule and the Statewide Transition Plan process.

SFY 15 April 2015 April 2015 Public Meeting The State hosted its second public meeting to discuss the draft version of the State's initial Statewide Transition Plan.

SFY 15 May 2015 May 2015 Submission of Initial SWTP The State submitted its first version of the Statewide Transition Plan

SFY 16 July 2015 September 2015 Collected the first quarter of Baseline Data The State obtained the first quarter of baseline data utilizing settings requirements in the provider performance surveys

SFY 16 July 2015 June 2016 All Baseline Data Collected The State obtained baseline data utilizing the updated survey to include settings requirements.

SFY 16 December 2015 December 2015 Public Meeting The State hosted its third public meeting to inform stakeholders and the public of the feedback garnered from the CMIA letter and begin the development of a plan to amend the initial Statewide Transition Plan.

SFY 17 July 2016 June 2017 Provider Performance Survey Assessments & an remediation necessary Completed The State continues to collect data and monitor compliance on settings requirements.

SFY 17 July 2016 June 2017 Case Management Review Assessments Completed. The State will utilize newly developed case management review assessments to validate the provider surveys.

SFY 17 October 2016 October 2016 Follow-up/Preliminary Site Review (Adult Day Health Settings) (in conjunction with Aging) The State assessed all Adult Day Health Providers during on-site monitoring visits and through the annual provider review process. Data was collected and analyzed to further determine compliance with the Final Rule.

SFY 17 November 2016 November 2016 Submission of Revised Statewide Transition Plan (Initial Approval) The state submitted its revisions to the Systematic Assessment portions of the Statewide Transition Plan for initial approval.

SFY 17 January 2017 January 2017 Public Meeting The State hosted a public meeting in January to discuss and garner feedback from Stakeholders pertaining to the latest version of the SWTP.

SFY 17 February 2017 February 2017 Submission of Revised Statewide Transition Plan (Final Approval)

SFY 18 July 2017 June 2018 Provider Survey Assessments & an remediation necessary Completed The State will continue to collect data and monitor compliance on settings requirements.

SFY 18 July 2017 June 2018 Case Management Review Assessments Completed. The State will utilize newly developed case management review assessments to validate the provider surveys.

SFY 18 July 2017 June 2018 Completion of Adult Day Health Reviews (in conjunction with Aging) The State will continue to monitor providers compliance through the provider performance review process. Any provider that scores below 100% of the provider survey will be required to complete a plan of correction.

SFY 19 September 2018 March 2019 Sanctions imposed for non-compliant settings The State will impose sanctions on settings that remain non-compliant according to contractual agreements.

SFY 19 September 2018 March 2019 Relocation from non-compliant settings. All settings that are not fully compliant with the HCBS settings regulation will be identified and individuals receiving HCBS in those setting will be relocated to a compliant setting.

SFY 19 November 2018 November 2018 Remediation of non-compliance complete (Adult Day Health) All remediation for non-compliance with HCB Settings requirement including Plan of Correction, Progress Reporting and Follow-up visits completed by this date for Adult Day Health facilities

SFY 19 January 2019 January 2019 Notifications of Decertification Sent (Adult Day Health) Notices will be sent advising of

the decertification of the Adult Day Health contract with the DDS - QA, in conjunction with the Oklahoma Health Care Authority.

V. Baseline Assessment Process & Results

First quarter provider surveys conducted during the period of July 2015 to September 2015 are being used for baseline information. This baseline assessment information was compiled utilizing the process outlined in the Assessment Methodology and Assessment Process Section above. The baseline information included the portion of the annual representative sample served by the provider agencies surveyed, which comprised 207 service recipients and 213 different settings. Assessment results indicate that 86% of settings assessed comply with the HCBS Final Rule and 14% do not comply. Since the submission of the amended Statewide Transition Plan (January 2016), the entire baseline provider surveys have been completed. The updated results can be found in Appendix G. According to the completed baseline data 94% of all settings are compliant and 6% of all settings could comply with modifications. For example, a member receiving employment supports considered to be isolating requires modification. The member must be provided opportunities for community inclusion and competitive employment. The employment provider is required to implement a plan to offer the member opportunities to seek employment and work in competitive integrated settings. Settings are found to be non-compliant when only one setting is found to not meet the HCBS settings requirements. For example, during the performance survey if 60 settings were reviewed and one setting was found to have not met the setting standard. The performance standard for this measure would be found as "Condition not Met." therefore not compliant with the settings standard. For those settings that were found to be non-compliant, the State will take the steps listed above in the Remediation Section to ensure compliance by March 2019. We estimate based on the baseline assessments that at least 85% of all settings comply with the HCBS Final Rule and 15% are non-compliant. Assessments are conducted to each provider on an annual basis, throughout the year, results are reported quarterly. A more detailed overview of the survey and the survey results can be found in Appendix G.

VI. ICF/ID LOC Heightened Scrutiny

Developmental Disabilities staff completed on site visits for all HCBS settings. Each setting was reviewed to ensure the setting was not in a public or privately operated facility that provides inpatient institutional treatment; and that the setting was not in a building on the grounds of, or adjacent to, a public institution. Each setting was also reviewed to determine if it isolated the member from the broader community. If the setting was determined to not be integrated and did not support the members full access to the greater community, the review team ensured that the modifications were and continue to be supported by a specific, assessed need, and justified in the person-centered plan.

Section D: Public Input

Oklahoma hosted meetings to include representatives from advocacy and stakeholder groups as well as the state agencies involved in operating its 1915(c) waivers. The purpose of the meetings was to plan the State's response to the new CMS rule for home and community based settings and to develop its approach to this statewide transition plan.

The Oklahoma Health Care Authority (OHCA) held a public meeting on March 10, 2015 to educate providers and stakeholders about the federal rules and the transition planning process, as well as to discuss preliminary survey results and answer questions. Final results of the surveys and transition plan was presented at the second public meeting on April 28, 2015.

OHCA held another public meeting on December 7, 2015 in an effort to make the public aware of the response letter from CMS concerning the Statewide Transition Plan, and the States process for making revisions and submitting the revised plan back to CMS. Stakeholders were made aware of the meeting through newspaper advertisements and the OHCA public website. The Public Meeting Notice was included in the 5 major Oklahoma Newspapers. The State did not receive any comments at the public meeting held on December 7, 2015. The option to submit a written comment in a non-electronic format was made available by the State on the State website (<http://www.okhca.org/individuals.aspx?id=16904>). The revised SWTP was posted to the OHCA website on December 15, 2015. There were no comments received.

As a means of garnering more public input for the SWTP, the State and its partner agencies reached out to the established stakeholder groups and community to participate in the development of the revised SWTP. The State sent information to over 100 stakeholders, requesting their participation in the development and review of the revised plan. The state also hosted a training of over 300 providers where the SWTP was an agenda item. The State solicited feedback from the providers in attendance at the training. The majority of the comments received were related to HB 1566, the proposal of implementing managed long term care in the State. Other comments received requested clarification on the determination of compliance for certain State policies. The State added language in the SWTP that clarifies the relationship of the HCBS Final rule with the proposed managed care implementation. The State also revised the systemic assessment grid to clarify the appropriate compliance determination for the State policy in question. The revised SWTP was posted to the OHCA website on October 5, 2016. The revised SWTP was posted from October 5, 2016 to November 7, 2016. The current SWTP and each iteration of the SWTP can be found at <http://okhca.org/xPolicyChange.aspx?id=19561&blogid=68505>. The State provided an avenue to submit comments via electronic and non-electronic means. Written comments are accepted and can be sent directly to the Oklahoma Health Care Authority via postal mail. A non-electronic version of the posting can also be requested by phone or mail and sent via postal mail.

Stakeholders were sent a notification of invite to the public posting. OHCA also sends an automatic notification of any new postings requiring public comment to all those who are signed up to receive notification. Each of the State partner agencies has also worked to inform individuals and providers about the public posting during meetings, trainings, and conferences. Members and providers are knowledgeable of the option to receive a non-electronic version of the SWTP as well as provide comments in a non-electronic format. The State received four comments from the 30 day posting for public comments on October 5, 2016. The SWTP was updated to include the comments received and the States responses to those comments. Modifications were made to the SWTP and other changes will be made in the submission of the SWTP for final approval based on the comments received. The comments and responses can be found in Appendix I. To summarize, the comments expressed concerns with the SWTP and the current service system delivery structure and methodology, in particular with the lack of clarity regarding how expectations, pertaining to employment and community integration will impact the individual's right to choose services and settings. Additional comments viewed the current living arrangements of service recipients to already allow for choice, but had questions about the oversight and the process of how the determination is made concerning an individuals' experience of that choice. The comments for the most part support the intent of the HCBS final rule, on the choice and integration of individuals; yet would like the State to account for the idea that community integration for some is difficult to accomplish and unwanted. Comments also expressed the need for additional time and resources to explore community integration of the non- verbal autistic population. As a means of providing more understanding and clarification of the purpose and intent of the Final Rule, the OHCA developed a webinar to be posted on the Statewide Transition Plan website that can be viewed at the leisure of individuals desiring more education and training about the rule. The SWTP will also be updated to reflect further clarifications about the issues raised in the comments received.

The State posted its Revised Statewide Transition Plan for Final Approval for public comment from December 22, 2016 to January 23, 2017. The State published information concerning the posting and public meeting to be held regarding the posting in all five major Oklahoma Newspapers. The option to submit a written comment in a non-electronic format was made available by the State. A public meeting regarding the Revised Statewide Transition Plan was held January 11, 2017. Those individuals that could not attend in person, were given the opportunity to participate via webinar. There was a total attendance of 71 participants. The State received 10 public comments. Comments reflected the providers desire to have more feedback regarding how many outings are required, to comply with the guidance to offer frequent and routine community integration as well whether there will be provider rate increase to help providers comply with the elements in the Final Rule. The State has made all of the comments received available in Appendix I. The State has responded to each comment received.

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

The following information is attached here as a result of exceeding the character limit in Appendix I-2-a (Rate Determination Methods)

Waiver members are informed about payment rates for services as the service plan is developed in a participant-centered manner with the member and designated representatives Each service plan covers one year of services, including the informal supports, and contains a summary of projected costs. The approved plan is distributed to the case manager, who in turn gives the approved plan to the waiver member. If a plan is amended due to changes in the member's goals or needs, the revised plan also includes all projected costs and payment rates.

Skilled Nursing:

The rate setting methodologies for nursing and skilled nursing services were reviewed in 2006. Two separate and unrelated circumstances prompt this request for a rate change for ADvantage Skilled Nursing services. First, the utilization of the per visit code for service plan development participation and assessment/evaluation has become increasingly problematic. This is because the time period of these encounters are extremely variable, yet, the code allows for only a fixed rate reimbursement. Consequently, this fixed rate often and increasingly fails to cover the skilled nursing costs incurred. The second event was the 55% increase, effective October 1, 2005, in the Medicaid State Plan Home Health benefit skilled nurse rate to which the waiver skilled nurse rates had previously been linked in policy. The rate methodology used to set the revised Medicaid State Plan Home Health benefit skilled nurse rate was based upon Medicare Home Health benefit rate tables and protocols. However, the skilled nursing services provided under the waiver and the Medicare program are not the same and agency providers of skilled nursing services under the ADvantage Program are not required to be Medicare certified providers and usually are not. In addition, changes in Medicaid State Plan Personal Care (SPPC) policy shift responsibility for skilled nursing assessment and service planning from state DHS nurses to provider agency nurses.

Effective January 2016 under the direction of CMS the code G0154 was split into two codes to differentiate levels of nursing services provided during a hospice stay and/or home health episode of care. The G0299 code represents direct skilled nursing

services of an RN and G0300 represents direct skilled nursing services of an LPN. At that time the State identified that the rate for the codes were sufficient and there was no need to consider a rate change at that time. In addition, Medically Fragile agreed to maintain parity between the waiver service programs in their core in-home services for, nursing and skilled nursing. Effective October 1, 2018, Skilled Nursing rates will increase from \$13.50 to \$13.91.

Therapy Services:

The rate setting methodology for therapy services were reviewed in September 2012. At that time ADvantage therapy service rates had not been increased since 1997. Per the rate brief, the average Consumer Price Index (CPI) had increased at an annual rate of 2.2% since 2006 and the price of gasoline, which is a major cost center for these services, has increased at an annual rate of 4.8% since 2006. SB1979 authorized \$1.5 million in appropriated funds for “an increase in reimbursement rates for the ADvantage waiver program” in FY13. The proposed rate increases honor this legislative intent. Therapy rates were increased from \$13.75 to \$20.00, for a total of a \$6.25 increase which equates to 45.5%. In addition, Medically Fragile agreed to maintain parity between the waiver service programs in their core in-home services for Physical Therapy, Occupational, and Speech/Language Therapy. The rates were determined by utilization of services, the last time a rate increase was done for those services, and a comparison of rates in other states. Effective October 1, 2018, Therapy rates will increase from \$20.00 to \$20.60.

d) Medical Equipment and Supplies

State’s response: The rate setting methodology for medical equipment and supplies were reviewed in July 2010; at this time the ADvantage program requested the establishment of fixed and uniform rates to ensure access to the service and ensure uniform reimbursement for such supplies.

Currently prices for incontinence supplies range from \$.24 to \$159.58. Due to the need for the price quoting and the wide variance in prices it seems practical to establish a fixed and uniform rate.

After researching other states, gathering information from the DME providers, the rates under procedure code are requested to assure that the state of Oklahoma is spending appropriate amounts for incontinence supplies for ADvantage Waiver members. New rates will be sufficient to cover providers costs of delivering the service based on comparisons of other states. In addition, Medically Fragile agreed to maintain parity between the waiver service programs in their core in-home services for medical equipment and supplies.

Institutional Transition Case Management Transitional Case Management

For case management services (to include institutional transition case management and transitional case management), those rates were addressed on the same brief as therapy services utilizing the same methodology. The proposed rates for these services bring the rates to between 85% and 90% of what the CPI indexed rate would be.

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:

Community Living and Quality Assurance Unit
(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:

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:

As indicated in section 1 of this appendix, the waiver is not operated by a separate agency of the State. Thus this section does not need to be completed.

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.:*

The contracted Fiscal Management Services (FMS) provider performs waiver administrative functions for members who self-direct some of their services with all payroll, spending plans, claims filed and processed and provider enrollment functions. Contracted Case Management (CM) agencies perform assessments for members who are referred to the Medically Fragile waiver from another home and community based services waiver to determine medical eligibility for enrollment.

The State is currently in the process of developing requirements to contract with a private entity through the RFP process to provide an electronic visit verification (EVV) system. This new system will be used by Medically Fragile services providers of Personal Care and Home Health services statewide. The system will be a time and attendance verification and tracking system supported through specialized telephony and GPS software. The

system will allow real-time tracking of service delivery with alerts for missed or late visits. The system will also provide a number of management reports for providers and the state to review service utilization.

- 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:

OHCA's Quality Assurance and Community Living Unit has the responsibility for assessing the performance of the FMS, Case Management agencies and EVV provider. The QA/CLS contract monitor is responsible assessing provider performance.

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:

The FMS and Case Management agency's performance is monitored by the QA/CLS contract monitor based on contract performance standards. The contractors are responsible for providing, at a minimum, monthly reports of activities furnished in support of waiver members. These reports are analyzed by the contract person. On a quarterly basis, the contract monitor assesses performance and reports findings to the Long Term Care Quality Initiative Council (LTCQIC). The State will also on a quarterly basis consider member complaint data recorded in the Member Inquiry Tracking System in evaluating contractor performance. Although contractor performance is monitored daily and on going by the contract monitor a formal performance assessment of these contractors occur at least twice each year in the semi-annual readiness review for contractors and the provider performance review.

The contracted Electronic Visit Verification (EVV) system provider will be monitored according to the process described above. QA/CLS contract monitor will review on an ongoing basis EVV reports submitted by the provider that will track service delivery including missed or late visits, claims payments, use of unauthorized phone for tracking service delivery and voice authentication failures. A formal performance assessment of the EVV contractor will occur at least twice each year in the semi-annual readiness review for contractors and the provider performance review.

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 | Contracted Entity |
|--|-------------------------------------|-------------------------------------|
| Participant waiver enrollment | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Waiver enrollment managed against approved limits | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Waiver expenditures managed against approved levels | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Level of care evaluation | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Review of Participant service plans | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Prior authorization of waiver services | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Utilization management | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Qualified provider enrollment | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Execution of Medicaid provider agreements | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Establishment of a statewide rate methodology | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Rules, policies, procedures and information development governing the waiver program | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Quality assurance and quality improvement activities | <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 State's quality improvement strategy, provide information in the following fields to detail the State's 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:

Percentage of payroll functions reported monthly by the FMS that were submitted on time and in correct format as specified in the agreement with OHCA. Denominator: Total payroll function reports required. Numerator: Total reports received timely and in the correct format.

Data Source (Select one):

Reports to State Medicaid Agency on delegated Administrative functions

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 checked="" type="checkbox"/> State Medicaid Agency | <input type="checkbox"/> Weekly | <input checked="" type="checkbox"/> 100% Review |
| <input type="checkbox"/> Operating Agency | <input checked="" 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: FMS | <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 checked="" type="checkbox"/> State Medicaid Agency | <input type="checkbox"/> Weekly |
| <input type="checkbox"/> Operating Agency | <input checked="" 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 checked="" 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:

Number and percentage of spending plans administered by the FMS that followed Medicaid approved requirements. Denominator: Total number of spending plans administered. Numerator: Spending plans administered that followed Medicaid requirements.

Data Source (Select one):

Other

If 'Other' is selected, specify:

FMS monthly report

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

Performance Measure:

Number and percentage of Providers enrolled quarterly by the FMS that met provider qualifications prior to performing services for members choosing self-direction.

Denominator: Individual providers enrolled by the FMS to perform services for members choosing self-direction. **Numerator:** Providers that met qualifications prior to performing services.

Data Source (Select one):

Other

If 'Other' is selected, specify:

FMS monthly provider qualifications report

| 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 checked="" 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: FMS | <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 type="checkbox"/> Operating Agency | <input checked="" 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:

Number and percentage of members participating in self-direction whose spending plan utilization did not exceed approved service plan units. Denominator: Number of spending plans submitted for members participating in self-direction. Numerator: Number of spending plans that did not exceed approved service plan units.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Spending Plans

| 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 checked="" 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: FMS | <input checked="" type="checkbox"/> Annually | <input type="checkbox"/> Stratified Describe Group: <input type="text"/> |
| | | <input type="checkbox"/> Other |

| | | |
|--|---|----------------------------------|
| | <input type="checkbox"/> Continuously and Ongoing | 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 type="checkbox"/> Operating Agency | <input checked="" type="checkbox"/> Monthly |
| <input type="checkbox"/> Sub-State Entity | <input checked="" 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:

Number and percentage of UCAT assessments completed timely for members who transition from another waiver program. Denominator: Number of UCAT assessments completed and submitted to waiver staff. Numerator: Number of UCAT assessments completed timely for members transitioning from another waiver program.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Dated UCAT Assessment

| 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 checked="" 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 | <input checked="" type="checkbox"/> Annually | <input type="checkbox"/> Stratified |

| | | |
|-----------------------|---|---|
| Specify: CM Agency | | 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 type="checkbox"/> Operating Agency | <input checked="" type="checkbox"/> Monthly |
| <input type="checkbox"/> Sub-State Entity | <input checked="" 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:

Number and percentage of reports submitted by EVV provider that were received timely, submitted as complete and in the correct format as specified in the provider agreement.

Numerator: Number of reports submitted by EVV provider that were received timely, submitted as complete and in the correct format. **Denominator:** Total number of reports required per contract.

Data Source (Select one):

Other

If 'Other' is selected, specify:

EVV Provider Reports

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

Performance Measure:

Number and percentage of days EVV system operates and supports the required business applications for performance and availability for use in accordance with provider agreement. Numerator: Number of days that availability for use met requirements. Denominator: Total number of days in report period.

Data Source (Select one):

Other

If 'Other' is selected, specify:

EVV Provider Performance Review

| 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: EVV Provider | <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 checked="" type="checkbox"/> Other Specify: Semi-annually | |

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 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 checked="" type="checkbox"/> Annually |
| | <input type="checkbox"/> Continuously and Ongoing |
| | <input checked="" type="checkbox"/> Other Specify: Semi-annually |

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.

An additional element of the State's quality improvement strategy is to make on site visits to the home of member's participating in self-direction when over utilization of approved services units is identified on the member's monthly spending plan. The visit is to re-educate and to better understand staffing patterns and to remediate any unmet need. Review of caregiver timesheets may also be conducted as needed when unexplained overages are detected.

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State's 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.

Quality Assurance and Community Living Services (QA/CLS) dedicated staff are responsible for program monitoring and oversight and will address individual problems as they are discovered with regard to operation and administrative functions that are performed by all contracted entities. Waiver staff will maintain administrative authority through the use of an electronic database designed for storing information received related to problems identified and resolutions of these matters. The Quality Assurance Community Living Service Contract Monitor will be directly responsible for remediating any problems pertaining to the OHCA's administrative authority. The QA/CLS Contract Monitor will work with the designated Contractor point of contact to resolve any problems in a timely manner. The QA/CLS Contract Monitor will have the use of penalties and sanctions in accordance with the terms of the contract. Problems requiring additional OHCA staff will be addressed in workgroups involving appropriate personnel to resolve issues timely and effectively. These problems and resolutions will also be reported in the LTCQIC meetings.

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 type="checkbox"/> Operating Agency | <input checked="" type="checkbox"/> Monthly |
| <input type="checkbox"/> Sub-State Entity | <input checked="" type="checkbox"/> Quarterly |
| <input type="checkbox"/> Other Specify: <input type="text"/> | <input checked="" type="checkbox"/> Annually |
| | <input checked="" 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"/> |

| Target Group | Included | Target SubGroup | Minimum Age | Maximum Age | |
|---|-------------------------------------|-------------------------------|-------------|-------------------|-------------------------------------|
| | | | | Maximum Age Limit | No Maximum Age Limit |
| | <input type="checkbox"/> | Disabled (Physical) | | | |
| | <input type="checkbox"/> | Disabled (Other) | | | |
| <input checked="" 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 checked="" type="checkbox"/> | Medically Fragile | 19 | | <input checked="" type="checkbox"/> |
| | <input checked="" type="checkbox"/> | Technology Dependent | 19 | | <input checked="" type="checkbox"/> |
| <input type="checkbox"/> Intellectual Disability or Developmental Disability, or Both | | | | | |
| | <input type="checkbox"/> | Autism | | | <input type="checkbox"/> |
| | <input type="checkbox"/> | Developmental Disability | | | <input type="checkbox"/> |
| | <input type="checkbox"/> | Intellectual Disability | | | <input 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 | 96 |
| Year 2 | 105 |
| Year 3 | 115 |
| Year 4 | 126 |
| Year 5 | 138 |

- 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).

Purpose(s) the State reserves capacity for:

| Purposes | |
|-------------------|----------------------|
| Other HCBS Waiver | <input type="text"/> |
| Emergency | <input type="text"/> |
| Program Age Out | <input type="text"/> |

Appendix B: Participant Access and Eligibility

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

Purpose (*provide a title or short description to use for lookup*):

Other HCBS Waiver

Purpose (*describe*):

If a member who is served in another HCBS Waiver has a change in their medical condition and meets criteria for the Medically Fragile waiver, that individual may be transitioned to this waiver program.

Describe how the amount of reserved capacity was determined:

The amount has been determined based on estimates furnished by program administrators involved in the operation of other waivers and programs.

The capacity that the State reserves in each waiver year is specified in the following table:

| Waiver Year | Capacity Reserved |
|-------------|-------------------|
| Year 1 | 5 |
| Year 2 | 5 |
| Year 3 | 5 |
| Year 4 | 5 |
| Year 5 | 5 |

Appendix B: Participant Access and Eligibility

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

Purpose (provide a title or short description to use for lookup):

Emergency

Purpose (describe):

If an individual is eligible for SoonerCare and meets the criteria for the Medically Fragile waiver and is experiencing a crisis or emergency, that individual may be transitioned to this waiver program. This enrollment will provide for home and community-based services to avert immediate risks to the member's health and welfare.

Describe how the amount of reserved capacity was determined:

The amount has been determined based on estimates furnished by program administrators involved in the operation of other waivers and programs.

The capacity that the State reserves in each waiver year is specified in the following table:

| Waiver Year | Capacity Reserved |
|-------------|-------------------|
| Year 1 | 2 |
| Year 2 | 2 |
| Year 3 | 2 |
| Year 4 | 2 |
| Year 5 | 2 |

Appendix B: Participant Access and Eligibility

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

Purpose (provide a title or short description to use for lookup):

Program Age Out

Purpose (describe):

If a member who is served in another SoonerCare program ages out of that program and meets the criteria for the Medically Fragile waiver, that individual may be transitioned to this waiver program.

Describe how the amount of reserved capacity was determined:

The amount has been determined based on estimates furnished by program administrators involved in the operation of other waivers and programs.

The capacity that the State reserves in each waiver year is specified in the following table:

| Waiver Year | Capacity Reserved |
|-------------|-------------------|
| Year 1 | 5 |
| Year 2 | 5 |
| Year 3 | 5 |
| Year 4 | 5 |
| Year 5 | 5 |

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:

The Medically Fragile Waiver provides for the entrance of all eligible persons on a first come first served basis.

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 spenddown 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:

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 five-year period beginning January 1, 2014, 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 December 31, 2018.

Note: The following selections apply for the time periods before January 1, 2014 or after December 31, 2018 (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: SSI 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 an entity under contract with the Medicaid agency.

Specify the entity:

- Other**
Specify:

An OHCA Population Care Management nurse or a Case Management agency nurse contracted by the State administers the Uniform Comprehensive Assessment Tool (UCAT) depending on whether or not the individual has had no previous waiver services or if they are transitioning from another HCBS waiver program; however an OHCA registered nurse reviews the UCAT and verifies the scores on the assessment to make the final determination of medical necessity and whether the individual meets Hospital/Skilled Nursing Facility level of care.

- 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:

A registered nurse or licensed practical nurse licensed in the State of Oklahoma with one year paid professional experience with aging and/or disabled populations or programs as a case manager, a rehabilitation specialist or health specialist and/or social services coordinator who has successfully completed the Uniform Comprehensive Assessment Tool (UCAT) training offered or approved by OHCA.

- 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.

(1) Level of care medical eligibility determination

The OHCA registered nurse or nurse designee determines medical eligibility for Medically Fragile program services based on the Uniform Comprehensive Assessment Tool and the determination of hospital/skilled nursing facility level of care as well as one or more of the following:

(A) There is a life threatening condition characterized by reasonably frequent periods of acute exacerbation which requires frequent medical supervision, and/or physician consultation and which in the absence of such supervision or consultation would require hospitalization.

(B) The individual requires frequent time consuming administration of specialized treatments which are medically necessary.

(C) The individual is dependent on medical technology such that without the technology a reasonable level of health could not be maintained. Examples include but are not limited to dependence on ventilators, dialysis machines, enteral or parenteral nutrition support and continuous oxygen.

(2) Minimum UCAT criteria. The minimum UCAT criteria for hospital or skilled nursing facility level of care criteria are delineated in the assessment tool.

(A) The UCAT documents that:

(i) the member has a clinically documented progressive degenerative disease process that will produce health deterioration to an extent that the person will meet eligibility criteria if untreated; and

(ii) the member previously has required hospital or skilled nursing facility level of care services for treatment related to the condition; and

(iii) a medically prescribed treatment regimen exists that will significantly arrest or delay the disease process; and

(iv) only by means of Medically Fragile program will the individual have access to the required treatment regimen to arrest or delay the disease process: otherwise, the individual could seek services in a hospital and/or nursing facility.

(B) The UCAT documents absence of support to meet the needs to sustain health and safety; and

(C) The UCAT documents need for assistance to sustain health and safety as demonstrated by ADLs in the high risk range.

(1) Level of care medical eligibility determination

The OHCA registered nurse or nurse designee determines medical eligibility for Medically Fragile program services based on the Uniform Comprehensive Assessment Tool and the determination of hospital/skilled nursing facility level of care as well as one or more of the following:

(A) There is a life threatening condition characterized by reasonably frequent periods of acute exacerbation which requires frequent medical supervision, and/or physician consultation and which in the absence of such supervision or consultation would require hospitalization.

(B) The individual requires frequent time consuming administration of specialized treatments which are medically necessary.

(C) The individual is dependent on medical technology such that without the technology a reasonable level of health could not be maintained. Examples include but are not limited to dependence on ventilators, dialysis machines, enteral or parenteral nutrition support and continuous oxygen.

(2) Minimum UCAT criteria. The minimum UCAT criteria for hospital or skilled nursing facility level of care criteria are delineated in the assessment tool.

(A) The UCAT documents that:

(i) the member has a clinically documented progressive degenerative disease process that will produce health deterioration to an extent that the person will meet eligibility criteria if untreated; and

(ii) the member previously has required hospital or skilled nursing facility level of care services for treatment related to the condition; and

(iii) a medically prescribed treatment regimen exists that will significantly arrest or delay the disease process; and

(iv) only by means of Medically Fragile program will the individual have access to the required treatment regimen to arrest or delay the disease process: otherwise, the individual could seek services in a hospital and/or nursing facility.

(B) The UCAT documents absence of support to meet the needs to sustain health and safety; and

(C) The UCAT documents need for assistance to sustain health and safety as demonstrated by ADLs in the high risk range.

In the event the individual does not meet eligibility criteria for the Medically Fragile waiver as determined by the Quality Assurance and Community Living Services (QA & CLS) review Committee; the Population Care Management Nurse Supervisor will forward the case and supporting documentation to an OHCA medical doctor for review and final determination.

If the individual's LOC determination or waiver criteria affiliation is denied, the member will be notified in writing as to their right to a fair hearing by the QA & CLS unit.

The level of care criteria for initial evaluations is the same criteria utilized for reevaluations.

- 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:

An OHCA nurse or provider agency case manager will administer an assessment using the UCAT instrument, establishing the level of care. The document is forwarded to OHCA for monitoring and tracking. OHCA Population Care Management Team will review and approve the member to be enrolled into the waiver if all medical criteria is met. This process is followed annually during member re-evaluation. If the member's level of care determination is denied, the member will be notified in writing as to their right to appeal and the right to a fair hearing by the Quality Assurance and Community Living Services Unit. All level of care determinations are established by the OHCA nursing staff.

- 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:

- 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*):

A clinician-designed system which alerts providers of re-evaluations due and provides a single view of member information for care coordination. This system is also used to edit and create reports for OHCA's QA/CLS and the Population Care Management team. One report that is generated by the system is the "re-evaluation due in 60 days

report," which serves as an alert to assist the State in ensuring that re-evaluations are performed timely. This function is an essential part of case management and is required as part of the annual service plan reevaluation process. The provider agency is required to track each level of care expiration date in order to meet the required sixty day renewal process.

- 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:

The OHCA Population Care Management Team and Provider Agency must maintain this information in accordance with record retention requirements as required by state law. The OHCA records are maintained within the MMIS and the clinician designed system. The provider agency is responsible for maintaining the documentation at the provider agency site for three years.

Appendix B: Evaluation/Reevaluation of Level of Care

Quality Improvement: Level of Care

As a distinct component of the State's quality improvement strategy, provide information in the following fields to detail the State's 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:

Number and percent of new enrollees who met level of care prior to receiving Medically Fragile Waiver Services. Denominator: Total number of new enrollees.

Numerator: Total number of new enrollees who met level of care.

Data Source (Select one):

Other

If 'Other' is selected, specify:

The clinician designed system and QA/CLS report

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

- 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:

Number and percent of members annual(re-evaluations) LOC determinations instruments that were completed as required by the State. Numerator: Total number of LOC determination instruments completed as required by the State. Denominator: Total number of annual LOC determinations.

Data Source (Select one):

Other

If 'Other' is selected, specify:

QA&CLS Reports and the clinician designed 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 type="checkbox"/> Quarterly | <input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/> |
| <input checked="" type="checkbox"/> Other Specify: CM Agency | <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 checked="" type="checkbox"/> State Medicaid Agency | <input type="checkbox"/> Weekly |
| <input type="checkbox"/> Operating Agency | <input checked="" type="checkbox"/> Monthly |
| <input type="checkbox"/> Sub-State Entity | <input checked="" 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:

Number and percent of member level of care determinations made where the approved instruments were applied appropriately and according to State requirements. Numerator: Total number of LOC determinations made where the approved instruments were applied appropriately and according to State requirements. Denominator: Total number of LOC determinations.

Data Source (Select one):

Other

If 'Other' is selected, specify:

QA/CLS Operational Report and the clinician designed 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 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: CM Agency | <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: 100%;" 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 type="checkbox"/> Operating Agency | <input checked="" type="checkbox"/> Monthly |
| <input type="checkbox"/> Sub-State Entity | <input checked="" type="checkbox"/> Quarterly |
| <input type="checkbox"/> Other Specify: <input style="width: 100%;" type="text"/> | <input checked="" type="checkbox"/> Annually |
| | <input type="checkbox"/> Continuously and Ongoing |
| | <input type="checkbox"/> Other Specify: <input style="width: 100%;" 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.

b. Methods for Remediation/Fixing Individual Problems

- i. Describe the State’s 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.

When the OHCA Population Care Management team detects non-compliance in administering the LOC instrument, the Care Management team will provide corrective training intervention to the nurse/case manager. The CM supervisor will review all level of care evaluations by the nurse/case manager until the supervisor has determined the nurse/case manager has demonstrated proper compliance in administering the level of care instrument. These performance issues are noted by the CM supervisor in the personnel file as appropriate.

- ii. **Remediation Data Aggregation**

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

| Responsible Party (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 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="checkbox"/> Annually |

| Responsible Party <i>(check each that applies):</i> | Frequency of data aggregation and analysis <i>(check each that applies):</i> |
|---|--|
| <input type="checkbox"/> | |
| | <input checked="" 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 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).

Each member is provided the Medically Fragile, Freedom of Choice form by the Case Manager, during service plan development, describing the member's right to review alternatives and choose either institutional or waiver services. The service plan is based on the findings detailed in the UCAT assesment and will help the individual understand the options available for participation in the waiver. The service plan is developed with the full participation of the individual and his/her legal guardian or other representatives and is completed before the member enters the program.

Specifically, the individual service plan provides the following information:

- * all services, including objectives and expected duration of each service element, the individual's desired outcomes
- * the options and services available in the community
- * the benefits and services available through the waiver
- * informs the individual, his or her family members, legal guardian, advocate or other representative about the benefits, risks and alternatives to planned services
- * freedom of choice to reside in a qualified community residence (A qualified community residence is defined as a home leased or owned by the individual; an apartment leased by the individual; the home of a relative/family member or a residence in which no more than four individuals reside).
- * a source of income
- * accessible health care
- * transportation
- * access to peer support
- * access to natural support (if available)

- 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 Medically Fragile, Freedom of Choice form must be completed and signed upon initial entrance into the waiver, as the member request changes in service providers and at the member's annual re-assessment. These documents will be maintained in the member's file with the case management agency and a copy will be sent to waiver staff for tracking and will be maintained for a minimum of three years as specified in the OHCA records retention policy and 45 C.F.R. 92.42.

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):
OHCA has contracted access to a language line through its enrollment broker contract. Additionally, OHCA employs bilingual staff, who speak English and Spanish or English and Vietnamese to assist the members and/or provider agency staff with any language needs.

OHCA performs a quarterly analysis of race and ethnicity of all 1915(c) waiver members to determine if prevalence of a specific population is established. OHCA considers ten percent a threshold for preparing materials in other languages. In July 2017 the Hispanic population in 1915(c) waivers comprised 2.50% of the total in these waivers. No other race or ethnicity has been identified that would require translation to a language other than English. However, OHCA remains committed to ensuring that meaningful access to the waiver is afforded to persons with limited English proficiency. OHCA will continually survey/assess the needs of eligible service populations in order to determine whether certain critical outreach materials should be translated into other languages. Further, OHCA will provide assistance as needed to assist persons with Limited English Proficiency with access to services.

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 | Case Management | | |
| Statutory Service | Personal Care | | |
| Statutory Service | Respite | | |
| Extended State Plan Service | Prescribed Drugs | | |
| Other Service | Advanced Supportive/Restorative Assistance | | |
| Other Service | Environmental Modifications | | |
| Other Service | Home Delivered Meals | | |
| Other Service | Hospice Care | | |
| Other Service | Institutional Transition Case Management | | |
| Other Service | Personal Emergency Response System (PERS) | | |
| Other Service | Private Duty Nursing | | |
| Other Service | Self-Directed Goods and Services (SD-GS) | | |
| Other Service | Skilled Nursing | | |
| Other Service | Specialized Medical Equipment and Supplies | | |
| Other Service | Therapy Services: Respiratory | | |
| Other Service | Therapy Services: Occupational | | |
| Other Service | Therapy Services: Physical | | |
| Other Service | Therapy Services: Speech | | |

| Service Type | Service |
|---------------|------------------------------|
| Other Service | Transitional Case Management |

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:

Service:

Alternate Service Title (if any):

HCBS Taxonomy:

Category 1:

Sub-Category 1:

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (Scope):

Case Management services are services that assist a member in gaining access to medical, social, educational or other services, regardless of payment source, that may benefit the member in maintaining health and safety. Case managers ensure that the individual's needs are met in self-direction through linkage, assessment, brokerage, advocacy and monitoring activities. Specifically, the case manager performs the following duties:

1. completes or arranges for necessary assessments to identify a member's needs;
2. has overall responsibility for the development and updating of the Individual Plan of Care;
3. describes service options in sufficient detail to assure that the service member, or parent or guardian if applicable, is able to make an informed choice regarding self-directed and agency services; Case Management for self-direction and regular case management are encompassed in this service.
4. coordinates and monitors services to determine effectiveness in meeting the needs of the member;
5. has the authority to implement approved services prescribed in the Plan and to access emergency or crisis services as defined by policy; and
6. documents findings in the clinical record.

Case Management providers shall also provide information and assistance in support of member-directed services. Case managers are responsible for informing members of the opportunity to self-direct services. In addition, the Case Managers make an initial determination of member's ability to meet criteria for participation of self-directed services.

Providers of HCBS for members, or those who have an interest in or are employed by a provider of HCBS for

members must not provide case management or develop the person-centered service plan, except when the State demonstrates that the only willing and qualified entity to provide case management and/or develop person-centered service plans in a geographic area also provides HCBS.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and prior authorized in accordance with the service plan.

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 | Case Management Agency |

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Case Management

Provider Category:

Agency ▼

Provider Type:

Case Management Agency

Provider Qualifications

License (*specify*):

Certificate (*specify*):

Other Standard (*specify*):

•Qualified Provider Certification

Completion of curriculum requirements for a baccalaureate degree and one year paid professional experience with aging and/or disabled populations or programs as a Case Manager, a Rehabilitation Specialist or Health Specialist and/or Social Services Coordinator; or completion of degree program as a Registered Nurse or Licensed Practical Nurse and one year paid professional experience.

Training Requirements:

All Case Managers must successfully complete Case Manager Training offered or approved by OHCA. This training also incorporates identification of members who meet criteria for self-directed services, supports and education to be furnished to assist members who may choose to self-direct, assisting the member with modification of the service plan to incorporate self-directed services, supporting the member in a transition to self-direction or from self-direction to the use of agency services. The training informs the case manager about how to assist the member with establishing a budget and reviewing reports of services authorized and used. In addition, the case managers are trained on how to assess the member's satisfaction with self-directed services on an ongoing basis. Amount, frequency and duration of service are prior authorized in accordance with service plan.

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

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:Statutory Service **Service:**Personal Care **Alternate Service Title (if any):**



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:**Service Definition (Scope):**

Assistance with eating, bathing, dressing, personal hygiene activities of daily living. These services may include assistance with preparation of meals, but does not include the cost of the meals themselves. When specified in the plan of care, this service may also include such housekeeping chores as bed-making, dusting and vacuuming, or other tasks or errands which are incidental to the care furnished, or which are essential to the health and welfare of the individual, rather than the individual's family. Personal care providers must meet State standards for this service.

Personal care services under the State plan differ in service definition from the services offered under the waiver including provider training requirements and qualifications. Members served under the waiver have a higher level of care need than those individuals served under State plan personal care. Waiver members must meet skilled nursing facility or hospital level of care. The scope, nature and provider type including waiver certification require more quality planning and action by agencies delivering waiver personal care. This is not required for State Plan Personal Care service agencies. State Plan Personal Care is afforded to individuals with lower level of care needs than in this waiver.

Supervision of personal care providers will be furnished by a registered nurse, licensed to practice nursing in the State or by a licensed practical or vocational nurse, under the supervision of a registered nurse, as provided under State law or by the participant-employer of the personal care provider. This level of care is necessary because of the many direct, hands on care services to be furnished by Personal Care Assistants. This nursing supervision is billed as a skilled nursing waiver service. Frequency or intensity of supervision is determined by the service plan, and will be no less often than every 6 months. Duties of the Supervisor will include the following:

Utilize the plan of care to determine the training needs of the personal care assistant for each Member assigned and implement the plan of care that meets the needs of each Member.

Monitor the provision of personal care services and authorized RN visits to ensure that services are delivered in accordance with the services authorized in the Members service plan.

Complete a written evaluation of each Personal Care Assistants performance at least annually.

Communicate with the Case Manager regarding changes in Members condition and recommended changes in scope or frequency of service delivery.

Report any PCA suspected of abuse, neglect or exploitation to the Adult Protective Services staff of the Oklahoma Department of Human Services, the Attorney General Medicaid Unit and the Oklahoma State Department of Health.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and prior authorized in accordance with service plan. This waiver service is only provided to individuals age 21 and over. All medically necessary personal care services for children under age 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 Care Agency |
| Individual | Personal Care Assistant |

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Personal Care

Provider Category:

Agency ▼

Provider Type:

Home Care Agency

Provider Qualifications

License (specify):

Home Care Agency

63 O.S., Sec. 1 – 1961, et seq.

Certificate (specify):

Other Standard (specify):

- Qualified Provider Certification
 - The PCA is at least 18 years of age, has not been convicted of a crime as defined in 63 O.S., Sec. 1-1950 et seq., has no pending notation of abuse or neglect as reported by the Oklahoma State Department of Health Nurse Aide Registry, name does not appear on the DHS Community Services Workers Registry.
 - Demonstrates the ability to understand and carry out assigned tasks, has verifiable work history and/or personal references, has verifiable identification.
- Training Requirements: Demonstrates competency to a qualified evaluator to meet the personal care assistance needs of the individual member.

Nurse Supervision Requirements:

Registered nurse (RN) supervision of personal care services is a state requirement of the Medicaid Program. Each Medicaid provider agency must have an RN available to perform specific supervisory functions unless the plan of care includes only homemaker chore. If the plan contains homemaker chores only, the agency may designate the qualifications of the supervisor. While some of the nursing supervision functions may be delegated to a licensed practical nurse (LPN), as described below, the provider agency is still responsible for having registered nurse staff available to perform specified supervisory tasks.

At a minimum the provider agency must meet services quality monitoring and oversight requirements in accordance with OAC 310: 662-5-4. As part of the certification as a qualified provider of Home Care services, agencies are required to develop and implement a Continuous Quality Improvement (CQI) plan that details the quality safeguards the provider has designed to meet the State's requirements. The provider will be held accountable for following the Quality Self-Audit process for supervisory oversight of personal care services described in the individual provider's OHCA approved CQI plan. For Quality Self-Audit supervisory monitoring visits, the RN shall visit the member at home or determine that an LPN make the visit based upon the types of Personal Care services authorized in the member's plan of care.

The RN has the responsibility of determining the status of the present plan of care in meeting the member's needs. The LPN is under the direct supervision of the RN. This supervision includes a review and co-signature by the RN for all reports prepared by the LPN and consultation between RN and LPN as needed.

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment and annually

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Personal Care

Provider Category:

Individual 

Provider Type:

Personal Care Assistant

Provider Qualifications

License (specify):



Certificate (specify):



Other Standard (specify):

- Qualified Provider Certification
 - The PCA is at least 18 years of age, has not been convicted of a crime as defined in 63 O.S., Sec. 1-1950 et seq., has no pending notation of abuse or neglect as reported by the Oklahoma State Department of Health Nurse Aide Registry, name does not appear on the DHS Community Services Workers Registry.
 - Demonstrates the ability to understand and carry out assigned tasks, has verifiable work history and/or personal references, has verifiable identification.
- Training Requirements: Demonstrates competency to a qualified evaluator to meet the personal care assistance needs of the individual member.

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:

Statutory Service

Service:

Respite

Alternate Service Title (if any):

HCBS Taxonomy:

Category 1:

09 Caregiver Support

Sub-Category 1:

0012 respite, in-home

Category 2:

09 Caregiver Support

Sub-Category 2:

0011 respite, out-of-home

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (Scope):

Services provided to individuals unable to care for themselves; furnished on a short-term basis because of the absence or need for relief of those persons normally providing the care. The cost of room and board will not be covered except when provided as part of respite care in a facility approved by the State that is not a private residence. Respite care is provided in the following:

Individual's home or place of residence

Nursing Facility

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and prior authorized in accordance with service plan.

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 | Nursing Facility |
| Agency | Home Care Agency |
| Individual | Personal Care Assistant - Respite |

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Respite

Provider Category:

Agency

Provider Type:

Nursing Facility

Provider Qualifications

License (*specify*):

Nursing Facility

63 O.S., Sec. 1-1901, et seq.

Certificate (*specify*):

Other Standard (*specify*):

Qualified Provider Certification

Medicaid Provider Agreement

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to Enrollment and Annually

Appendix C: Participant Services

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

Service Type: Statutory Service

Service Name: Respite

Provider Category:

Agency **Provider Type:**

Home Care Agency

Provider Qualifications**License (specify):**

Home Care Agency

63 O.S., Sec. 1 – 1961, et seq.

Certificate (specify):


Other Standard (specify):

- Qualified Provider Certification
 - Respite provider is at least 18 years of age, has not been convicted of a crime as defined in 63 O.S., Sec. 1-1950 et seq., has no pending notation of abuse or neglect as reported by the Oklahoma State Department of Health Nurse Aide Registry, name does not appear on the DHS Community Services Workers Registry.
- Demonstrates the ability to understand and carry out assigned tasks, has verifiable work history and/or personal references, has verifiable identification.

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

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment and annually

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Statutory Service****Service Name: Respite****Provider Category:**Individual **Provider Type:**

Personal Care Assistant - Respite

Provider Qualifications**License (specify):**


Certificate (specify):


Other Standard (specify):

- Qualified Provider Certification
 - The PCA is at least 18 years of age, has not been convicted of a crime as defined in 63 O.S., Sec. 1-1950 et seq., has no pending notation of abuse or neglect as reported by the Oklahoma State Department of Health Nurse Aide Registry, name does not appear on the DHS Community Services Workers Registry.
- Demonstrates the ability to understand and carry out assigned tasks, has verifiable work history and/or personal references, has verifiable identification.
- Supervision of the individual is conducted by the participant-employer of the personal care provider. The participant-employer supervises the provider each time the personal care provider renders services.
- Training Requirements: Demonstrates competency to a qualified evaluator to meet the personal care assistance needs of the individual member.

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

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:

Extended State Plan Service ▼

Service Title:

Prescribed Drugs

HCBS Taxonomy:**Category 1:**

11 Other Health and Therapeutic Services

Sub-Category 1:

M060 prescription drugs ▼

Category 2:**Sub-Category 2:****Category 3:****Sub-Category 3:****Category 4:****Sub-Category 4:****Service Definition (Scope):**

Prescribed drugs available through the approved State plan will be provided, except limitations on amount, duration and scope specified in the plan will not apply. The State Plan prescribed drug benefits for waiver members include both brand and generic medications. Brand name drugs where no generic equivalent is available must be prior authorized. Prior authorization is also required on generic drugs in excess of State Plan and Extended State Plan benefits.

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

This waiver service is only provided to individuals age 21 and over. All medically necessary prescribed drug services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit. Exceptions to State Plan prescribed drug benefits with respect to amount, frequency and duration of service require a prior authorization. Prescribed drugs available under Medicare Part D will not be provided under the provisions of this waiver to members who are dual (Medicare/Medicaid) eligible. Extended State Plan prescribed drugs provided under the provisions of this waiver are in addition to the State Plan prescribed drugs benefit. The member's pharmacy may submit a written request on behalf of the member to have additional prescription needs reviewed. In addition to making a determination of a medical necessity for the additional prescription product(s) being requested, this review to be performed by the OU College of Pharmacy could result in a recommendation that certain medication regimens be altered or discontinued. Recipient co-payments will be required for each monthly prescribed drug. There is no co-payment for preferred generic medications. Co-payment amounts are as described in the State Plan.

The service is authorized in the member's service plan and is necessary to prevent institutionalization.

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 | Pharmacy |

Appendix C: Participant Services

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

Service Type: Extended State Plan Service
 Service Name: Prescribed Drugs

Provider Category:

Agency

Provider Type:

Pharmacy

Provider Qualifications

License (specify):

Pharmacy
 59 O.S., Sec., 353.9 et seq.

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:

Advanced Supportive/Restorative Assistance

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:****Service Definition (Scope):**

Advanced Supportive/Restorative Care are maintenance services provided to assist a member with a stable, chronic condition with activities of daily living when such assistance requires devices and procedures related to altered body function. The Advanced Supportive/Restorative Assistance does not perform any nurse functions.

Advanced Supportive/Restorative Care is a maintenance service and should never be used as a therapeutic treatment. Recipients who develop medical complications requiring skilled nursing services while receiving Advanced Supportive/Restorative Care should be referred to their attending physician, who may, if appropriate, order home health services.

Advanced Supportive/Restorative Care which may be performed are:

Routine personal care for persons with ostomies (including tracheotomies, gastrostomies and colostomies with well-healed stoma) and external, indwelling, and suprapubic catheters which includes changing bags and soap and water hygiene around ostomy or catheter site;

Remove external catheters, inspect skin and reapplication of same;

Use lift for transfers; Manually assist with oral medications which are set up by a registered or licensed practical nurse or family member;

Provide passive range of motion (non-resistive flexion of joint) delivered in accordance with the plan of care, unless contraindicated by underlying joint pathology;

Apply non-sterile dressings to superficial skin breaks or abrasions as directed by a registered or licensed practical nurse;

administer prescribed bowel program including use of suppositories and sphincter stimulation and

Use Universal Precautions as defined by the Center for Disease Control.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and prior authorized in accordance with service plan. This waiver service is only provided to individuals age 21 and over. All medically necessary Advanced Supportive/Restorative services for children under age 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 Care Agency |
| Individual | Advanced Supportive/Restorative Aide |

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Advanced Supportive/Restorative Assistance

Provider Category:

Agency ▼

Provider Type:

Home Care Agency

Provider Qualifications

License (specify):

Home Care License

63 O.S., Sec. 1-1961, et seq.

Certificate (specify):

Other Standard (specify):

- Qualified Provider Certification

- The ASR Aide is at least 18 years of age, has not been convicted of a crime as defined in 63 O.S., Sec. 1-1950 et seq., has no pending notation of abuse or neglect as reported by the Oklahoma State Department of Health Nurse Aide Registry, name does not appear on the OKDHS Community Services Workers Registry.

- Demonstrates the ability to understand and carry out assigned tasks, has verifiable work history and/or personal references, has verifiable identification.

Training Requirements: All Advanced Supportive/Restorative aides are required to receive the same basic personal care training as a Personal Care aide, and also must be given the following training prior to delivery of Advanced Supportive/ Restorative services:

The agency must provide Advanced Supportive/Restorative training specific to the care needs of the members receiving Advanced Supportive/Restorative services. The provider shall have written plans of the training; such training must include at a minimum the following topics:

- Observing the member and reporting observations;
- Application of ointments/lotions to unbroken skin;
- Supervise/assist with oral medications;
- Prevention of decubiti;
- Bowel program;
- Basic Personal Care for persons with ostomies and catheters;
- Range of motion exercises;
- Use of lift for transfers;
- Applying non-sterile dressings to superficial skin breaks; and
- Universal Precaution procedures as defined by the Center for Disease Control.

The agency must document the dates and hours of Advanced Supportive/Restorative training received by the Personal Care aide in the aide's personnel file.

Prior to performing any Advanced Supportive/Restorative task for any member for the first time, the aide must demonstrate competency in the tasks on the member's plan of care in a member-specific training session conducted by the registered nurse, or an LPN working under the direction of a registered nurse. The nurse must document the aide's competency in performing each task in the aide's personnel file. The RN/LPN visit required to conduct such training and testing is a billable visit as a

skilled nursing service.

The required demonstration of each advanced personal care task during a member-specific training session with an RN or LPN may not be waived. Advanced Supportive/Restorative aides must also receive annual in-service training.

The Advanced Supportive/Restorative Assistance agency shall have written documentation of all basic and in-service training provided which includes, at a minimum, a report of each employee's training in that employee's personnel record. The report shall document the dates of all classroom or individualized training, trainer's name, topics, number of hours, and location; the date of first unsupervised service delivery; and shall contain the worker's signature. If an agency waives the in-service training, the employee's training record shall contain supportive data for the waiver of training.

Nurse Supervision Requirements:

Registered nurse supervision is essential to the safe provision of Advanced Supportive/Restorative care. Certain nurse functions for Advanced Supportive/Restorative members may be performed by a licensed practical nurse; others must be performed by a registered nurse. The following outlines the nursing requirements for members receiving Advanced Supportive/Restorative care:

The registered nurse must:

- Conduct an initial assessment visit and develop the plan of care for members with Advanced Supportive/Restorative care needs, in collaboration with the case manager.
- Conduct on-site visits to all Advanced Supportive/Restorative care members at six-month intervals. During the visit, the RN shall conduct an evaluation of the adequacy of the authorized services to meet the needs and conditions of the member, and shall assess the Advanced Supportive/Restorative aide's ability to carry out the authorized services. Additional hours may be authorized for on-site nurse visits as necessary.
- Make periodic member evaluations, on a schedule as prescribed in the service plan and covered under the waiver. Evaluation reports shall be made available to the case manager within 48 hours of each evaluation. Frequency of nurse supervision visits at a minimum is every six months with additional visits specified in the service plan. Nurse supervision visits will generally not exceed one per month.
- Conduct annual assessment/reassessment visits and develop the plan of care for all subsequent years for members with Advanced Supportive/Restorative care needs, in collaboration with the case manager.
- Attend IDT meetings to develop or amend the service plan.
- Be available, at least by telephone, during any period of time Advanced Supportive/Restorative care is being provided.
- Observe the successful execution by the aide of each Advanced Supportive/ Restorative task during a member-specific training session, and certify the successful completion of the task in the aide's personnel record. This visit may be authorized and reimbursed as a skilled nursing service.

The licensed practical nurse may:

- Conduct the periodic authorized nurse visits to evaluate the condition of the Advanced Supportive/Restorative care member. The visit reports must be forwarded to the RN supervisor for co-signatures.

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment and annually

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Advanced Supportive/Restorative Assistance

Provider Category:

Individual ▾

Provider Type:

Advanced Supportive/Restorative Aide

Provider Qualifications

License (specify):

Certificate (specify):

Other Standard (specify):

- Qualified Provider Certification
- The ASR Assistant is at least 18 years of age, has not been convicted of a crime as defined in 63 O.S., Sec. 1-1950 et seq., has no pending notation of abuse or neglect as reported by the Oklahoma State Department of Health Nurse Aide Registry, name does not appear on the OKDHS Community Services Workers Registry.
- Demonstrates the ability to understand and carry out assigned tasks, has verifiable work history and/or personal references, has verifiable identification.

Training Requirements: It should be noted that Advanced Supportive/Restorative aides do not perform any functions that typically would be performed by a nurse. All Advanced Supportive/Restorative Assistance aides are required to receive the same basic Personal Care training as a Personal Care aide, and also must be given the following training prior to delivery of Advanced Supportive/Restorative services:

- Prior to performing any Advanced Supportive/Restorative task for any member for the first time, the AS/RA must demonstrate competency in the tasks in a member-specific training session conducted by the member. The member will provide guidance on the tasks to be performed and will also state any preference for service delivery. The member must document the attendant's competency in performing each task in the AS/RA's personnel file. In addition, Waiver skilled nursing services are authorized to provide assistance with training of the AS/RA and/or to provide skilled nursing oversight for the delivery of AS/RA services. A nurse is required to observe the successful execution by the AS/RA of each Advanced Supportive/Restorative task during a member-specific training session, and certify the successful completion of the task in the AS/RA's personnel record.

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:

Environmental Modifications

HCBS Taxonomy:

Category 1:

Sub-Category 1:

14 Equipment, Technology, and Modifications

14020 home and/or vehicle accessibility adaptations 

Category 2:

Sub-Category 2:



Category 3:

Sub-Category 3:



Category 4:

Sub-Category 4:



Service Definition (Scope):

Those architectural and environmental modifications and adaptations to the home, 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. Such modifications and adaptations may include the installation of ramps, lifts, grab-bars, widening of doorways, modification of bathroom or kitchen 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. Specialized safety adaptations include scald protection devices, stove guards, installation of specialized equipment used by people who have vision or hearing impairments or behavioral challenges. 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, etc. Adaptations which add to the total square footage of the home are excluded from this benefit. Modifications will not be made to homes owned or leased by waiver service providers.

All services shall be provided in accordance with applicable state or local building codes and conform to ADA Accessibility Guidelines 28 CFR Part 36 Appendix A.

The service is authorized by the members service plan and is necessary to prevent institutionalization.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and prior authorized in accordance with service plan.

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 | Architect; Electricians; Engineers; Mechanical Contractors; Plumbers; Re-modelers and Builders |

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Environmental Modifications

Provider Category:

Individual ▼

Provider Type:

Architect; Electricians; Engineers; Mechanical Contractors; Plumbers; Re-modelers and Builders

Provider Qualifications

License (specify):

Architects Oklahoma Administrative Code Title 55, Chapter; Electricians Licensing Act, 59 O.S., et seq.; Mechanical Licensing Act, 59 O.S., Sec. 1850.1-1850.15; Plumbing Licensing Act, 59 O.S., Sed. 1001-1021; Appropriate licenses from the Oklahoma Department of Health Construction Industries Board.

Certificate (specify):

Other Standard (specify):

- Qualified Provider Certification
- ADA Accessibility Guidelines- 28 CFR Part 36 Appendix A.

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:

Home Delivered Meals

HCBS Taxonomy:

Category 1:

06 Home Delivered Meals

Sub-Category 1:

06010 home delivered meals ▼

Category 2:

Sub-Category 2:

Category 3:**Sub-Category 3:**

Category 4:**Sub-Category 4:**

Service Definition (Scope):

Home-Delivered Meal service provide meals, each with a nutritional content equal to one-third of the Recommended Daily Allowance delivered to the home for members who are unable to prepare meals and who lack an informal provider to do meal preparation. Provision of home-delivered meals reduces the need for reliance on paid staff during mealtimes by providing one meal per day in a cost-effective manner.

Home-Delivered Meals shall be included in the individual service plan only when it is necessary to prevent the institutionalization of an individual.

The goals of Home-Delivered Meals

- (1) To facilitate member independence by allowing members the choice to remain in their own homes rather than enter a nursing facility.
- (2) To provide one daily nutritious meal to persons at risk of being institutionalized.
- (3) To provide a daily social contact to ensure the member's safety and well being.

In order to receive Home-Delivered Meals under the waiver, a member must:

- (1) Be unable to prepare some or all of his/her own meals, or require a special diet and be unable to prepare meals;
- or

have no other individual available to prepare member's meals, or the provision of a home-delivered meal is the most cost-effective method of ensuring a nutritionally adequate meal.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and prior authorized in accordance with service plan; however, one (1) meal is the maximum number allowed 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 | Home Delivered Meals |

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service**

Service Type: Other Service

Service Name: Home Delivered Meals

Provider Category:

Agency

Provider Type:

Home Delivered Meals

Provider Qualifications**License (specify):**Oklahoma Health Code, Food Preparers/Handlers License – Sec., 1110 & 1119
59 O.S. Sec., 21**Certificate (specify):**

County Health Department Kitchen and Food Handler Certification

Other Standard (specify):

- Qualified Provider Certification
- Title III Program Home-Delivered Meal Provider Standards

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

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to Enrollment 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:

Hospice Care

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:****Service Definition (Scope):**

Hospice care is palliative and/or comfort care provided to the member and his/her family when a physician certifies that the member has a terminal illness and has six (6) months or less to live and orders Hospice Care. A hospice program offers palliative and supportive care to meet the special needs arising out of the physical, emotional and spiritual stresses which are experienced during the final stages of illness and during dying and bereavement. The member signs a statement choosing hospice care instead of routine medical care that has the objective to treat and cure the members illness. Once the member has elected hospice care, the hospice medical

team assumes responsibility for the member's medical care for the terminal illness in the home environment. The team may include physicians, nurses, counselors, social workers, aides, volunteers, chaplains and others.

A hospice plan of care must be developed by the hospice team in conjunction with the members case manager before hospice services are provided. The hospice plan of care is a separate document from the Medically Fragile service plan. However, the hospice plan of care and Medically Fragile service plan are coordinated to compliment each other like a hand and a glove. The hospice services must be related to the palliation or management of the members terminal illness, symptom control, or to enable the individual to maintain activities of daily living and basic functional skills. Without duplicating waiver services, hospice services may include nursing and personal care, social worker services, grief and loss counseling for the member and the family as individually determined for each member who receives hospice care.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and prior authorized in accordance with service plan. This waiver service is only provided to individuals age 21 and over. All medically necessary hospice services for children under age 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 | Hospice Agency |
| Agency | Nursing Facility |

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Hospice Care

Provider Category:

Agency ▼

Provider Type:

Hospice Agency

Provider Qualifications

License (*specify*):

63 O.S., 1991, Sec., 1-860 et seq.

Certificate (*specify*):

Medicare Hospice Certification

Other Standard (*specify*):

•Qualified Provider Certification

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment and annually

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Hospice Care

Provider Category:

Agency

Provider Type:

Nursing Facility

Provider Qualifications

License (specify):

63 O.S. 1991 seq, Section 1-860 et seq

Certificate (specify):

Other Standard (specify):

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:

Institutional Transition Case Management

HCBS Taxonomy:

Category 1:

01 Case Management

Sub-Category 1:

01010 case management

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (*Scope*):

Institutional Transition Case Management services are necessary to enable an individual to leave the institution and receive waiver services in their home or in a community setting.

Institutional Transition Case Management are services indicated on the member's plan of care, which are necessary to ensure the health, welfare and safety of the member, or to enable the member to function with greater independence in the home, and without which, the member would continue to require institutionalization. Institutional Transition Case Management may be authorized for periodic monitoring of a waiver member's progress during an institutional stay and for assisting the member's transition from institution to home by updating the service plan, including preparing for necessary services and supports to be in place or to start on the date the member is discharged from the institution.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and is prior authorized in accordance with the service plan, not to exceed a maximum of 45 units for the transition period without OHCA Population Care Management review of documentation. This service is billed using a distinct modifier.

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 | Case Management |

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service**

Service Type: Other Service

Service Name: Institutional Transition Case Management

Provider Category:

Agency

Provider Type:

Case Management

Provider Qualifications**License** (*specify*):
Certificate (*specify*):
Other Standard (*specify*):

Qualified Provider Certification

Completion of curriculum requirements for a baccalaureate degree and one year paid professional experience with aging and/or disabled populations or programs as a Case Manager, a Rehabilitation Specialist or Health Specialist and/or Social Services Coordinator; or completion of degree program as a Registered Nurse or Licensed Practical Nurse and one year paid professional experience.

Training Requirements:

All Case Managers must successfully complete Case Manager Training offered or approved by OHCA. This training also incorporates identification of members who meet criteria for self-directed services, supports and education to be furnished to assist members who may choose to self-direct, assisting the member with modification of the service plan to incorporate self-directed services, supporting the member in a transition to self-direction or from self-direction to the use of agency services. The training informs the case manager about how to assist the member with establishing a budget and reviewing reports of services authorized and used. In addition, the case managers are trained on how to assess the member's satisfaction with self-directed services on an ongoing basis.

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

OHCA Provider Enrollment

Frequency of Verification:

Prior to enrollment 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:

Personal Emergency Response System (PERS)

HCBS Taxonomy:**Category 1:**

14 Equipment, Technology, and Modifications

Sub-Category 1:1010 personal emergency response system (PERS) **Category 2:****Sub-Category 2:****Category 3:****Sub-Category 3:****Category 4:****Sub-Category 4:****Service Definition (Scope):**

PERS is an electronic device which enables certain individuals at high risk of institutionalization 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 limited to those individuals who live alone, or who are alone for significant parts of the day, and have no regular caregiver for extended

periods of time, and who would otherwise require extensive routine supervision.

The service is authorized by the members service plan and is necessary to prevent institutionalization. This service includes both the unit and the monitoring.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and is prior authorized in accordance with service plan.

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 | Durable Medical Equipment Supplier |

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Personal Emergency Response System (PERS)

Provider Category:

Agency ▾

Provider Type:

Durable Medical Equipment Supplier

Provider Qualifications

License (*specify*):

Certificate (*specify*):

Other Standard (*specify*):

- Qualified Provider Certification for Suppliers of Durable Medical Equipment, Prosthetics, Orthotics, and Supplies found at OAC 317:30-5-210., Eligible providers

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:

Private Duty Nursing

HCBS Taxonomy:**Category 1:**

05 Nursing

Sub-Category 1:

05010 private duty nursing ▼

Category 2:

▼

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

▼

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

▼

Sub-Category 4:**Service Definition (Scope):**

Private Duty Nursing is individual medically necessary skilled nursing care provided on a regular basis and (in contrast to part time or intermittent care) provided by licensed nurses within the scope of State law. These services are provided in the member's primary residence or to assist outside the home during transport to medical appointments and emergency room visits. The provision of this service will prevent institutionalization of the member.

The need for private duty nursing must be documented in the member's medical assessment before OHCA Population Care Management will authorize this as a necessary service in the member's service plan.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and prior authorized in accordance with service plan. This waiver service is only provided to individuals age 21 and over. All medically necessary private duty nursing services for children under age 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 Care Agency |

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Private Duty Nursing

Provider Category:

Agency 

Provider Type:

Home Care Agency

Provider Qualifications

License (specify):

Registered Nurse; Licensed Practical Nurse; Licensed under the Nurse Practice Act – 59 O.S., Sec., 567.1-567.16

Employed by a Home Care Agency
 63 O.S., Sec., 1-1961, et seq.

Certificate (specify):

Other Standard (specify):

- Qualified Provider Certification
 Home Health Certification (Form 485)

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:

Self-Directed Goods and Services (SD-GS)

HCBS Taxonomy:

Category 1:

17 Other Services

Sub-Category 1:

010 goods and services 

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition (Scope):

Self-Directed Goods and Services (SD-GS) are incidental, non-routine goods and services that promote the member's self-directed care, daily living, adaptive functioning, general household activity, meal preparation and leisure skills needed to reside successfully in the community and do not duplicate other services authorized in the member's plan of care. These goods and services are purchased from the member's authorized self-directed budget. Goods and services requested must meet the following requirements:

- The item or service is designed to meet the member's functional, social or medical needs, advance the desired outcomes of the self-directed services support plan and is included in the member's plan of care.
- The item or service is justified by a recommendation from a licensed professional and is approved on the plan of care.
- The item or service is not prohibited by Federal and State statutes and regulations.
- One or more of the following additional criteria are met:
 - * the item or service would increase the member's functioning related to the disability;
 - * the item or service would increase the member's safety in the home environment; or
 - * the item or service would decrease dependence on other Medicaid-funded services.
- The item or service is not available through Medicaid State Plan services or another source.
- The service does not include experimental goods and services.
- Goods and services purchased under this coverage may not circumvent other restrictions on the claiming of Federal Financial Participation (FFP) for waiver services.

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

Amount, frequency, or duration of service is based on needs as identified on the UCAT assessment and is authorized in the service plan.

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 | Typical vendor within the community, according to goods and services needed. For example, a vendor could be the local newspaper for advertising for possible employees to provide member-directed care |

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Self-Directed Goods and Services (SD-GS)

Provider Category:Individual **Provider Type:**

Typical vendor within the community, according to goods and services needed. For example, a vendor could be the local newspaper for advertising for possible employees to provide member-directed care

Provider Qualifications**License (specify):**

Not Required

Certificate (specify):

Not Required

Other Standard (specify):

Services, supports and goods can be purchased from typical vendors in the community.

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

Member/Confirmed by Fiscal Management Services (FMS).

Frequency of Verification:

Upon purchase and annually at planning meeting.

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:

Skilled Nursing

HCBS Taxonomy:**Category 1:**

05 Nursing

Sub-Category 1:05020 skilled nursing **Category 2:****Sub-Category 2:****Category 3:****Sub-Category 3:****Category 4:****Sub-Category 4:****Service Definition (Scope):**

Services listed in the plan of care which are within the scope of the State's Nurse Practice Act and are provided by a registered professional nurse, or licensed practical or vocational nurse under the supervision of a registered nurse, licensed to practice in the State. The provision of this service will prevent institutionalization of the member.

The nursing services which may be authorized are services of a maintenance or preventive nature provided to members with stable, chronic conditions. These services are not intended as treatment for an acute health condition and may not include services, which would be reimbursable as skilled nursing care under either the Medicare or Medicaid Home Health Programs. Should the personal care aide detect a need for services that would meet the definition of reimbursable skilled nursing care under the Home Health Program, he/she must alert the members primary care provider or Case Manager and the waiver program staff.

Skilled nursing services may include one or more of the following, where appropriate to meet the needs of the member as authorized by the waiver program:

Filling a one-week supply of insulin syringes for a blind diabetic who can self-inject the medication but cannot fill his own syringe. This service would include monitoring the patient's continued ability to self-administer the insulin;

Setting up oral medications in divided daily compartments for a member who self-administers prescribed medications but needs assistance and monitoring due to a minimal level of disorientation or confusion;

Monitoring a member's skin condition when a member is at risk of skin breakdown due to immobility or incontinence or the member has a chronic stage II decubitis requiring maintenance care and monitoring;

Conducting general health evaluations;

Providing nail care for the diabetic member or member with circulatory or neurological deficiency;

Making an on-site visit to each member for whom Personal Care or Advanced Supportive/Restorative Care is authorized to evaluate the condition of the member. A visit report will be made to the case manager, to report the member's condition or other significant information concerning each member; frequency of these nurse supervisory visits is determined by the individual service plan and will occur no less often than every 6 months; and

Provide member specific training and competency testing for Advanced Supportive/Restorative Assistants.

Provide to the case manager a copy of each Nursing Evaluation (within 24 hours) or monitoring visit (within 48 hours) paid for by the waiver.

The case manager may recommend authorization of RN visits in other similar situations.

It is the responsibility of the RN to contact the member's physician to obtain any necessary information or orders pertaining to the care of the member. If the member has an ongoing need for service activities, which require more or less units than authorized, the RN shall recommend, in writing, that the plan of care be revised.

A member who is approved for skilled nursing may not in addition receive private duty nursing. Prior to authorizing the member's service plan, the OHCA Population Care Management Team will review member claims data to ensure all State Plan health benefits have been exhausted and that no duplication of services occur.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and is prior authorized in accordance with service plan.

This waiver service is only provided to individuals age 21 and over. All medically necessary skilled nursing services for children under age 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 Care Agency |

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Skilled Nursing

Provider Category:

Agency ▼

Provider Type:

Home Care Agency

Provider Qualifications

License (specify):

Registered Nurse; Licensed Practical Nurse; Licensed under the Nurse Practice Act – 59 O.S., Sec., 567.1-567.16

Employed by a Home Care Agency
 63 O.S., Sec., 1-1961, et seq.

Certificate (specify):

Other Standard (specify):

- Qualified Provider Certification

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider enrollment unit

Frequency of Verification:

Prior to enrollment 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:

Specialized Medical Equipment and Supplies

HCBS Taxonomy:

Category 1:

14 Equipment, Technology, and Modifications

Sub-Category 1:

14032 supplies ▼

Category 2:

14 Equipment, Technology, and Modifications

Sub-Category 2:

14031 equipment and technology ▼

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition *(Scope):*

Specialized medical equipment and supplies to include devices, controls, or appliances, specified in the plan of care, which enable members to increase their abilities to perform activities of daily living, or to perceive, control, or communicate with the environment in which they live. Specialized medical equipment 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 Medicaid State Plan and shall exclude those items which are not of direct medical or remedial benefit to the member. This service is to secure medical equipment and supplies necessary for the welfare of the member, but shall exclude any equipment and/or supply items which are not of direct medical or remedial benefit to the waiver member. The service is authorized by the member's service plan for equipment and supply items not available to the member under Medicare or the Medicaid State Plan and is necessary to prevent institutionalization; all items shall meet applicable standards of manufacturer, design and installation.

Personalized emergency response systems may not be billed as specialized medical equipment and supplies.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and is prior authorized in accordance with service plan. This waiver service is only provided to individuals age 21 and over. All medically necessary specialized medical equipment and supplies services for children under age 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 | Medical and Rehabilitative Equipment Manufacturers and Suppliers |

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Specialized Medical Equipment and Supplies

Provider Category:

Provider Type:

Medical and Rehabilitative Equipment Manufacturers and Suppliers

Provider Qualifications

License *(specify):*

Oklahoma Medicaal Practice Act 59 O.S. Sec., 481-536

Certificate *(specify):*

Other Standard *(specify):*

- Qualified Provider Certification

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

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:

Therapy Services: Respiratory

HCBS Taxonomy:**Category 1:**

11 Other Health and Therapeutic Services

Sub-Category 1:110 respiratory therapy **Category 2:****Sub-Category 2:****Category 3:****Sub-Category 3:****Category 4:****Sub-Category 4:****Service Definition (Scope):**

Respiratory Therapy Services

Respiratory therapy services are provided for an individual who, but for the availability of in-home respiratory care services, would require respiratory care as an inpatient in a hospital or nursing facility and would be eligible to have payment made for inpatient care under the State Plan.

An individual who receives home respiratory care must receive these services under the care of a physician who is familiar with the technical and medical components of home ventilator support and the physician must determine medically that in-home respiratory care is safe and feasible for the member.

Respiratory Therapy Service Components:

1. Evaluation

A visit made to evaluate the member's level of function and to determine whether respiratory therapy is reasonable and necessary. A consultation with the member's physician is completed to establish goals, treatment plan, and

estimated frequency and duration of treatment.

2. Respiratory Treatments

Providing respiratory therapy in accordance with the plan of treatment, including instruction of the member, family or other caregivers regarding use of respiratory equipment, supplies and techniques.

3. Chest Physiotherapy

Chest physiotherapy (postural drainage, chest percussion and vibration, pulmonary exercises) is a skilled service and would be considered covered if a cardio-pulmonary condition is present.

4. Maintenance Therapy Program

Repetitive services required to maintain function and prevent regression do not usually require the skills of a therapist.

A maintenance program may be established if, after an evaluation, the restorative potential of the member is judged to be insignificant. In such situations, the evaluation, the instruction of the member or caregivers, and reevaluations until the program can be safely and effectively carried out are all considered to be covered therapy services.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and is prior authorized in accordance with service plan. This waiver service is only provided to individuals age 21 and over. All medically necessary respiratory therapy services for children under age 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 Care Agency |
| Individual | Respiratory Therapist |

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Therapy Services: Respiratory

Provider Category:

Agency ▼

Provider Type:

Home Care Agency

Provider Qualifications

License (specify):

63 O.S., Sec. 1-1961, et seq.

Certificate (specify):

Other Standard (*specify*):

- Qualified Provider Certification
- The agencies must employ state-licensed respiratory therapist

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

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment and annually

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Therapy Services: Respiratory****Provider Category:**Individual **Provider Type:**

Respiratory Therapist

Provider Qualifications**License** (*specify*):

59 O.S. Sec. 2026, et seq.

Certificate (*specify*):
Other Standard (*specify*):

- Qualified Provider Certification

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

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:

Therapy Services: Occupational

HCBS Taxonomy:**Category 1:****Sub-Category 1:**

11 Other Health and Therapeutic Services

080 occupational therapy

Category 2:**Sub-Category 2:****Category 3:****Sub-Category 3:****Category 4:****Sub-Category 4:****Service Definition (Scope):****Occupational Therapy Services**

The services of an occupational therapist are necessary to assess the beneficiary's needs, to develop goals (to be approved by the physician), to manufacture or adapt the needed equipment to the beneficiary's use, to teach compensatory techniques, to strengthen the beneficiary as necessary to permit use of compensatory techniques, and to provide activities which are directed toward meeting the goals governing increased perceptual and cognitive function. Occupational therapy services are covered at a duration and intensity appropriate to the severity of the impairment and the beneficiary's response to treatment.

A member's recovery and safety can be affected by perceptual and cognitive deficits. Deficits which impact the functional ADL, mobility, and/or safety of the beneficiary and necessitate skilled intervention must be documented.

The planning, implementing, and supervision of therapeutic programs, including but not limited to those listed below, are occupational therapy services if reasonable and necessary to the treatment of the beneficiary's illness or injury.

- a. Selecting and teaching task-oriented therapeutic activities designed to restore physical function.
- b. Planning, implementing, and supervising therapeutic tasks and activities designed to restore sensory-integrative function.
- c. Teaching compensatory techniques to improve the level of independence in the activities of daily living.
- d. The designing, fabricating, and fitting of orthotic and self-help devices.

Vocational and prevocational assessment and training which are directed toward the restoration of function in the activities of daily living lost due to illness or injury. When vocational or prevocational assessment and training are related solely to specific employment opportunities, work skills or work settings such services would not be covered because they would not be directed toward the treatment of an illness or injury.

Occupational Therapy Service Components:**1. Evaluation**

Visit made to determine occupational therapy needs of the member at the home. Includes physical and psychosocial testing, establishment of plan of treatment, rehabilitation goals, and evaluating the home environment for accessibility and safety and recommending modifications.

2. Independent Living/Daily Living Skills (ADL) Training

Refers to the skills and performance of physical cognitive and psychological/emotional self care, work, and play/leisure activities to a level of independence appropriate to age, life-space, and disability and includes instruction of the member, family or other caregivers regarding training techniques.

3. Muscle Re-education

Includes therapy designed to restore function lost due to disease or surgical intervention.

4. Perceptual Motor Training

Refers to enhancing skills necessary to interpret sensory information so that the individual can interact normally with the environment. Training designed to enhance perceptual motor function usually involves activities which stimulate visual and kinesthetic channels to increase awareness of the body and its movement.

5. Fine Motor Coordination

Refers to enhancing the skills and performance in fine motor and dexterity activities.

6. Neurodevelopment Treatment

Refers to enhancing the skills and the performance of movement through eliciting and/or inhibiting stereotyped, patterned, and/or involuntary responses which are coordinated at sub-cortical and cortical levels.

7. Sensory Treatment

Refers to enhancing the skills and performance in perceiving and differentiating external and internal stimuli such

as tactile awareness, stereognosis, kinesthesia, proprioceptive awareness, ocular control, vestibular awareness, auditory awareness, gustatory awareness, and olfactory awareness necessary to increase function.

8. Orthotics/Splinting

Refers to the provision of dynamic and static splints, braces, and slings for relieving pain, maintaining joint alignment, protecting joint integrity, improving function, and/or decreasing deformity. These splints, braces and slings are provided by a manufacturer.

9. Adaptive Equipment (fabrication and training)

Refers to the provision of special devices that increase independent functions. The OT skills are needed for the designing, fabricating, and fitting of adaptive equipment. Adaptive equipment that is created as a result of occupational therapy consultation is paid for under the adaptive equipment benefit.

10. Maintenance Therapy Program

Repetitive services required to maintain function and prevent regression do not usually require the skills of an occupational therapist.

A maintenance program may be established if, after an evaluation, the restorative potential of the member is judged to be insignificant. In such situations, the evaluation, the instruction of the member or caregivers, and reevaluations until the program can be safely and effectively carried out are all considered to be covered therapy services.

The OHCA Population Care Management Team will review service plans to ensure that no duplication of service occur.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and is prior authorized in accordance with service plan. This waiver service is only provided to individuals age 21 and over. All medically necessary occupational therapy services for children under age 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 Care Agency |
| Individual | Occupational Therapist |

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Therapy Services: Occupational

Provider Category:

Agency ▼

Provider Type:

Home Care Agency

Provider Qualifications

License (specify):

63 O.S., Sec., 1-1961, et seq.

Certificate (specify):

Other Standard (specify):

- Qualified Provider Certification
- Provider agencies are required to employ state licensed occupational therapists

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

OHCA Provider enrollment unit

Frequency of Verification:

Prior to enrollment and annually

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service****Service Type: Other Service****Service Name: Therapy Services: Occupational****Provider Category:**

Individual ▾

Provider Type:

Occupational Therapist

Provider Qualifications**License (specify):**

59 O.S., Sec., 888.1 et seq.

Certificate (specify):

Other Standard (specify):

- Qualified Provider Certification

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

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:

Therapy Services: Physical

HCBS Taxonomy:**Category 1:****Sub-Category 1:**

11 Other Health and Therapeutic Services

M090 physical therapy ▾

Category 2:**Sub-Category 2:**

Category 3:**Sub-Category 3:**

Category 4:**Sub-Category 4:**

Service Definition (Scope):

Physical Therapy Services

Physical Therapy services prevent physical disability through the evaluation and rehabilitation of individuals disabled by pain, disease or injury. Services are intended to help the Member achieve greater independence to reside and participate in the community. Treatment involves use of physical therapeutic means such as: massage, manipulation, therapeutic exercise, cold heat, hydrotherapy, electrical stimulation and light. Under a physician's order, a licensed physical therapist evaluates the recipient's rehabilitation potential and develops an appropriate, written therapeutic regimen. The regimen utilizes paraprofessional physical therapy assistant services within the limits of their practice, working under the supervision of the licensed physical therapist. The regimen includes education and training for caregivers to assist with and/or maintain services, where appropriate.

1. Assessment Visits by a physical therapist to assess a member's rehabilitation needs and potential or to develop and/or implement a physical therapy home program. Assessment should include objective tests and measurements such as, but not limited to, range of motion, strength, balance, coordination, endurance, or functional ability. Visits for management of the physical therapy service in the member's service plan should also be included as assessment visits as these determinations rely upon the skills and expertise of a licensed physical therapist.

2. Therapeutic Exercises Therapeutic exercise which, due either to the type of exercise or the condition of the member, must be performed by or under the supervision of a physical therapist to ensure the member's safety and the effectiveness of the treatment.

3. Gait Training. Gait evaluation and training are covered when reasonable and necessary for a member whose ability to walk has been impaired by neurological, muscular, or skeletal abnormalities if they can be expected to improve materially the member's ability to walk.

4. Range of Motion. Only a qualified therapist may perform range of motion tests and therefore such tests are skilled physical therapy. Range of motion exercises are covered only if they are part of the active treatment for a specific disease state, illness or injury which has resulted in a loss or restriction of mobility. Physical therapy notes should document the degree of motion lost and the degree to be restored.

Range of motion exercises that are not related to the restoration of a specific loss of function may usually be provided safely and effectively by a non-skilled individual.

5. Maintenance Therapy Program

Repetitive services required to maintain function and prevent regression do not usually require the skills of a physical therapist.

A maintenance program may be established if, after an evaluation, the restorative potential of the member is judged to be insignificant. In such situations, the evaluation, the instruction of the member or caregivers, and reevaluations until the program can be safely and effectively carried out are all considered to be covered therapy services.

The OHCA Population Care Management Team will review service plans to ensure that no duplication of services occur.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and is prior authorized in accordance with service plan. This waiver service is only provided to individuals age 21 and over. All medically necessary physical therapy services for children under age 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 | Physical Therapist |
| Agency | Home Care Agency |

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Therapy Services: Physical

Provider Category:

Individual

Provider Type:

Physical Therapist

Provider Qualifications

License (specify):

59 O.S., Sec., 887.1 et seq.

Certificate (specify):

Other Standard (specify):

- Qualified Provider Certification

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment and annually

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Therapy Services: Physical

Provider Category:

Agency

Provider Type:

Home Care Agency

Provider Qualifications

License (specify):

63 O.S., Sec., 1-1961, et seq.

Certificate (specify):

Other Standard (specify):

- Qualified Provider Certification
- Provider agencies must employ state licensed physical therapists

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit
Frequency of Verification:
 Prior to enrollment 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:

Therapy Services: Speech

HCBS Taxonomy:

Category 1:

Sub-Category 1:

11 Other Health and Therapeutic Services

100 speech, hearing, and language therapy 

Category 2:

Sub-Category 2:



Category 3:

Sub-Category 3:



Category 4:

Sub-Category 4:



Service Definition (Scope):

Speech and Language Therapy Services

The skills of a speech-language pathologist are required for the assessment of a beneficiary's rehabilitation needs (including the causal factors and the severity of the speech and language disorders) and rehabilitation potential. Re-evaluation would be considered reasonable and necessary if the beneficiary exhibited a change in functional speech or motivation, clearing of confusion, or the remission of some other medical condition that previously contraindicated speech-language pathology services. When a beneficiary is undergoing restorative speech-language pathology services, routine re-evaluations are considered to be a part of the therapy and could not be billed as a separate visit.

The services of a speech-language pathologist would be covered if they are needed as a result of an illness or injury and are directed toward specific speech/voice production.

Speech-language pathology would be covered when the services can only be provided by a speech-language pathologist and when it is reasonable to expect that the service will materially improve the beneficiary's ability to carry out independently any one or combination of communication activities of daily living in a manner that is measurable at a higher level of attainment than prior to the initiation of the services.

The services of a speech-language pathologist to establish a hierarchy of speech-voice-language communication tasks and cueing that directs a beneficiary toward speech-language communication goals in the plan of treatment would be a covered speech-language pathology service. The services of a speech-language pathologist to train the beneficiary, family, or other caregivers to augment the speech-language communication, treatment, or to establish an effective maintenance program would be covered speech therapy. The services of a speech-language pathologist to assist beneficiaries with aphasia in rehabilitation of speech and language skills are covered when needed by a beneficiary. The services of a speech therapist to assist individuals with voice disorders to develop proper control of the vocal and respiratory systems for current voice production are covered when needed by a beneficiary.

Speech and Language Therapy Service Components:

1.Evaluation

Visit made to determine the type, severity and prognosis of communication disorder, whether speech therapy is reasonable and necessary and to establish the goals, treatment plan, and estimated frequency and duration of treatment.

2.Voice Disorders Treatments

Procedures and treatment for members with an absence or impairment of voice caused by neurologic impairment, structural abnormality, or surgical procedures affecting the muscles of voice production.

3.Speech Articulation Disorders Treatments

Procedures and treatment for members with impaired intelligibility (clarity) of speech - usually referred to as anarthria or dysarthria and/or impaired ability to initiate, inhibit, and/or sequence speech sound muscle movements - usually referred to as apraxia/dyspraxia.

4.Dysphagia Treatments

Includes procedures designed to facilitate and restore a functional swallow when associated with a communication disorder.

5.Language Disorders Treatments

Includes procedures and treatment for members with receptive and/or expressive aphasia/dysphasia, impaired reading comprehension, written language expression, and/or arithmetical processes.

6.Aural Rehabilitation

Procedures and treatment for members with communication problems related to impaired hearing acuity.

7.Maintenance Therapy Program

Repetitive services required to maintain function and prevent regression do not usually require the skills of a therapist.

A maintenance program may be established if, after an evaluation, the restorative potential of the member is judged to be insignificant. In such situations, the evaluation, the instruction of the member or caregivers, and reevaluations until the program can be safely and effectively carried out are all considered to be covered therapy services.

Members who receive speech therapy services while in an Adult Day Health setting may not receive therapy services in the same day. The OHCA Population Care Management Team will review service plans to ensure that no duplication of services occur.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and is prior authorized in accordance with service plan. This waiver service is only provided to individuals age 21 and over. All medically necessary speech and language therapy services for children under age 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 |
|-------------------|---------------------|
|-------------------|---------------------|

| Provider Category | Provider Type Title |
|-------------------|---------------------|
| Individual | Speech Therapist |
| Agency | Home Care Agency |

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Therapy Services: Speech

Provider Category:

Individual ▼

Provider Type:

Speech Therapist

Provider Qualifications

License (specify):

59 O.S., Sec., 1601, et seq.

Certificate (specify):

Other Standard (specify):

- Qualified Provider Certification

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment and annually

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Therapy Services: Speech

Provider Category:

Agency ▼

Provider Type:

Home Care Agency

Provider Qualifications

License (specify):

63 O.S., Sec., 1-1961, et seq.

Certificate (specify):

Other Standard (specify):

- Qualified Provider Certification

Provider agencies must employ state licensed speech and language therapists

Verification of Provider Qualifications

Entity Responsible for Verification:

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment 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:

Transitional Case Management

HCBS Taxonomy:

Category 1:

01 Case Management

Sub-Category 1:

01010 case management 

Category 2:



Sub-Category 2:

Category 3:



Sub-Category 3:

Category 4:



Sub-Category 4:

Service Definition (Scope):

Transitional Case Management services are a one-time billable expense for members who transition to the Medically Fragile waiver. Transitional Case Management also assist members transitioning from another HCBS waiver or State Plan services to the Medically Fragile waiver. Transitional Case Management assist members that are eligible to receive waiver services in gaining access to needed waiver and other State plan services, as well as needed medical, social, educational, and other services to assist in the transition, regardless of the funding source. Transitional Case Management may be authorized for assisting the member to transition to the waiver by creating or updating the service plan, including preparing for necessary services and supports to be in place. Reimbursement for items or services, other than case management, required for transition are excluded from coverage under this definition of Transitional Case Management.

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

Amount, frequency and duration of service is based on needs as identified on the UCAT assessment and is prior authorized in accordance with the service plan, not to exceed a maximum of 45 units for the transition period without OHCA Population Care Management review of documentation. This service is billed using a distinct modifier.

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 | Case Management Agency |

Appendix C: Participant Services**C-1/C-3: Provider Specifications for Service**

Service Type: Other Service
Service Name: Transitional Case Management

Provider Category:

Agency ▼

Provider Type:

Case Management Agency

Provider Qualifications**License (specify):**

Certificate (specify):

Other Standard (specify):

Qualified Provider Certification

• Completion of curriculum requirements for a baccalaureate degree and one year paid professional experience with aging and/or disabled populations or programs as a Case Manager, a Rehabilitation Specialist or Health Specialist and/or Social Services coordinator; or completion of degree program as a registered nurse or licensed practical nurse and one year paid professional experience.

Training Requirements: All case managers must successfully complete Case Manager Training offered or approved by OHCA. This training also incorporates identification of members who meet criteria for self-directed services, supports and education to be furnished to assist members who may choose to self-direct, assisting the member with modification of the service plan to incorporate self-directed services, supporting the member in a transition to self-direction or from self-direction to the use of agency services. The training informs the case manager about how to assist the member with establishing a budget and reviewing reports of services authorized and used. In addition, the Case Managers are trained on how to assess the member's satisfaction with self-directed services on an ongoing basis.

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

OHCA Provider Enrollment Unit

Frequency of Verification:

Prior to enrollment and annually

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.*

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

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 Title 63 of Oklahoma Statutes, Sections 1-1950, an Oklahoma State Bureau of Investigation (OSBI) criminal background check must be performed prior to hiring persons providing Personal Care services. This is a state investigation. Any person convicted of any crimes described in the statute may not be hired to provide Personal Care services.

Proof of OSBI background check must be documented in the provider personnel record. Evaluation of documentation of OSBI background check prior to hire is a standard component of license review inspections by the Oklahoma State Department of Health of Home Care Agencies.

Members choosing to self-direct personal care services coordinate the background checks through the FMS prior to hiring. Both the member and the FMS maintain proof of criminal background checks; notification of the results are also forwarded to OHCA waiver staff. In addition, OHCA conducts semi-annual provider performance reviews to monitor that these checks are performed.

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):

In accordance with Title 63 of Oklahoma Statutes, Sections 1-1950, a provider of Personal Care services may have no pending notation related to abuse, neglect or exploitation as reported by the Nurse Aide Registry maintained by the Oklahoma State Department of Health.

In addition, in accordance with Title 56, of Oklahoma Statutes, Section 1025.2, a provider of direct care services may not be included on the Community Services Worker Registry maintained by the Oklahoma Department of Human Services.

Proof of both Nurse Aide Registry and Community Services Worker Registry checks must be documented in the provider personnel record. Evaluation of documentation of Nurse Aide Registry check prior to hire is a standard component of license review inspections by the Oklahoma Department of Health of Home Care Agencies. In addition, evaluation of process to assure Nurse Aide Registry and Community Services Worker Registry checks prior to hire is a standard component of the Medically Fragile Program Provider certification process. OHCA conducts semi-annual provider performance reviews to ensure these checks are performed.

The Financial Management Service conducts these screenings and maintains the documentation for members whose direct care providers were hired under self-direction. A semi-annual review of the FMS is also performed to ensure that these registry screenings are conducted.

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.*

Services and Supports Provided by a Legally Responsible Individual

In accordance with OHCA rules, for a legally responsible individual (spouse or guardian) of a member to be paid for providing personal care or Advance Supportive/Restorative care under the 1915 (c) waiver, the need for service must meet all of the following authorization criteria. OHCA Population Care Management team will monitor the activities to assure all provisions have been met.

Authorization for a legally responsible individual (spouse or guardian) to be the care provider for a member's personal care or advance personal care needs may occur only under the following conditions:

- o The member is offered a choice of providers and documentation demonstrates that:
- o Either no other provider is available; or,
- o Available providers are unable to provide necessary care to the member, or
- o The needs of the member are so extensive that the legally responsible spouse or guardian who provides the care is prohibited from working outside the home due to the member's need for care.

The service must be necessary to avoid institutionalization;
 be a service/support that is specified in the individual service plan;
 be provided by a spouse or guardian who meets the provider qualifications and training standards specified in the waiver for that service;
 be paid at a rate that does not exceed that which would otherwise be paid to a provider of a similar service and does not exceed what is allowed by the State Medicaid Agency for the payment of personal care or advance personal care services;
 NOT duplicate or replace assistance and/or care that the spouse or guardian would ordinarily perform or is responsible to perform.

If any of the following criteria is met, personal care or advanced supportive/restorative services provided by the spouse or guardian will be determined to exceed the extent and/or nature of the assistance they would be expected to ordinarily provide in their role as spouse or guardian:

Spouse or guardian has resigned from full-time/part-time employment to provide care for the member, or
 Spouse or guardian has reduced employment from full-time to part-time to provide care for the member, or
 Spouse or guardian has taken a leave of absence without pay to provide care for the member, or
 Spouse or guardian provides assistance/care for the member thirty-five or more hours per week without pay and the member has remaining unmet needs because no other provider is available due to the nature of the assistance/care, special language or communication, or intermittent hours of care requirements of the member.

When under the aforementioned conditions, a legally responsible spouse or guardian provides personal care or advanced supportive/restorative services to a waiver participant, special forms and procedures are used by the case manager to document this occurrence including forwarding a copy of documentation forms to the OHCA waiver staff.

The spouse or guardian who is a service provider must comply with the following:

continue non-reimbursed family responsibilities of primary caregiver and emergency backup caregiver;
 not provide more than 40 hours of reimbursed services in a seven day period;
 make planned work schedules available two weeks in advance, and variations to the schedule must be noted and supplied to the fiscal agent when billing;
 maintain and submit time sheets and other required documentation for hours paid;
 The spouse or guardian as the member's care provider must be documented in the service plan.

Monitoring Requirements:

In addition to case management monitoring and reporting activities required for all waiver services, the QA/CLS designated staff is responsible for performing the following monitoring requirements when a member elects to use a legally responsible spouse or guardian as a paid service provider:
 at least quarterly reviews of expenditures, and the health, safety, and welfare status of the individual recipient;
 Face-to-face visits with the member on at least a semi annual basis;
 Monthly reviews of hours billed for spouse or guardian who provided care.

- 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.

See C-2-d regarding limitations on provision of services by legal guardians or other legally responsible persons and oversight of such provision of services.

Relatives/legal guardians eligible for payment for providing services under this waiver must meet the following:

1. be at least 18 years of age
2. have no pending notation related to abuse, neglect or exploitation as reported by the Oklahoma State Department of Health Nurse Aide Registry,
3. is not included on the Community Services Worker Registry in accordance with section 1025.2 of Title 56, of the Oklahoma Statutes,
4. have not been convicted of a crime as outlined in Title 63 of Oklahoma Statutes, sections 1-1950 as determined by an OSBI background check,
5. demonstrates the ability to understand and carry out assigned tasks,
6. is a legally responsible family member (spouse or parent of a minor child) of the member being served who meets the criteria outlined in C-2d,
7. has a verifiable work history and/or personal references, verifiable identification,
8. have no more than 40 hours of reimbursed services in a seven day period and
9. meets any additional requirements as outlined in the agreement and certification requirements with the Oklahoma Health Care Authority.

Personal care services are intended to supplement and support existing informal care and the use of informal supports as personal care attendants may jeopardize the informal support system. In the Medically Fragile Waiver, the major concern is not whether the individual being hired to provide personal care or similar services is a relative, but whether the individual is already a part of the informal support system providing services informally and without compensation. As a result, a provider agency may only employ members' relatives or other person who are currently providing services as informal support without compensation to provide personal care or similar services with the written agreement of the interdisciplinary team.

Prior to agreeing to permit employment of relatives of other persons who are already providing informal supports, the interdisciplinary team takes the following into consideration:

- o The member is offered a choice of providers and documentation demonstrates that:
 - o Either no other provider is available; or,
 - o Available providers are unable to provide necessary care to the client, or
 - o The needs of the client are so extensive that the relative or an informal support who provides the care is prohibited from working outside the home due to the client's need for care; and
 - o In the team's judgement, employment of the relative/informal provider as a paid provider will not overburden the individual employed and ultimately be destructive to maintaining member supports.

When under the aforementioned conditions, a relative or other person providing informal supports is hired to provide personal care/assistance services to a waiver participant, special forms and procedures are used by the provider agency care manager to document this occurrence including forwarding a copy of documentation forms to the OHCA/ Population Care Management Team.

Controls employed to ensure payments are made only for services rendered are the same that are applied to all providers:

- Units are authorized on the service plan consistent with tasks required to meet member needs;
- Timesheet documentation of service delivery is required of all direct care providers;

- Provider audits review documentation for compliance of delivery of services to authorization.

OHCA will only reimburse relatives/legal guardians for services, limited to no more than 40 hours in a seven day period, that meet the above criteria and that are authorized by the OHCA Population Care Management Team in approving the member service plan. OHCA is the state agency that performs these activities.

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:

Throughout the year, any willing provider requesting to become a waiver provider is sent a packet of information about the waiver and the provider enrollment process. Upon request, potential providers are sent a provider enrollment application, copies of the provider agreements, and submission timeframes to become a waiver provider.

Based on the number of providers who express an interest, provider meetings will be held throughout the year to inform potential providers of the performance standards and guidelines required of those providing services to members in the waiver. At a minimum, a public meeting will be held annually to recruit new providers for the waiver. Potential providers will receive an application, copies of the provider agreement, and submission timeframes to become a waiver provider.

The certification process involves a review of administrative, financial, and programmatic components of the provider application to determine the provider's capacity and capability to provide waiver services that meet or exceed minimum standards. The certification process results in the determination of a potential provider's qualifications to become a waiver provider. These are the steps that result in "Qualified Provider Certification" referenced throughout appendix C as an "Other Standard" that must be met by waiver participating providers.

OHCA reviews completed provider applications in no less than 10 business days and forwards qualified provider documentation to Provider Enrollment to enter on the Provider File. Provider Enrollment Unit enrolls providers in 7 to 10 working days. However, if expedited processing is requested, a provider can be enrolled in the same business day.

Appendix C: Participant Services

Quality Improvement: Qualified Providers

As a distinct component of the State's quality improvement strategy, provide information in the following fields to detail the State's 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:

Number and percentage of providers that met licensing standards and requirements prior to furnishing waiver services. Denominator: Number of providers performing waiver services. Numerator: Number of providers that met licensing standards and requirements prior to performing waiver services.

Data Source (Select one):

Other

If 'Other' is selected, specify:

OHCA Provider Enrollment

| 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 type="checkbox"/> Quarterly | <input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/> |
| <input checked="" type="checkbox"/> Other Specify: Provider agencies | <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 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: <input type="text"/> | <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> |
| | <input checked="" type="checkbox"/> Continuously and Ongoing |
| | <input type="checkbox"/> Other Specify: <input type="text"/> |

Performance Measure:

Number and percentage of providers that met licensing standards and requirements verified annually. Denominator: Total number of providers reviewed for licensing standards and requirements. Numerator: Total number of providers that met licensing standards and requirements annually.

Data Source (Select one):

Other

If 'Other' is selected, specify:

OHCA Provider Enrollment

| 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 type="checkbox"/> Quarterly | <input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/> |
| <input checked="" type="checkbox"/> Other Specify: Provider Agencies | <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 (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 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 checked="" type="checkbox"/> Continuously and Ongoing |
| | <input type="checkbox"/> Other Specify: <input type="text"/> |

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:

Number of non-certified providers who met qualifications as verified during performance reviews. Denominator: Total number of non-certified providers. Numerator: Number of non-certified providers who met qualifications during performance reviews.

Data Source (Select one):

Provider performance monitoring

If 'Other' is selected, specify:

Provider performance review of employee files

| 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 checked="" type="checkbox"/> Other Specify: Home Health Agencies | <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 checked="" type="checkbox"/> Other Specify: Semi-Annually | |

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

Performance Measure:

Percentage of non-certified providers who met the qualifications as specified in C-3 of this application prior to performing services. Denominator: Number of non-certified providers performing services. Numerator: Number of non-certified providers who met qualifications prior to performing services.

Data Source (Select one):

Provider performance monitoring

If 'Other' is selected, specify:

Provider performance review of employee files

| 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 checked="" type="checkbox"/> Quarterly | |

| | | |
|--|---|--|
| | | <input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/> |
| <input checked="" type="checkbox"/> Other Specify: Home Health Agencies | <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 checked="" type="checkbox"/> Other Specify: Semi-Annually | |

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

Performance Measure:

Percentage of non-licensed providers who met qualifications as verified annually.
Denominator: Total number of non-licensed providers. **Numerator:** Total number of non-licensed providers who continually met qualifications annually.

Data Source (Select one):

Other

If 'Other' is selected, specify:

OHCA Provider Enrollment

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

Performance Measure:

Percentage of non-licensed providers who met the qualifications as specified in C-3 of this application prior to performing services. Denominator: Number of non-licensed providers who performed waiver services. Numerator: Number of non-licensed providers who met qualifications prior to performing waiver services.

Data Source (Select one):

Other

If 'Other' is selected, specify:

OHCA Provider Enrollment

| 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 checked="" 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 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 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 checked="" type="checkbox"/> Annually |
| | <input checked="" 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:

Percentage of providers who demonstrated proficiency requirements prior to furnishing services in this waiver as documented according to the agreement with the State. Denominator: Number of providers who meet proficiency requirements. Numerator: Number of providers who met proficiency requirements prior to providing waiver services according to the agreement with the State.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Provider agreement

| 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 type="checkbox"/> Quarterly | <input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/> |
| <input checked="" type="checkbox"/> Other Specify: Providers | <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 (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 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 checked="" type="checkbox"/> Annually |
| | <input checked="" 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.

On a semi-annual basis the OHCA, QA/CLS team will conduct provider performance reviews to ensure waiver compliance. Provider training will be conducted to address any deficiencies identified through performance review. Suggestions may be made for quality improvement activities and if necessary a correction action plan may be requested for providers who score below the percentage requirement to ensure waiver compliance is being met.

b. Methods for Remediation/Fixing Individual Problems

i. Describe the State’s 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.

When the state detects provider non-compliance with waiver requirements, the State requires the provider to implement a corrective action plan, subject to OHCA approval. OHCA can apply both financial and administrative sanctions. The state routinely provides technical assistance during on-site reviews of provider agencies to clarify requirements and offer suggestions for performance or process improvement. A corrective action plan database is kept and letters are mailed to providers. When the provider performance improves, an exit conference is conducted and the provider is notified of a return to full compliance status. A provider that does not meet the corrective action requirements will be referred to the OHCA QA/QI committee for contract action, including contract termination.

If the state finds during a provider performance review that any licensed or certified personnel have an expired license, OHCA will instruct the provider to immediately remove the personnel with the expired licenses until a renewal can be accomplished. The provider agency must also immediately address the members staffing needs to ensure that no gaps occur in servicing the member.

ii. Remediation Data Aggregation

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

| Responsible Party (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 type="checkbox"/> Operating Agency | <input type="checkbox"/> Monthly |
| <input type="checkbox"/> Sub-State Entity | <input type="checkbox"/> Quarterly |
| <input checked="" type="checkbox"/> Other | <input checked="" type="checkbox"/> Annually |

| Responsible Party(<i>check each that applies</i>): | Frequency of data aggregation and analysis (<i>check each that applies</i>): |
|--|---|
| Specify: FMS | |
| | <input type="checkbox"/> Continuously and Ongoing |
| | <input checked="" type="checkbox"/> Other Specify: Semi-Annually |

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

C-5: Home and Community-Based Settings

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.

Refer to Main, Attachment#2

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (1 of 8)

State Participant-Centered Service Plan Title:

Member Centered Service Plan

- 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:

- 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:*

Case Management providers may not provide other program services such as personal care, nursing, and/or specialized medical equipment and supplies, unless provider availability limits the member's access to a willing and qualified provider. In the event there are no more than two case management provider agencies on referral in a county having only the same two providers for home care services, the member may select either agency, regardless of whether or not the case management provider has an interest in the selected home care provider agency.

In accordance with 42 CFR 431.301(c)(1)(vi), the OHCA will not authorize services for agencies that develop the person-centered plan and provide services except in the following circumstance. OHCA has demonstrated to CMS that the only willing and qualified case manager is also, affiliated with a direct service provider. In demonstrating such, OHCA affirms that they will exhaust all avenues of securing providers that are not directly affiliated. Furthermore, entities are restricted from developing the person center service plan and providing services without the direct approval of OHCA.

The State has established the following safeguards to ensure that service plan development is conducted in the best interests of the participant:

All participants are informed that they have freedom of choice of providers and that they may change providers at any time.

Service plans are reviewed by the OHCA Population Care Management Team prior to approval with regard to both the service plan and corresponding service units are appropriate to meet the member's assessed needs.

In the event the member's county of residence does not afford an alternative provider agency to support the member's needs; the case manager documents the issue and submits the case to QA/CLS waiver staff for review to determine if a conflict in the delivery of service(s) will occur; if so QA/CLS will work with the case manager directly to ensure the service plan goals provide detail and clarity to address the conflict in the case management and provider provision of service, and to ensure the case manager document the service need as addressed in the conditions of provider participation, to alleviate the potential for the conflict to have an unsuccessful outcome, and assure appropriate safeguards for the member. OHCA restricts the entity that develops the person-centered service plan from providing services without the direct approval of the state.

In the event a participant disputes the states assertion that there is not another entity or individual to develop the person-centered plan the participant and the QA/CLS staff will engage in the dispute resolution process. During this process the State will share with the participant all efforts of finding another entity with the participant. At this time the State will welcome any feedback and address any concerns or issues of the participant until a consensus is met.

The QA/CLS team maintains a MIS to register member, family or provider complaints, problems and/or incidents. The MIS tracking system is accessed via a toll-free number. As part of orientation in to the waiver, each member is provided information about the toll-free number and how to provide the information by the case manager. The QA/CLS supervisor will review and assign the complaint, problem and/or incident received to, the appropriate waiver staff to investigate, track and record actions and resolution for each complaint or incident.

Quality of service delivery performance of all providers is monitored by by QA/CLS staff. Individualized reports for provider complaint/incident are produced for complaints/incidents tracking. These reports are utilized to

identify patterns of incident or problem types requiring attention or patterns of complaints/incidents that may alert the QA/CLS of potential quality problems with individual providers.

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.

One of the foundational modules in the Case Management Training is Interdisciplinary Teams (IDT). This module is designed to educate case managers about the IDT approach to service planning and to emphasize the philosophy of seeing the "whole" person through a variety of perspectives. This module educates case managers that members, and/or member representatives, are expected to be actively engaged in the initial and ongoing IDT process, service planning process and service plan monitoring process. In addition, this module presents the critical step of talking with the member before each IDT in order to identify who the member would like to invite to the team table.

Case Managers have specialized skills and competencies to perform, at a minimum, five core functions. The core functions form an on-going and dynamic process. Case Management core functions are:

1. **Comprehensive Assessment:** Transition Coordination/Case management requires a comprehensive, systematic, standardized, and multi-dimensional assessment of the member's functional and cognitive capacity and limitations, need for services, strengths, abilities, supports and resources.
2. **Planning:** Planning is a resource allocation process where a service prescription is developed for a member that defines the types of services needed and the amount, frequency and duration of service delivery to meet assessed needs.
3. **Implementation:** Plan implementation is a process of contracting both formal and informal providers to arrange for services outlined in the plan.
4. **Monitoring:** "the continuing contact the Case Manager has with providers and members to ensure that services are provided in accordance with the service plan and to ascertain whether these services continue to meet the member's needs." (Schneider & Weiss, 1982)
5. **Reassessment:** "scheduled or event-precipitated examination of the member's situation and functioning to identify changes which occurred since the initial or most recent assessment and to measure progress toward the desired outcomes outlined in the service plan." (Schneider & Weiss, 1982)

Case Managers must perform the core functions previously described and also adhere to HCBS long-term case management principles. Performing the core functions and following the principles below assures continuity and quality of long-term care case management and services and supports to the member.

- 1) **Principle #1 Case Management is Participant Centered:**

Case Management is a Participant-centered service that respects Participants' rights, values and preferences.

- 2) **Principle #2 Case Management Coordinates ALL Assistance:**

Case Management coordinates all and any type of assistance to meet identified Participant needs including those related to the transition process and those related to community living.

- 3) **Principle #3 Case Management requires knowledge, skills & competencies:**

To perform well, case managers require specialized clinical skills, knowledge, and personal characteristics and competencies.

- 4) **Principle #4 Case Management promotes quality:**

Case management promotes the quality of services provided.

- 5) **Principle #5 Case Management is future oriented:**

Case management looks into the future, predicts and makes plans based on today's indicators.

- 6) **Principle #6 Case Management uses resources efficiently:**

In the prescription of services to meet, but not to exceed, assessed need and to efficiently coordinate services, case management is a cost-effective service.

During this module, case managers are given a self-evaluation tool to evaluate their IDT facilitation performance. The tool emphasizes supporting the member to speak for him/herself and to support the member to be actively engaged in

the process. Case managers are encouraged to implement the tool after their first few member IDT experiences.

A person-centered planning approach guides the service plan development process. The Case Manager (CM) explains the process to the member and others that the member desires to participate in service planning. The case manager is responsible for training the member and the persons they designate in the process.

The CM provides support to the member in this member-centered planning process, including providing information about qualified providers of the waiver program and information on community resources for informal and non-waiver formal services of interest to the member.

In the planning process, the CM helps the member define support needs, service goals and service preferences including access to and use of generic community resources. The CM assists the member in translating the assessment of member needs and preferences into an individually tailored, personalized service plan.

OHCA shall ensure that a written Service Plan will be developed for each eligible individual that wants to participate in this waiver. Once an individual's eligibility is determined, the individual, his or her family members, legal guardians or other representatives will convene a service planning team for the purpose of developing the service plan. Members of the service plan team are selected by the member and may include the individual, his or her family members, his or her legal guardians, advocates, friends and support personnel from other provider agencies.

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):

In accordance with OAC rules, case management services involve ongoing assessment, service planning and implementation, service monitoring and evaluation, member advocacy, and discharge planning.

(a) Upon receipt of a referral from the Provider Agency, the case management supervisor assigns a case manager to the member. However, the member maintains freedom of choice in selecting a provider. The case manager makes a home visit to review the waiver program (its purpose, philosophy, and the roles and responsibilities of the member, service providers, case managers, provider agency and OHCA in the program), and review, update and complete the UCAT assessment, and to discuss service needs and service providers. The member may invite family members, personal representatives and informal support persons to be included in the service plan development. The case manager will assure that the planning meetings are scheduled at times and locations convenient to the member and his or her representative. Within ten (10) working days of the receipt of the referral, or at least ten (10) working days prior to the end-date of an existing service plan, the case management provider completes and submits to the OHCA an individualized service plan for the member.

(b) The service plan is based on the member's service needs identified by the Uniform Comprehensive Assessment Tool III and the Home Health Certification and Treatment Plan (Form 485) when the member's medical condition and level of care necessitates Private Duty Nursing. The case manager uses an interdisciplinary team (IDT) planning approach for service plan development. The services needed by the member are part of the waiver benefits and are prior authorized by OHCA upon service plan approval. Any additional services needed are supplied through State Plan, other Title XIX programs and community resources. The member or the member's guardian and the case manager could comprise a minimum IDT. The case manager is responsible for securing information about participant's needs, preferences, goals and health status.

(c) The Case Manager provides information on all qualified providers for each service needed and assists the individual in making an informed choice of provider. In addition, the Case Manager educates the member and provides advocacy support to the member in development of service delivery to meet the member's individual preference for

when services are delivered and the manner in which services are delivered.

(d) The Case Manager records the member's long-term goals, challenges to meeting goals, and service goals including plan objectives, actions steps and expected outcomes. The case manager is responsible for ensuring that the service plan addresses the member's goals, needs (including health care needs), and preferences. Through the member-centered planning process, the case manager identifies services, member's choice of service provider, and submits a service plan to the member for signature. The next step in the plan development process is that the case manager submits the signed service plan to the case management supervisor for review. The case management supervisor documents the review/approval of the plans or returns the plans to the case manager with notations of errors, problems, and/or concerns to be addressed. The case manager completes the corrections as indicated and reviews the corrected service plan to the member to confirm agreement of changes and then re-submits to the case management supervisor. The case management supervisor returns the approved service plan to the case manager who faxes the plan to the OHCA waiver staff for processing and files the plan in the member's file.

(e) Waiver and other services are authorized by the OHCA Population Care Management Team. The Care Management Team reviews and, if appropriate, approves the service plan and enters the member's plan into a clinician-based system. The program director exercises final decision-making authority over all service plans. Designated waiver staff transmits a copy of the computer-generated authorized service plan to the case manager who reviews and forwards a copy to each of the other providers authorized by the plan to provide services or supplies to the member. Upon receipt of service plan authorization, the case manager communicates with the service providers and with the member to facilitate service plan implementation. Within five (5) working days of notification of an initial or new service plan authorization, the case manager visits the member to deliver a copy of the service plan and evaluates the progress of the implementation of the plan.

(f) Both the case management agency and the OHCA Population Care Management Team have assigned responsibilities to implement and monitor the plan. As discussed above the agency providing case management is responsible for service plan development and communication with the member. Further, the OHCA Population Care Management Team has a role in evaluating the appropriateness of the service plan. Finally, the Quality Assurance and Community Living Services Unit (QA/CLS) will monitor periodic reports regarding services authorized and used, costs of waiver services and member complaints and inquiries.

(g) The Case Manager evaluates service plan implementation and considers any necessary updates on the following minimum schedule:

- (1) within 30 calendar days of the authorized effective date of the service plan or service plan addendum amendment; and
- (2) monthly after the initial 30 day follow-up evaluation date. A copy of the monthly report is submitted to OHCA waiver staff to assist in remediating any unmet need as necessary.

A member or family member may become aware of a change in member needs and may initiate a request for a change in the service plan by contacting the case manager.

Changes requested by a member, family member, service provider or case manager and a justification for the changes are documented as a service plan amendment by the member's case manager. The case manager submits the request to amend the service plan to the waiver staff for processing. OHCA Population Care Management Team approves or denies the request based on medical necessity and review of the documentation submitted within two working days of receipt of the amendment. Members whose service plan amendments are denied are notified by written letter within two working days of the denial and may appeal this decision by completing the LD-1 form and forwarding it to the OHCA Legal Division. During the appeals process, the member will continue to receive services until a final decision has been rendered. If the appealed decision is not in the member's favor, the case manager will assist with obtaining other community resources.

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.

OHCA conducts case management training for all case managers and provides basic knowledge and tools to enable case managers to assess appropriately and develop service plans which adequately address issues of risk and risk mitigation.

OHCA staff and case managers will work with the member and provider to ensure that an effective back-up plan is in place. Such back-up plans may utilize various combinations of formal supports from multiple providers to ensure continuity of services. Contact information for each case manager, emergency, non-emergency, utilities, transportation, landlord, etc..., will be provided to the member. OHCA staff will work with the member to ensure that he/she understands the process of using each.

During service plan development, the case manager assesses the member's risks and develops a service plan that addresses the risks as well as the back-up plan for management of those risks. In this process, the case manager educates the member regarding potential risks and options to address risk. The Case Manager provides advocacy support to the member in development of service delivery to honor member preference for level of risk acceptance and for risk mitigation measures that are built into the service plan including back-up services selected and the manner in which back-up services are delivered.

Service Plans are submitted to designated waiver staff for processing and then referred to OHCA Population Care Management Team for review and authorization. The Care Management team uses defined processes to further assess and address risk factors. Waiver analysts complete a detailed non-clinical review of each new service plan and reassessment using the following high risk indicators:

- UCAT Mental Status Questionnaire (MSQ) score over 18.
- Lives alone with MSQ over 12.
- History of falls.
- Evidence of wounds.
- Medication management issues.
- Ventilator dependent.
- APS involvement.
- Unable to transfer or evacuate the home independently.
- Unable to ambulate without assistance and is left alone for periods of time.
- Unable to use telephone or PERS device.
- Need for 24 hour support is documented but is not provided per Service Plan.
- Severe mental health conditions/risk of harm to self or others.
- Environmental hazards are identified by assessor.
 - Request for personal care and/or ASR hours in excess of 30 units per week.

Service plans with any of the above indicators are forwarded to a Clinical Nurse Supervisor, an RN in the OHCA Population Care Management Department, for additional review. Plans are then reviewed in detail, addressing identified indicators, including back-up and service plan goals. Action to be taken as a result of the review are as follows:

- Service Plan is determined to have addressed all identified risk factors, no further action is needed.
- Service Plan has not addressed risk factors; the case management provider must submit revised documentation which addresses issues in order for the service plan to be approved.
- Identified issues are significant enough to warrant escalation to the OHCA Clinical Review Team. An RN Exceptional Needs Coordinator investigates the issue by contacting the case manager to work with him/her to appropriately address the issue(s). The outcome is forwarded to the Clinical Nurse Supervisor for approval and attached to the member's file in a clinician-based system.

At a minimum, back-up plans should include contact information for the following service providers:

1. Direct service worker
2. Critical health or supportive services
3. Equipment repair or replacement
4. Transportation

For each back-up plan, the provider agency provides the first tier back-up support; second tier support is provided by the member's informal supports; the third tier back-up support is the toll-free number, 888-287-2443, which is answered by the QA/CLS. For extreme emergencies that arise the fourth tier level is 9-1-1 emergency statewide call system.

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.

During assessment for LOC medical eligibility and/or service plan development, the case manager informs the member and family of agencies licensed or certified to deliver case management and in-home services in the local area to obtain the member's primary and secondary informed choices. The case manager documents the names of the agencies chosen and the agreement (by dated signature) of the member to receive services provided by those agencies.

After completing the in-home assessment, as part of the planning process, the case manager should discuss service options for meeting member needs. A list of qualified service providers in the local area is reviewed with the member and the member's legal representative, in consultation with the Case Manager, the member then selects a provider to deliver each service. If the member or his/her legal representative declines to make a provider choice, the Case Manager notifies the OHCA QA/CLS unit to initiate the rotating system to select an agency for the member from a list of local certified case management and in-home care agencies. QA/CLS staff offers the name of the agency to the case manager identified through the rotating system. The case manager then documents the selection on the Medically Fragile Freedom of Choice form. The QA/CLS staff provides ongoing monitoring through 100 percent chart monthly review to ensure that the auto selected provider was chosen according to procedures.

On an ongoing basis, the case manager consults with the member to determine if he or she would like to make a change in service providers if any new providers have been contracted and are available. The case manager will furnish this information at any time the member requests information about available providers. Members may also look on our web page for information about Medically Fragile waiver providers, querying by provider type and by the counties served.

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):

Authorization of service plans and service plan amendments.

The OHCA Population Care Management Team authorizes the individual service plan and all service plan amendments for each member using protocol and criteria established by the Medicaid Agency. Once the team verifies eligibility, plan cost effectiveness, that service providers are authorized and have an executed Medicaid agreement, and that the delivery of services is consistent with the member's level of care need, the service plan or service plan amendment is authorized.

The OHCA Population Care Management Team uses a clinician-designed care management system for service plan review and authorization.

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:

⬆
⬇

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.

(a) A certified Case Manager employed by a qualified Case Management provider agency is responsible for monitoring the implementation of the service plan and participant health and welfare. The case manager will ensure that services are provided in accordance with the service plan, member access to waiver and non-waiver services as identified in the service plan, member's exercise freedom of choice, that services are adequate to meet the member's needs and the effectiveness of member's back-up plan. This continuous monitoring of service plan implementation ensures that waiver services meet the needs of the member and achieve their intended outcomes. This monitoring is also conducted to identify if any problems related to the member's health and welfare that may require action.

(b) The Case Manager, during all monthly monitoring activities, monitors health and safety, progress toward service plan goals, member satisfaction with services and service delivery, identifies any major life changes and continues to assess for level of care and program appropriateness.

The monthly monitoring may be conducted by phone only if the member demonstrates cognitive and communication ability to provide valid information.

At a minimum, quarterly in-home Face-to-Face visits with the member are required.

When a member is un-staffed, the case manager contacts the member and home care agency weekly to provide more frequent monitoring of health and safety, major life changes, possible need to change providers; and to monitor the recruiting activities of the provider to determine when and if a change of provider is indicated. Weekly phone call monitoring occurs until member is staffed.

The case management agency is required to have procedures in place to identify high risk members and situations that may threaten the health and safety of the member and implement a risk management mechanisms to manage all high risk situations. This standard is reflected through the agency's commitment of sufficient implementation resources, supervision activities, documentation practices and management reports.

Minimum Components of Agency Policies and Procedures:

1. The case management agency defines high risk and sets criteria for monitoring high risk members.
2. The case manager develops an individualized High Risk Plan in conjunction with the member's service plan.
3. The case management agency provides heightened supervisory and administrative scrutiny of high risk monitoring activities.

(c) Within five working days of notification of an initial or new service plan authorization, the case manager visits the member in his/her home and evaluates the progress of the service plan implementation.

Thereafter, the case manager evaluates service plan implementation on the following minimum schedule:

- (1) within 30 calendar days of the authorized effective date of the service plan or service plan amendment; and
- (2) monthly after the initial 30 day follow-up evaluation date.

The State ensures that the case management agencies provide for prompt follow-up and remediation of identified problems. The case manager addresses any problem identified with the service plan implementation. This may include amending the service plan to more appropriately address the member's needs and/or assisting the member with a change in providers as necessary.

Quality Assurance and Community Living Services (QA/CLS) staff receives monthly reports from case management agencies that are used for systematic collection and compilation of information about service plan monitoring. This information includes data about all member's status that is compared with service plan data, as well as member reported information in the Member Inquiry System. Information is analyzed and trended monthly and quarterly to ensure that service plans are monitored accurately and member needs are appropriately and timely addressed.

QA/CLS staff will initiate immediate follow up and remediation of any identified problems related to service plan implementation and/or monitoring.

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:*

Providers of Home and Community Based Services (HCBS) for the member, or those who have an interest in or are employed by a provider of HCBS for the member must not provide case management or develop the person-centered service plan, except when the State demonstrates that the only willing and qualified entity to provide case management and/or develop person-centered service plans in a geographic area also provides HCBS.

The State has established the following safeguards to ensure that service plan development is conducted in the best interests of the member.

All members are informed that they have freedom of choice of providers and that they may change providers at any time.

Service plans are reviewed by the OHCA Population Care Management Team prior to approval both with regard to the planned services meeting assessed needs and service units appearing to be appropriate to meet assessed needs.

Waiver program certification Conditions of Provider Participation (COPP) requires each Case Management provider to have developed and implemented a Continuous Quality Improvement (CQI) plan. The plan must provide an accessible means for members to register complaints and a process for provider follow-up action to resolve complaints and address identified problems. The system must track and report on provider performance and member satisfaction with services and provide a process that the provider uses to regularly assess and develop interventions to improve provider performance. Waiver program provider performance reviews assess provider compliance with COPP and with provider service standards.

At a systems level, the OHCA Quality Assurance and Community Living Services (QA/CLS) maintains a Member Inquiry System (MIS) to register member, member family or provider complaints, problems or incidents. MIS is accessed via a toll-free 800 number. As part of orientation, each member is provided information about MIS and the 800 number by the case manager. MIS is supported by a database system to track complaints/incidents, assignment of QA/CLS staff to investigate, to track resolution process and record actions and resolution for each complaint or incident.

Quality of service delivery for all providers is monitored by OHCA (Provider Performance Reviews, Quality Assurance Team and Provider Re-certification). Individualized reports for provider complaint/incident are produced for tracking by Case Management providers. These reports are utilized to identify patterns of incident or problem types requiring attention or patterns of complaints/incidents that may alert OHCA QA/CLS of potential quality problems with individual providers. OHCA shares complaint/incident reports resulting from all sources

including Provider Performance Review reports with the LTCQIC where reviews and trends and/or major issues are addressed.

Service authorization and utilization for members using home care providers who provide case management and those using other case management provider services are compared for comparability of service utilization.

Appendix D: Participant-Centered Planning and Service Delivery

Quality Improvement: Service Plan

As a distinct component of the State’s quality improvement strategy, provide information in the following fields to detail the State’s 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:

**Percentage of Service Plans that reflect all the individual's assessed needs including health and safety risk factors either by provision of waiver services or other means.
Denominator: Number of service plans. Numerator: Number of Service Plans that reflect all the individual's assessed needs including health and safety risk factors.**

Data Source (Select one):

Other

If 'Other' is selected, specify:

Service Plan

| 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 checked="" 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: Case Management Agency | <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 (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 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:

Percentage of Service Plans that reflect all the individual's assessed needs including personal goals either by provision of waiver services or other means. Denominator: Number of Service Plans Numerator: Number of Service Plans that reflect all the individual's assessed needs including personal goals

Data Source (Select one):

Other

If 'Other' is selected, specify:

Service Plans

| 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 checked="" 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: Case Management Agency | <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 (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 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"/> |

- 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/revise**d at least annually or when warranted by changes in the waiver participant's 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:

Percentage of active Members whose Service Plans were updated/revised annually.

Denominator: Service Plans reviewed for active Members Numerator: Service

Plans updated/revised no less than annually

Data Source (Select one):

Other

If 'Other' is selected, specify:

Service Plans, QA/CLS Report and IDT Checklist

| 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 checked="" type="checkbox"/> Other Specify: Case Management Agency | <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 (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 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 checked="" type="checkbox"/> Annually |
| | <input checked="" type="checkbox"/> Continuously and Ongoing |
| | <input type="checkbox"/> Other Specify: <input type="text"/> |

Performance Measure:

Percentage of Service Plans revised and updated prior to annual review based upon amendments received due to changes in members' needs. Denominator: Service Plans Reviewed Numerator: Service Plans revised and updated prior to annual review due based upon amendments received due to changes in members' needs.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Service Plans, Amendments and LTCWO Report

| 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 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 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"/> |

- 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:

Percentage of service plans delivered in accordance to the service type specified on the service plan. Denominator: Service Plans reviewed. Numerator: Service plans in which services were delivered in accordance to the service type specified on the service plan.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Claims data Service Plan

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

Performance Measure:

Percentage of service plans delivered in accordance to the service scope specified on the service plan. Denominator: Service Plans reviewed Numerator: Service plans in which services were delivered in accordance to the service scope specified on the service plan.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Service Plan and claims data

| 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 checked="" type="checkbox"/> Quarterly | <input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/> |
| <input checked="" type="checkbox"/> Other Specify: Provider agency | <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 (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 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 checked="" type="checkbox"/> Annually |
| | <input type="checkbox"/> Continuously and Ongoing |
| | <input type="checkbox"/> Other Specify: <input type="text"/> |

Performance Measure:

Percentage of service plans delivered in accordance to the service amount specified on the service plan. Denominator: Service Plans reviewed Numerator: Service plans

in which services were delivered in accordance to the service amount specified on the service plan.

Data Source (Select one):

Reports to State Medicaid Agency on delegated Administrative functions

If 'Other' is selected, specify:

Service plans and claims data

| 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 checked="" type="checkbox"/> Other Specify: Provider agencies | <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 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 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> |

Performance Measure:

Percentage of service plans delivered in accordance to the service duration specified on the service plan. Denominator: Service Plans reviewed Numerator: Service plans in which services were delivered in accordance to the service duration specified on the service plan.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Service plan and claims data

| 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 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: Provider agencies | <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 checked="" 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 checked="" type="checkbox"/> State Medicaid Agency | <input type="checkbox"/> Weekly |

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

Performance Measure:

Percentage of service plans delivered in accordance to the service frequency specified on the service plan. Denominator: Service Plans reviewed Numerator: Service plans in which services were delivered in accordance to the service frequency specified on the service plan.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Service plans and claims data

| | | |
|---|--|--|
| 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 checked="" type="checkbox"/> Other Specify: Provider agencies | <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 (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 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 checked="" type="checkbox"/> Annually |
| | <input type="checkbox"/> Continuously and Ongoing |
| | <input type="checkbox"/> Other Specify: <input type="text"/> |

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:

Percentage of members offered choice between/among waiver services and providers. Denominator: Number of consents and rights forms received. Numerator: Number of consents and rights forms received documenting the member was offered choice between/among waiver services and providers.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Consents and Rights form

| 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 checked="" 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 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 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.

b. Methods for Remediation/Fixing Individual Problems

- i. Describe the State’s 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.

Service plans are reviewed by the OHCA Population Care Management Team prior to approval both with regard to the planned services meeting the assessed needs and with regard to appropriate service units. When the team identifies a problem with the service plan, the team will in accordance with its policies and procedures review the UCAT score to ensure that the service plan addresses the member needs. Performance failures due to provider non-compliance with requirements such as repeated failure to submit reassessment service plans timely, not addressing all assessed health and safety issues or failure to document member has been afforded choice of services and providers may result in the Case Management provider being taken off referral until documentation of improved processes for meeting requirements is approved by OHCA. The team and/or QA/CLS staff will also review the plan to ensure the services are delivered in accordance with the service plan including the type, scope, amount, duration and frequency specified in the state plan.

Based on information reviewed from claims data, service plans, member surveys and individual audits, the State will provide a report of the findings in order to make adjustments to the member's service plan if necessary.

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 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> |

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.

a) Members of the Medically Fragile waiver will have greater flexibility to self-direct their services through three approaches to self-direction: self-direction, self-direction with supports and the common law model of self-direction.

With the self-direction service model, members of the Medically Fragile waiver will be able to recruit, hire and train their personal care attendants. With this option, members of the waiver will also develop their own 24 hour back up plans with assistance from their planning team. The member is also the employer of record and has budget authority in terms of the salary of the personal care attendant.

In the self-direction with supports model, the individual is the employer of record, but he or she shares the other responsibilities of recruiting, hiring and training staff with an agency or an advocate. Individuals who choose either of these self-direction options will receive assistance from the fiscal agency contracted with the OHCA to provide these services.

Individuals may also choose the common law employer model of self-direction. The individual supervises, hires and discharges directly. The member or the member's representative is accountable for the performance of necessary employment-related tasks and uses the Medically Fragile fiscal agent.

b) The case manager for members of the Medically Fragile waiver will inform the member of the option to self-direct their care upon enrollment in the waiver. During the service planning process, the case manager (with assistance from the service planning team) will assess whether or not the member requires assistance and or training in order to self-direct their services. If self-direction training is needed, the case manager will inform the member of the resources available to provide training and education related to the responsibilities of choosing this service option.

The case manager will also give information to the member about the option to terminate self-direction or change to the agency directed model of service delivery. If the member terminates self-direction, the case manager will ensure that the same quality of self-directed services is available to the individual through an agency model.

c) The OHCA along with provider agencies will coordinate self-directed services for waiver members. The fiscal agent contracted with the OHCA will perform financial management and payroll services to members who choose one of the self-directed service options for their care.

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

Members may self-direct services if they meet the following criteria:

- * Have an existing need for self-directed services to prevent institutionalization
- * Assurance of member health and safety with self-directed services can reasonably be made based on a review of service history records and a review of consumer readiness (a self-assessment of capacity to assume responsibilities as employer of their provider)

For self-direction, the member's health and safety is dependent on the member's capacity and willingness to assume an active role in service planning, provider recruitment, training, management and supervision, self-directed service budgeting and fiscal management, monitoring and managing health and preparation for emergency back up. QA/CLS and OHCA Population Care Management team reviews service history and member readiness assessment to evaluate member capacity and willingness to assume responsibility. The waiver program provides support to the self-directing member in each area in which the review indicates member requires assistance. The case manager assists with service and emergency back up planning. An FMS assists, as needed, to prepare the member in the employer role to recruit, train, manage and supervise the provider, and to assist with self-directed services budgeting and fiscal management. A skilled nurse may assist, as needed, in training the provider on tasks requiring clinical expertise and in monitoring and addressing member-specific health conditions.

A review of service history records and consumer readiness assessment that identifies any of the following forms

the basis for denying a request to self-direct due to inability to ensure member health and safety:

- * The member is not willing to assume responsibility, or to enlist an "authorized representative" to assume responsibility in one or more areas of self-direction; or,
- * The member has a recent history of self-neglect or self-abuse within the past twelve months that is confirmed by Adult Protective Services and does not have an "authorized representative" with capacity to assist with self-direction responsibilities.

If review of service history records and consumer readiness assessment indicate that a member, or member along with an "authorized representative" to assist them, demonstrates minimal capacity to assume self-direction responsibilities but the member chooses to participate, the case manager and FMS provide supports to the member to fully implement self-direction. Only upon documentation by the case manager and FMS of failure, in spite of support efforts, to develop and implement a self-directed plan that would protect consumer health and safety, will the self-direction option for a member be discontinued. Agency personal care services to a member continue until self-direction is fully implemented.

If the member decides not to direct their services or does not meet participation criteria, agency personal care and/or other waiver services of consumer choice are arranged to meet the needs of the member.

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.

The following process is used to provide member direction options to the waiver participants. Upon enrollment in the waiver, members will be informed by their Case Manager of the opportunity for self-direction. Participants will receive information that specifies the following:

- The self-direction options offered
 - The services that may be self-directed
 - A list of the responsibilities of the individual with each self-directed option
 - Resources and training available to individuals who choose self-direction
- Criteria for determining eligibility for self-direction; referenced in E-1-d

The Case Manager will be responsible for providing information about self-direction to each member upon their enrollment in the waiver. The member may request self-directed services from the Case Manager or call the Member Inquiry System toll-free number, 888-287-2443, to request self-directed services.

The member must make a voluntary informed choice to participate in self-direction. To support the decision-making process, the Case Manager will provide the member and, as applicable, their designated "authorized representative" or "legal representative" an overview orientation to self-direction, including the member's role as Employer and the role of each of the other participants in this unique service delivery system.

As part of the informed choice decision-making process for self-direction, the Case Manager will provide consultation and assistance as the member completes a self-assessment of preparedness to assume the role of Employer of their Personal Services Assistant. The orientation and enrollment process will provide the Member with a basic understanding of what will be expected of them under self-direction, the supports available to assist them to successfully perform Employer responsibilities and an overview of the potential risks involved. The self-assessment is meant to provide the member with a realistic picture of what participation in self-direction will mean - to better understand the investment of time, effort and commitment that may be required on their part. The self assessment to assume self-direction employer role and responsibilities is on file with the State Medicaid Agency.

For each member who meets the criteria for participating self-direction, the case manager provides a Medically Fragile program refresher orientation in which basic explanation and information regarding freedom of choice of providers, appeal rights and processes, complaint registration/resolution process along with the toll free number access, risk

management initiation and process, roles and responsibilities of member, CM, FMS and other service providers, member reassessment and service plan review schedule for the particular member and requirement for emergency back-up plan are presented.

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:

The member designates an "authorized representative" to assist with his or her employer responsibilities. The designated authorized representative advise and assist the individual regarding any and all self-direction activities and decision for which the member is responsible and take actions on behalf of the member when directed by the member. If the member chooses to designate an authorized representative, the designation identifying the "willing adult" to assume this role and responsibilities is documented with dated signatures of the member, the designee and the member's Case Manager.

A person will not make decisions for or on behalf of a member unless he or she has the legal authority to do so. In order to be an authorized legal representative, the person must be the legal guardian for the member or have a court ordered power of attorney for the member. An individual who is hired by the member to provide a service will not serve as an authorized representative and legal guardian for the member.

The case managers monitors service delivery and the performance of the member's authorized representative or legal representative to determine if he or she is functioning in the best interest of the member.

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 |
|--|-------------------------------------|-------------------------------------|
| Personal Care | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Respite | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Advanced Supportive/Restorative Assistance | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Self-Directed Goods and Services (SD-GS) | <input checked="" type="checkbox"/> | <input checked="" 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:

The FMS provides administrative financial management of the program for members who self-direct their services in this waiver. The fiscal agent in Oklahoma is selected as a result of a competitive bid process following procedures outlined in the Oklahoma Central Purchasing Act.

- ii. Payment for FMS.** Specify how FMS entities are compensated for the administrative activities that they perform:

The FMS is compensated for administrative services as part of bundled administrative funds for administrative responsibilities of the waiver. The fiscal agent is paid a flat monthly rate for each member. A flat monthly rate is charged each member's budget per month that the member participates in self-direction.

- 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:

Administrative financial management services include assistance with helping the member to understand the tasks associated with self-directed services, completing all required documents and applications, decision-making and specialized skills including assistance with individual budgeting. Additionally, financial management services provides an orientation and training regarding employer responsibilities to support and assist the member to successfully perform the employer related functions.

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:

The financial management services provided by the FMS assists waiver members with developing the budget. The FMS verifies that all self-directed service providers hired by the member meet service provider qualifications, prior to hire.

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.

a) OHCA Quality Assurance and Community Living Services staff review monthly expenditure reports and claims paid by the fiscal agent. OHCA monitors the fiscal agent by reviewing monthly statements, comparing payroll data and reviewing invoices submitted on behalf of each member.

b) QA/CLS staff has oversight and responsibility for the claims paid by the fiscal agent.

c) QA/CLS staff generates monthly reports to monitor the fiscal agent. These reports summarize information about the contractual compliance of the FMS with terms of the contract scope. This includes payroll reports, information and assistance furnished to self-directing members and budget allocation reports.

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:

Self-Directed Services Information and Assistance

The member freely chooses a Case Management provider. The Case Management provider agency assigns the member a Case Manager that has successfully completed training on Self-Directed Services, including training on Independent Living Philosophy and Person-Centered planning. Case Managers that have completed this training

may provide service planning and support to self-directing members, as noted in C-3.

Person-Centered planning is a process directed by the member, with assistance as needed from an authorized representative or support team. The process supports the member in exercising choice and control. The member assumes a responsible role in developing, implementing and managing his/her services and supports. The process is intended to identify the strengths, capacities, preferences, needs and desired outcomes of the member. It may also enlist assistance from individuals freely chosen by the member to serve as important contributors. The person-centered planning process enables the member to identify and access a personalized mix of paid and non-paid services and supports to help him/her achieve personally-defined outcomes in the most inclusive community setting. The focus of person-centered planning is on the member's development of personal relationships, positive roles in community activities, and self-empowerment skills. Decisions are made and outcomes controlled by the member. Strengths, preferences and an individualized system of support are identified to assist the member to achieve functional and meaningful goals and objectives.

Principles of Person-Centered Planning are as follows:

1. The person is the center of all planning activities
2. The Member and their representative, or support team, are given the information to assume a controlling role in the development, implementation and management of the Member's services
3. The individual and those that know and care about him/her are the fundamental sources of information and decision-making.
4. Person-centered planning results in personally-defined outcomes.
5. The individual directs and manages a planning process that identifies his or her strengths, capacities, preferences, desires, goals and support needs.

The Member, or as applicable their designated "authorized representative", is given the option to direct the Medically Fragile service planning process. The Member determines who, in addition to the Case Manager, to include in the planning process. The process is to enable and assist the Member to identify and access formal (paid) and informal (non-paid) supports and services to achieve personally-defined outcomes. For Medically Fragile Members, the Person-centered planning process is to be used for development and revisions of the Member's service plan, including all services, not just for informal support services. Through the planning process, the Member's strengths, capacities, preferences, and needs are identified and planning goals and desired outcomes are defined. The Service Plan specifies services, both formal and informal, service providers, units of service authorized and begin and end dates for services authorized.

The case manager will provide support to the Member in this Person-centered planning process, including providing information about qualified providers of services and information on community resources for informal and non-waiver formal services of interest to the Member. The case manager is responsible for submitting the developed plan to the OHCA Population Care Management Team for approval.

In the planning process, the case manager helps the Member define support needs, service goals and service preferences including access to and use of generic community resources. Consistent with member-direction and preferences, the Case Manager provides information and helps the Member locate and access community resources. Operating within the constraints of the individual budget allocation and using the person-centered planning approach, the Case Manager assists the Member in translating the assessment of member needs and preferences into an individually tailored, personalized service plan that includes a plan for back-up assistance. The Case Manager prepares a service plan or plan amendment to authorize units consistent with this individual plan. The Case Manager monitors the Member's well being and the quality of supports and services and assists the Member in revising the service units authorization as needed.

Whenever a Member and a Provider of services cannot agree about a service, or about appropriate frequency, duration or other aspect of the service, or disagree about a behavior/action of the member, or of the provider, and either the Case Manager, the provider or the Member, or the member's family or authorized representative, believe that the disagreement poses a significant risk to consumer health or safety, the Case Manager uses the Dispute Resolution process to resolve the disagreement. If the behavior/action of the Case Manager is in dispute the QA/CLS Dispute Resolution process will be used to resolve the disagreement. The QA/CLS Dispute Resolution process includes guidelines and criteria for determining circumstances under which to invoke the process, parties to include in the process and the timeline for process resolution.

- 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 |
|--|--|
| Therapy Services: Speech | <input type="checkbox"/> |
| Personal Care | <input type="checkbox"/> |
| Personal Emergency Response System (PERS) | <input type="checkbox"/> |
| Therapy Services: Physical | <input type="checkbox"/> |
| Hospice Care | <input type="checkbox"/> |
| Case Management | <input type="checkbox"/> |
| Prescribed Drugs | <input type="checkbox"/> |
| Skilled Nursing | <input type="checkbox"/> |
| Therapy Services: Occupational | <input type="checkbox"/> |
| Specialized Medical Equipment and Supplies | <input type="checkbox"/> |
| Private Duty Nursing | <input type="checkbox"/> |
| Institutional Transition Case Management | <input type="checkbox"/> |
| Respite | <input type="checkbox"/> |
| Advanced Supportive/Restorative Assistance | <input type="checkbox"/> |
| Self-Directed Goods and Services (SD-GS) | <input type="checkbox"/> |
| Transitional Case Management | <input type="checkbox"/> |
| Environmental Modifications | <input type="checkbox"/> |
| Therapy Services: Respiratory | <input type="checkbox"/> |
| Home Delivered Meals | <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:

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:

Waiver members may voluntarily terminate any services at any time including self-directed personal care services and self-directed supports and services. For waiver members, the case manager will assist individuals with termination of self-directed personal care and replacement with selected provider. Existing services continue as authorized, or the Member's backup plan of choice is implemented, until agency replacement services begin. The member's case manager will respond to the member's request for termination of self-directed services within two working days.

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 of member directed services may occur if it is determined through documentation that the individual can no longer effectively self-direct their services due to:

- Participant abuse or exploitation of their employee;
- Participant falsification of a time-sheet or other work record;
- Participant, even with FMS assistance, is unable to operate within their individualized budget amount; or,
- inferior quality of services provided by member's employee jeopardizes member's health and/or safety;
- Participant does not have an authorized representative who can assume these responsibilities on the individual's behalf.

The case manager will assist individuals with termination and replacement with the provider agency model of service to ensure continuity of service and member's health and welfare during the transition period if involuntary termination of self-direction occurs.

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

| Waiver Year | Employer Authority Only | Budget Authority Only or Budget Authority in Combination with Employer Authority | |
|-------------|-------------------------|--|----------------------|
| | Number of Participants | Number of Participants | |
| Year 1 | <input type="text"/> | 4 | <input type="text"/> |
| Year 2 | <input type="text"/> | 4 | <input type="text"/> |
| Year 3 | <input type="text"/> | 4 | <input type="text"/> |
| Year 4 | <input type="text"/> | 4 | <input type="text"/> |
| Year 5 | <input type="text"/> | 4 | <input type="text"/> |

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:

- 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.**
 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:*

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

- 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.

The individual/representative, along with his or her case manager develops the service plan that includes a budget for the services that are self-directed. The individual's service plan determines the intensity, frequency and duration of needed services.

The amount budgeted for services includes reasonable costs based on the approved rate structure and funding available for each service. The case manager completes the service plan and the budget as determined by the member's level of need determined by the UCAT assessment. OHCA Population Care Management, clinical review team reviews the budget and service plan to assure compliance with cost methodology within the waiver program.

The interdisciplinary team meets monthly with the member to review the previous month's utilization and to verify no overages have occurred without prior approval. Changes to the budget must be reviewed and approved by OHCA Population Care Management Team and is determined by changes in the member's medical condition that may warrant an increase or decrease in approved service units; this amended plan is then submitted to the fiscal agent for action.

The calculation tool and description of the Individualized Budget Allocation (IBA) Expenditures Accounts Determination process are on file with OHCA. In addition, the description of the IBA process is maintained by the Office of Administrative Rules within the Office of Secretary of State and posted on the Secretary of State website.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (4 of 6)

b. Participant - Budget Authority

- 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.

The individual and his or her team decide how the budget for the service plan is allocated. The team establishes the budget for the individual service plan and the individual is the leader of his or her team. The Case Manager educates the individual on the established rates for each service and the range that can be paid for each service eligible for self-direction. The Case Manager informs the member of the established budget amounts and obtains the member's signature on the proposed budget and service plan. The team submits the budget to Population Care Management Team for approval prior to finalizing the service plan. The fiscal agent advises the member of the confirmed budget allocation after the service plan has been approved. A copy of the approved budget is given to the member. Each month the FMS provides the member detailed information of expenditures for the previous month and overall budget status.

During monthly team meetings, the individual and his or her team reviews the monthly budget. Any requested changes to the budget must include a change to the individual service plan. If an individual desires to change the rate of pay for a personal care attendant and this increases the service plan cost, the service plan must be reviewed by the team and submitted to Population Care Management Team for approval. If the team requests a budget modification and the modification is denied by the OHCA, the individual may request a fair hearing through the OHCA's Legal Division. The OHCA hearing officer reviews the issue and makes a determination for the individual.

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (5 of 6)

b. Participant - Budget Authority

- 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

- 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:

The individual budget is developed with the input from the individual, the Case Manager and members of the interdisciplinary team. The team meets monthly (or more often if needed) to review the status of the individual's budget allocation. The monthly status report includes the expected expenditures and the actual expenditures and monthly balance for each service. Staff of the fiscal agent reviews budget variances with the Case Manager and members of the interdisciplinary team. The Case Manager reviews the variance with the member and assist the member in making any needed adjustments to stay within the budget allocation.

Additionally, the case manager evaluates monthly the adequacy of service delivery and member satisfaction with services. If the case manager determines that the allocation is inadequate, the case manager should request an amendment to the member's budget.

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.

Fair Hearings regarding eligibility are heard by OHCA. Applicants for the waiver are informed of this opportunity in written information presented in the first meetings with the member about the Medically Fragile Waiver.

Service appeals are heard by OHCA. If a participant or applicant believes he or she was not given a choice of home and community-based services as an alternative to institutional care, denied the services of their choice or the provider of their choice, or whose services are denied, suspended, reduced or terminated, the individual may request a hearing through the OHCA Legal Division. At the hearing, the individual will have the opportunity to express his or her concerns to the hearing officer. The individual may be represented by counsel if they desire. This is described in OAC 317:2-1-2.

In addition, all residential provider agencies are required to have a policy and procedure detailing their complaint and resolution process and provide this information to the individual. Individuals participating in the Medically Fragile waiver will also have access to the MIS toll-free number, 1-888-287-2443.

During the assessment visit to establish medical eligibility, the case manager explains to the Member (and/or his/her legal representative) his/her rights to a Fair Hearing (Part D of the Member Consents and Rights form) as well as how the Member may request a Fair Hearing.

In addition, as part of the application process, the applicant is notified by the OHCA worker of his/her rights and responsibilities including the right to a fair hearing. The applicant has the right to:

- be treated equally regardless of race, color, age, sex, handicap, religion, political belief, or national origin
- have information kept confidential, unless directly related to the administration of OHCA programs
- request a fair hearing, either orally or in writing if the applicant disagrees with any action taken
- be represented at the hearing by a designee
- have the application processed promptly
- obtain assistance from OHCA in completing this application or in obtaining required verification
- reapply at any time benefits stop
- receive information about programs administered by OHCA.

The member is informed in writing by the OHCA staff and by the Case Manager of the member's right to receive a fair hearing regarding any decision with potentially adverse impact on the member including choice of service setting (institution or waiver services), choice of provider or of service, or denial, reduction, suspension or termination of services. Appeals regarding services are directed to the OHCA.

When action is taken on a member's case, the member is advised in writing of the action, the reason for the action, and rights to appeal. Copies of the notices are kept in the Electronic Documentation System. The member is informed that a request for a

fair hearing regarding eligibility must be submitted in writing to the Legal Division of OHCA, P.O. Drawer 18497, Oklahoma City, OK 73154-0497. The applicant is also advised of the right to legal counsel at the hearing by either a private attorney or free legal help. The written notice includes information about how to access free legal help, where and how to file an appeal, and the time frame in which an appeal must be filed. The Request for a Fair Hearing explains that the member will continue to receive services if a hearing is requested until after a decision is made.

The member also receives written information about the right to request a Fair Hearing and the steps in the process regarding appeals with respect to services. The member is to use the LD-1 form to file a request. The LD-1 form is to be mailed to:

Oklahoma Health Care Authority
Grievance Docket Clerk
Legal Division
P.O. Drawer 18497
Oklahoma City, Oklahoma 73154-0497

OHCA Fax Number is (405) 530-3444

OHCA Docket Clerk Telephone Number is (405) 522-7217

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.

OHCA understands that the members eligible for this waiver have many needs that affect their medical services while being served in the community. Moreover, the agency recognizes that an additional dispute resolution process would be helpful for persons who desire additional medical service beyond those authorized by the agency.

Therefore, the agency will offer dispute resolution in addition to the fair hearing process; however, the member is informed that making use of the dispute resolution process is not a pre-requisite or substitute for the fair hearing process. Additional dispute resolution is available for both eligibility and medical services dispute issues. Dispute resolution must be concluded within 45 days of the request by the member. The process begins with a request for additional dispute resolution. Additional dispute resolution will be conducted between the member, legal services and OHCA Population Care Management unit. It may involve a meeting with the member in their home. No admission against interest made in the additional dispute resolution process may be utilized as evidence by parties at the fair hearing.

The additional dispute resolution process will attempt to include other state agencies as well as other social services to the extent they can help the member with their medical needs. Additionally, the additional dispute resolution process will be used to resolve disputes regarding medical care.

If dispute resolution does not resolve the member's dispute, the fair hearing process will continue.

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:

The Oklahoma Health Care Authority operates the Grievance/Complaints system referred to as Member Inquiry System (MIS) at 1-888-287-2443.

- 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).

OAC 317:2-1-2 describes OHCA's appeals process. A grievance allows a member to appeal a decision which adversely affects their rights. A decision regarding services, for example, can be appealed by the member.

In contrast, a complaint is a concern reported by a member that requires the assistance of program staff.

Members may express a complaint or file an appeal as needed.

(a) The member is informed by the OHCA staff and by the case manager of the member's right to receive a fair hearing regarding any decision with potentially adverse impact on the member. Appeals regarding financial eligibility and services are heard by OHCA. However, when a member elects to file a grievance or make a complaint, the member is informed that doing so is not a pre-requisite or substitute for a Fair Hearing. Members are informed by their case manager of rights to fair hearing during the time of enrollment. Member signature on the Medically Fragile Consents and Rights form acknowledges their receipt of these rights.

(b) All waiver members are informed they should direct all complaints to the MIS toll free phone number at 1-888-287-2443. Summary of each complaint will be documented in the OHCA's complaint tracking system. The analyst who receives the call will determine the course of action based on procedures indicated in the procedures manual. Complaints related to the member's health and safety will be immediately addressed. The policy/procedures also lists the timelines for initiating a response to member complaints. Resolution of all complaints will be documented in the complaint tracking system.

The member also receives written information outlining the appeals process for filing grievances, as described in appendix F-1 above. The LD-1 must be filed within 20 days of the triggering event. Member appeals are normally heard within 90 days. However, an expedited process can be utilized, with a final decision rendered in approximately 48 hours.

(c) Direct communications with the provider agencies serving the members are used to resolve member complaints. The complaint tracking system allows for trend reporting of member complaints against provider agencies. These provider reports are also considered during provider audits and in provider agreement monitoring. The State will take action based upon review of complaint data.

In addition, the State has Fair Hearing and formal appeal processes available to every member in the waiver. The formal grievance process may include a hearing before an Administrative Law Judge. The member is also informed that if assistance in reading or completing the LD-1 form is needed that arrangements will be made.

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).

It is the requirement of QA/CLS and OHCA that any serious incident that harms or may potentially harm a member is immediately identified, reported, reviewed, investigated and corrected. This requirement will not supersede any federal, state or regulatory body statutes, laws or regulations. The Critical Incident Reporting and Tracking System addresses all member incidents listed and defined by the policy. As required by state law, responsible parties must report abuse, neglect and/or exploitation. Adult Protective Services is the designated State Agency lead with investigative authority in the event of critical incidents involving abuse, neglect or exploitation. It is the expectation that the Provider Agency that first identifies a critical incident, report the incident to OHCA/Quality Assurance and Community Living Services department within the timeframe specified on the critical incident form for an incident of suspected abuse, neglect or exploitation. The member's case manager, with the support of OHCA, facilitates the evaluation and/or investigation process of the critical incident.

The state has adopted the definitions of abuse, neglect and exploitation outlined in the State of Oklahoma statute (O.S. 43 § 10-103. Definitions):

Abuse: "Intentional infliction of physical pain, injury, sexual abuse or mental anguish or the deprivation of food, clothing, shelter, or medical care to a vulnerable adult by a caretaker or other person responsible for providing these services" (O.S. 43 § 10-103. A.8).

Neglect: "Failure to provide protection to a vulnerable adult who is unable to protect the person's own interest; or the failure to provide adequate shelter or clothing; or the harming or threatening with harm through action or inaction by either another individual or through the persons own action or inaction because of a lack of awareness, incompetence, or incapacity, which has resulted or may result in physical or mental injury" (O.S. 43 § 10-103. A.10).

Exploitation: "An unjust or improper use of the resources of a vulnerable adult for the profit or advantage, pecuniary or otherwise, of a person other than the vulnerable adult through the use of undue influence, coercion, harassment, duress, deception, false representative or false pretense" (O.S. 43 § 10-103. A.9).

Other definitions listed in the statutes include: self-neglect, verbal abuse, sexual exploitation.

In accordance with the State of Oklahoma statute (O.S. 43 § 10-104.A), "any person who has reasonable cause to believe a vulnerable adult is suffering from abuse, neglect or exploitation shall report the situation to authorities as soon as the person is aware of the situation. Reports can be made to the Department of Human Services Adult Protective Services program, the local district attorneys office, or the local police or sheriff's department. Reporting is the individual responsibility of the person who believes the situation to be one which should be reported."

In addition, the State of Oklahoma statute (O.S. 43 § 10-104.B) states that, "although the reporting requirement applies to everyone, certain professionals are specifically required by law to report situations." These include, but are not limited to, social workers, mental health professionals, and other medical professionals.

The Provider is responsible for completing their own internal investigation of all Level I critical incidents, unless they have been directed not to do so from an authorized government entity. Level II and Level III incidents require further investigation if the provider determines this as necessary after an initial evaluation is completed. All investigative reports are submitted to the OHCA or designee within 10 working days after the initial critical incident report is completed. When a provider becomes aware of a critical incident, the provider must inform OHCA's Quality Assurance/Community Living Services Division within the timeframe specified on the critical incident form for a Level I, Level II or Level III incident of suspected abuse, neglect or exploitation.

The Provider Agency reviews all critical incident reports and determines the appropriate response to each incidence

(evaluation or investigation). The Provider Agency coordinates their investigative efforts with governmental investigative authorities as required by State or Federal law. The Provider Agency uses the following criteria in determining whether an evaluation response is adequate for resolution of the critical incident:

An adequate description of the incident has been obtained

The critical incident is either a Level II or Level III

Documentation reflects the assessment of the illness or injury and its impact to the Participants health and welfare

Documentation reflects that appropriate action has been taken to assure the Participants continued health and welfare

There is no history of similar events in previous incidents in Participants community home in the past six months

(unless there is a documented plan indicating an agreed upon procedure that has been followed, i.e. a Participant has a seizure disorder and a plan has already been developed of how to manage a resultant fall).

The OHCA or designee reviews all critical incident reports and determines the appropriate response to each occurrence, (evaluation or investigation). The OHCA or designee coordinates their investigative efforts with governmental investigative authorities as required by State or Federal law. The OHCA or designee uses the following criteria in determining whether an evaluation response is adequate for resolution of the critical incident:

An adequate description of the incident has been obtained;

The critical incident is either a Level II or Level III;

Documentation reflects the assessment of the illness or injury and its impact to the Participant's health and welfare;

Documentation reflects that appropriate action has been taken to assure the Participant's continued health and welfare;

There is no history of similar events in previous incidents in Participants community home in the past six months;

(except when there is a documented plan indicating an agreed upon procedure that is to be followed, as a result of a documented medical condition, i.e. a Participant has a seizure disorder and a plan has already been developed of how to manage a resultant fall).

In the Medically Fragile waiver Conditions of Provider Participation (COPP), Case Management, Home Care, and Hospice providers are required, as part of their Medicaid Agreement, to ensure that necessary safeguards have been taken to assure the health and safety of the Member. This includes removing an employee suspected of abuse, neglect or exploitation until an investigation occurs. Requirements specify that the provider will follow the APS process for reporting potential instances of suspected abuse, neglect and exploitation.

Furthermore, the waiver operates a toll free number, 888-287-2443, for inquiries or complaints from Members, providers, or others. OHCA staff reports any suspected incidence of abuse, neglect or exploitation to APS.

The Oklahoma Department of Human Services website for Adult Protective Services (<http://www.okdhs.org/APS/printer.html> § 5.C) offers the following guidance on reporting potential abuse, neglect and exploitation, "The best way to make a report to the Department of Human Services is to contact the APS supervisor who has responsibility for the county where the vulnerable adult lives." Supervisor contacts for each county are available from a "Contact Us" link for reporting potential abuse, neglect and/or exploitation.

According to State of Oklahoma statute (O.S. 43 § 10-104 C.1.), "if the report is not made in writing in the first instance, as soon as possible after it is initially made by telephone or otherwise, the report shall be reduced to writing by the Department of Human Services, in accordance with rules promulgated by the Commission for Human Services, or the local municipal police, or sheriff's department whichever entity received the initial report.

According to State of Oklahoma statute (O.S. 43 § 10-104 A.2.a.), the person suspecting potential abuse, neglect or exploitation must make the report to the appropriate authorities "as soon as the person is aware of the situation."

- 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.

As part of the Medically Fragile program Conditions of Provider Participation, each Case Management, Home Care and Hospice provider must comply with member assurances in the delivery of services. At each new member orientation to the waiver the Member's chosen case manager provides in-home orientation and education along with written materials to the Member and his/her selected support systems regarding Member rights and responsibilities, the grievance process and procedures, the case management service emergency phone numbers, the Member Inquiry Services toll-free telephone number, 888-287-2443, health and safety procedures, and how to recognize abuse, neglect and exploitation and the process for reporting any incidents of such. Training and education is documented by the

member signing the Member Training and Education Acknowledgement Form; this form is kept in the member's file. The Medically Fragile waiver case managers are responsible for ongoing monitoring of the health and welfare of Members and providing the necessary education and intervention related to abuse, neglect and exploitation of Members. This new member orientation is conducted by the Case Manager within 10 business days of receipt of service plan approval.

- 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.

The Quality Assurance and Community Living Services (QA/CLS) Division reviews reports of critical events or incidents involving suspected abuse, neglect or exploitation. When QA/CLS is notified of instances of potential abuse, neglect and exploitation, these instances are immediately reported to Adult Protective Services. The APS office, is maintained within the Department of Human Services (DHS) and is authorized in Title 43A of the State of Oklahoma statutes, sections 10-101 through 10-111 as the authority to investigate any report of potential abuse, neglect or exploitation. All matters referred to APS for investigation are documented in OHCA's electronic documentation system.

While APS does not provide information related to abuse, neglect and exploitation to the waiver program, OHCA has developed its own internal system for prevention and identification of instances of potential abuse, neglect and exploitation or concerns for the health and safety of the Member.

For APS investigations, O.S. 43A Section 10-105 C.5.1., states "As soon as possible after initiating an investigation of a referral regarding a vulnerable adult, the Department shall provide to the caretaker of the alleged victim, the legal guardian and the next of kin of the vulnerable adult notification including a brief oral summary and easily understood written description of the investigation process, whether or not the caretaker, guardian or next of kin is alleged to be the perpetrator of the abuse, neglect or exploitation of the vulnerable adult."

- 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.

OHCA has developed internal policies, procedures and business rules to address potential instances of abuse, neglect and exploitation and concerns for health and safety. The QA/CLS division has mechanisms in place to provide oversight and safeguard the waiver members with respect to the investigation of critical incidents and events.

The Quality Assurance and Community Living Services (QA/CLS) division provides oversight of the reporting of and response to any critical incidents; when staff receive provider agency reports of critical incidents they will complete an assessment located within the electronic documentation system and forward to OHCA clinical staff for review and recommendation for follow up. Where necessary waiver staff will conduct an investigation of the incident in accordance with policy. This monitoring is ongoing, critical incident reports are compiled and reviewed monthly for proper processing and timely resolution.

OHCA maintains an electronic documentation system for storage, retrieval and dissemination of information that supports the Medically Fragile waiver program. This system allows for performance monitoring of members and providers as well as tracking and reporting of complaints related to member health and safety, including abuse, neglect and exploitation. Data compiled in this system is analyzed and may be used to develop new strategies to prevent re-occurrence of an incident and lead to implementation of overall system changes.

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:

Adult Protective Services (APS) is the designated state agency responsible for investigating any report of unauthorized use of restraints as a form of abuse in accordance with statutory timeframes for such investigations. As noted in Appendix G-1, the Adult Protective Services is authorized in Title 43A of the Oklahoma Statutes, Sections 10-101 through 10-111. A report can be made to Adult Protective Services 24 hours a day, 365 days a year.

Quality Assurance and Community Living Services (QA/CLS) Division has a coordinated system of communication with APS regarding abuse, neglect, and exploitation of any member as part of a comprehensive system-wide critical incident reporting system.

QA/CLS has processes in place to detect the unauthorized use of restraints during the delivery of waiver services. These processes include QA/CLS regular monitoring of the member's health and welfare, the performance of periodic provider quality reviews and the Medically Fragile waiver incidents management system in which unauthorized restraints is a reportable incident.

- 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).

- 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:

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:

Adult Protective Services (APS) is the designated state agency responsible for investigating any report of unauthorized use of restrictive intervention as a form of abuse in accordance with statutory timeframes for such investigations. As noted in Appendix G-1, the Adult Protective Services is authorized in Title 43A of the Oklahoma Statutes, Sections 10-101 through 10-111. A report can be made to Adult Protective Services 24 hours a day, 365 days a year.

Quality Assurance and Community Living Services (QA/CLS) Division has a coordinated system of communication with APS regarding abuse, neglect, and exploitation of any member as part of a comprehensive system-wide critical incident reporting system.

QA/CLS has processes in place to detect the unauthorized use of restraints during the delivery of waiver services. These processes include QA/CLS regular monitoring of the member's health and welfare, the performance of

periodic provider quality reviews and the Medically Fragile waiver incidents management system in which unauthorized restraints is a reportable incident.

- 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:

Adult Protective Services (APS) is the designated state agency responsible for investigating any report of unauthorized use of seclusion or as a form of abuse in accordance with statutory timeframes for such investigations. As noted in Appendix G-1, the Adult Protective Services is authorized in Title 43A of the Oklahoma Statutes, Sections 10-101 through 10-111. A report can be made to Adult Protective Services 24 hours a day, 365 days a year.

Quality Assurance and Community Living Services (QA/CLS) Division has a coordinated system of communication with APS regarding abuse, neglect, and exploitation of any member as part of a comprehensive system-wide critical incident reporting system.

QA/CLS has processes in place to detect the unauthorized use of restraints during the delivery of waiver services. These processes include QA/CLS regular monitoring of the member's health and welfare, the performance of periodic provider quality reviews and the Medically Fragile waiver incidents management system in which unauthorized restraints is a reportable incident.

- 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.

- 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.

Appendix G: Participant Safeguards

Appendix G-3: Medication Management and Administration (2 of 2)

- c. **Medication Administration by Waiver Providers**

Answers provided in G-3-a indicate you do not need to complete this section

- 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).

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:

(b) Specify the types of medication errors that providers are required to *record*:

(c) Specify the types of medication errors that providers must *report* to the State:

- 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.

Appendix G: Participant Safeguards

Quality Improvement: Health and Welfare

As a distinct component of the State's quality improvement strategy, provide information in the following fields to detail the State's 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:

Percentage of CM and HH providers who met Conditions of Provider Participation requirements related to training for the prevention of AN&E and Unexplained Death. Denominator: Case Management and home health providers reviewed. Numerator: Case management and home health provider agencies that met COPP requirements related to training for the prevention of AN&E and Unexplained Death.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Case Management and Provider Agency Employee File

| 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 checked="" type="checkbox"/> Other Specify: Case management and home health provider | <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 checked="" type="checkbox"/> Other Specify: Semi-Annually | |

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 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 type="checkbox"/> Quarterly |
| <input type="checkbox"/> Other Specify: <input type="text"/> | <input checked="" type="checkbox"/> Annually |
| | <input type="checkbox"/> Continuously and Ongoing |
| | <input checked="" type="checkbox"/> Other Specify: Semi-Annually |

Performance Measure:

Number & percentage of case management member records reviewed where the member (or family/legal guardian) received information & education on how to recognize & report abuse, neglect & exploitation. Denom: CM member records reviewed Numer: CM member records documenting member/family/legal guardian received information & education on how to recognize & report abuse, neglect & exploitation.

Data Source (Select one):

Record reviews, off-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 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 checked="" type="checkbox"/> Other Specify: Case management agency | <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 (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 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 checked="" type="checkbox"/> Other Specify: Semi-annually |

Performance Measure:

Number and Percentage of Critical Incidents that are appropriately reported in accordance with OHCA policy. Denominator: Number of Critical Incidents received Numerator: Number appropriately reported in accordance with policy

Data Source (Select one):

Critical events and incident reports

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 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 checked="" type="checkbox"/> Other Specify: Provider agency | <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 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: <input type="text"/> | <input checked="" type="checkbox"/> Annually |
| | <input type="checkbox"/> Continuously and Ongoing |
| | <input checked="" type="checkbox"/> Other Specify: Semi-annually |

Performance Measure:

Number and percentage of critical incidents requiring review/investigation that adhered to the follow-up methods as specified in the approved waiver.

Denominator: Number of critical incidents received **Numerator:** Number of incidents reviewed/investigated in adherence with methods specified in approved waiver

Data Source (Select one):

Critical events and incident reports

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 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 checked="" type="checkbox"/> Other Specify: Provider agencies | <input type="checkbox"/> Annually | <input type="checkbox"/> Stratified Describe Group: <input type="text"/> |
| | | <input type="checkbox"/> Other |

| | | |
|--|---|----------------------------------|
| | <input checked="" type="checkbox"/> Continuously and Ongoing | 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 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 checked="" type="checkbox"/> Annually |
| | <input type="checkbox"/> Continuously and Ongoing |
| | <input checked="" type="checkbox"/> Other Specify: Semi-annually |

Performance Measure:

Number and percent of critical incidents where required/recommended follow-up was completed. Denominator: Number of Critical Incidents received Numerator: Number of critical incidents where required/recommended follow-up were completed.

Data Source (Select one):

Critical events and incident reports

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 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 checked="" type="checkbox"/> Other | <input checked="" type="checkbox"/> Annually | <input type="checkbox"/> Stratified |

| | | |
|-------------------------------|---|---|
| Specify: Provider agencies | | 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 checked="" type="checkbox"/> Annually |
| | <input type="checkbox"/> Continuously and Ongoing |
| | <input checked="" type="checkbox"/> Other Specify: Semi-annually |

Performance Measure:

Number and percent of critical incidents that were referred to the appropriate investigative entities. Denominator: Number of Critical Incidents received
Numerator: Number of critical incidents that were referred to the appropriate investigative entities.

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 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 checked="" type="checkbox"/> Other Specify: Provider agencies | <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 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 checked="" type="checkbox"/> Annually |
| | <input type="checkbox"/> Continuously and Ongoing |
| | <input checked="" type="checkbox"/> Other Specify: Semi-annually |

Performance Measure:

Number and percentage other providers who met Conditions of Provider Participation requirements related to training for the prevention of AN&E and Unexplained Death. Denominator: Providers reviewed. Numerator: Providers that met COPP requirements related to training for the prevention of AN&E and Unexplained Death.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Provider contracts

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

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:

Number and Percentage of Critical Incidents where root cause was identified.

Denominator: Number of Critical Incidents received Numerator: Number of critical incidents where the root cause was identified.

Data Source (Select one):

Critical events and incident reports

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 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:

| 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 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: <input type="text"/> | <input checked="" type="checkbox"/> Annually |
| | <input type="checkbox"/> Continuously and Ongoing |
| | <input checked="" type="checkbox"/> Other Specify: Semi-annually |

Performance Measure:

Number and percentage of critical incident where systematic changes were implemented due to annual trend analysis. Denominator: Number of critical incidents received. Numerator: Number of critical incidents received where systematic changes were implemented do to annual trend analysis.

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 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:

| 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 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 checked="" type="checkbox"/> Annually |
| | <input type="checkbox"/> Continuously and Ongoing |
| | <input checked="" type="checkbox"/> Other Specify: Semi-annually |

- 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:

Number and percentage of participants with no substantiated incidents of restraints, seclusion or restrictive intervention. Denominator: Number of participants. Numerator: Number of members with no substantiated incidents of restraints, seclusion or restrictive interventions.

Data Source (Select one):

Critical events and incident reports

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 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="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:

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

Number and percent of member satisfaction surveys that reported unmet needs.
Denominator: Total number of surveys received. Numerator: Number of surveys that reported unmet needs.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Member Satisfaction Surveys

| 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 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:

| 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: <input type="text"/> | <input checked="" type="checkbox"/> Annually |
| | <input type="checkbox"/> Continuously and Ongoing |

| | |
|--|---|
| 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"/> Other Specify: <input type="text"/> |

Performance Measure:

Number and percent of members monitored having overall positive account of the services, based on established overall health care standards including planning delivery, and quality of care. Numerator: Number of members monitored having overall positive account of the services, based on established overall health care standards. Denominator: Number of members monitored.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Members survey

| 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 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 <i>(check each that applies):</i> | Frequency of data aggregation and analysis <i>(check each that applies):</i> |
| | |

| 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 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 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.

b. Methods for Remediation/Fixing Individual Problems

- i. Describe the State’s 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 Quality Assurance and Community Living Services (QA/CLS) division dedicated waiver staff are responsible for program monitoring and oversight and will address individual problems as they are discovered with regard to operations and administrative functions that are performed by all contracted entities. QA/CLS staff reviews reports of critical events or incidents including suspected abuse, neglect or exploitation. When QA/CLS and Office of Client Advocacy identifies instances of potential abuse, neglect and exploitation, these instances are immediately reported to Adult Protective Services. APS is statutorily responsible for investigating allegations of abuse, neglect, or exploitation of Oklahomans. In accordance with federal law, the State maintains a Nurse Aide Registry that lists certified nurse aides. The Nurse Aide Registry indicates if an aide has been confirmed to have abused, neglected, or exploited a resident of a licensed nursing facility. The Community Service Worker Registry must also be verified prior to employment. Waiver providers must consult these registries prior to offering employment to a non-licensed service provider and refrain from employing that person if either registry indicated the person was confirmed to have abused, neglected, or exploited an individual.

In addition, the State will use findings to update the Waiver Quality Improvement Strategies (QIS) as necessary.

When QA/CLS detects provider non-compliance with the program requirements, to ensure that members have received education from Case Managers on how to report abuse, neglect and/or exploitation, that all member complaint investigations were initiated/resolved within the required time frame, and that all critical incidents were appropriately reported and resolved in accordance with policy the agency may require the provider to implement a corrective action plan.

The plan will detail the steps to be taken to prevent future performance failures along with the timeframe, not to exceed 30 days, for implementation of the corrective actions. QA/CLS staff conducts follow-up activities in accordance with the waiver and review procedures to ensure corrective action has been implemented to safeguard the health and safety of members who may be affected due to the performance failure.

When appropriate, referrals will be made to Adult Protective Services for investigation of the incident or event. Quarterly reports of remediation and corrective action plans (if any) are reported to the Long Term Care Quality Improvement Council (LTCQIC).

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 type="checkbox"/> Operating Agency | <input checked="" 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%;"></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> |

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 2)

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;
- 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 2)

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.

OHCA strives to operate the waiver systematically incorporating the principles of continuous quality improvement. The Long Term Care Quality Initiatives Council (LTCQIC) collaborates for the trending, prioritizing and implementation of system improvement in OHCA waivers. The Council consists of various divisions within OHCA as well as provider agencies, advocacy groups and other stakeholders. The council meets quarterly to discuss member and provider issues and to set priorities for system-wide quality improvement. The Council receives information from a variety of reports prepared by the QA/CLS, Provider Agencies and the FMS. As a result of an analysis of the discovery and remediation information presented to the council, system improvements are identified and design changes are recommended.

The LTCQIC annually reviews the Quality Oversight Plan and utilizes numerous quality indicators that are tracked and reported on an annual basis. The State aggregates, verifies, and analyzes the results of the discovery processes to evaluate the indicators for each sub-assurance. The State identifies trends, best practices, and areas for improvement. The council also reviews this data and develop recommendations for improvements.

Participants in the council represent a wide variety of stakeholders including but not limited to; QA/CLS staff; Populations Care Management staff, Quality Assurance staff, Legal, Systems, DHS, and representatives of Member advocacy groups, and provider agency representatives. The LTCQIC meetings are a public meeting attended by participants and families. In attempts to be more transparent amongst the members and families the State will post minutes/reports from LTCQIC meetings on the public website.

- ii. System Improvement Activities

| Responsible Party(<i>check each that applies</i>): | Frequency of Monitoring 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"/> Quality Improvement Committee | <input checked="" type="checkbox"/> Annually |
| <input type="checkbox"/> Other Specify: <input type="text"/> | <input type="checkbox"/> Other Specify: <input type="text"/> |

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.

Process for Monitoring and Analyzing the Effectiveness of System Design Changes

As the Long Term Care Quality Improvement Council (LTCQIC) identifies necessary system design changes, it also establishes the process for monitoring and analyzing effectiveness. The Council sets an evaluation period and ensures that the necessary reports of design changes are brought to the Council for review and to establish any other necessary revisions needed.

Roles and Responsibilities for Monitoring and Assessing System Design Changes

OHCA, the State's single Medicaid Agency, has responsibility for and maintains associated quality monitoring and improvement activities associated with the following:

Maintain Oklahoma administrative code establishing program policy;

Execute waiver provider agreements;

Provide MMIS to support operations including member eligibility, provider file, prior authorizations, services and service rates, claims payments, member and provider notification and reports generation;

Ensure program integrity and accountability;

Establish service rates and provider standards;

Generate required and/or requested documents and reports for CMS;

Pay Medicaid claims for waiver program providers through the CMS-approved MMIS;

Maintain Medicaid Management Information System (MMIS); and

Conduct monthly monitoring of member eligibility and waiver program plan of care approval processes.

OHCA is the eligibility agent for the waiver program. OHCA has responsibility for and maintains associated quality monitoring and improvement activities associated with the following:

Ensure that Medicaid eligibility and waiver program enrollment are conducted in accordance with OHCA policy;

Track and validate eligibility data in MMIS;

Conduct eligibility/service appeal hearings;

QA/CLS/OHCA is responsible for and maintains associated quality monitoring and improvement activities associated with the following:

Certify/monitor Providers as qualified” to provide identified waiver services by meeting all standards and conditions of provider participation and to participate in the Medicaid Program;

Train case managers and provide program orientation;

Establish and maintain repository of member records;

Authorize member service plans and enter prior authorizations in MMIS;

Provide long term care information/application/referral services;

Operate member complaint/resolution service system;

Conduct research to identify member needs and service gaps, to design new or modify existing systems or services to meet needs and/or improve waiver program services or service delivery.

To effectively monitor, evaluate and impact quality across a complex and multi-layered system of service delivery requires multiple ongoing activities by staff associated with independent system members. The LTCQIC follows a path of engaging people at all levels striving for the continual enhancement and improvement in the value of the waiver program for all stakeholders.

QA/CLS has designated staff that is responsible for Continuous Quality Improvement (CQI) activities related to waiver program functions and responsibilities. At least annually, CQI leadership along with administrative leadership within the agency review priorities and strategies for remediation/improvement and summarize these priorities in the Quality Oversight Plan.

Targeted Standards for Systems Improvement

As the LTCQIC over time implements systems improvements, targeted standards will be developed and monitored.

- ii. Describe the process to periodically evaluate, as appropriate, the Quality Improvement Strategy.

The QA/CLS division annually evaluates the Quality Improvement Strategy of the waiver to assure the state's capacity to discover and document quality issues and program performance is maintained. QA/CLS staff reviews data from program performance reviews, monthly program reports, critical incidents and any other quality improvement activities conducted to look for trends. Areas needing improvement are identified and prioritized. Program staff responds to recommendations from the LTCQIC for designing and implementing improvements activities. Continued monitoring of performance measures identifies the effectiveness of the improvements efforts.

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).

(a) The entity that is responsible for the independent audit under the Single Audit Act in Oklahoma is the Office of the State Auditor and Inspector. This agency performs annual provider audits separately and apart from the operating Medicaid agency (OHCA).

In the Medically Fragile waiver the State does not require the providers to conduct an independent audit of their financial statements as the providers for this waiver are also the same used in another waiver program (ADvantage) already contracted with OHCA.

(b) Quality Assurance/Community Living Services (QA/CLS) division performs a semi-annual financial desk audit of 100% the waiver case management providers as part of a comprehensive provider audit process. The desk audit reviews claims in comparison with monthly monitoring reports and case management case notes detailing service delivery in comparison with service plan authorization. In addition, OHCA Program Integrity and Accountability unit conducts an on-site audit of waiver service providers when reviews of claims payments uncover abnormalities/errors in provider claims and/or documentation associated with a claim.

In this renewal, as part of the semi-annual post payment desk audit review process the QA/CLS division will incorporate the review of paid claims as part of the reviews for personal care providers, employed by a Home Health Agency. The quality assurance personnel will review paid claims history for a specific person, for a specific month for all personal care providers. They will review documentation supporting the delivery of waiver services as billed by the provider in comparison to services authorized. Problems noted by the quality assurance staff will be documented on the Case Management and Home Health Performance review tool to ensure a mutual understanding of the audit findings for remediation. The QA/CLS Coordinator then reviews the information and makes recommendations for remediation. Report of financial audit to providers includes findings and recommendations/requirements for plan of

correction/improvement of provider business process, if any. Prevalence of provider claims errors from the initial review may lead to additional follow-up. If the audit detects a pattern of inappropriate billing, a referral is made to Program Integrity and Accountability for review and further investigation of the providers billing practices. Consequence for misuse of funds may include repayment, and or termination of the provider contract.

We will utilize Raosoft to obtain the statistically significant (95% confidence level with at most a 5% margin of error) sample size of claims to review documentation supporting the delivery of waiver services as billed by the provider in comparison to services authorized. Problems noted by the quality assurance staff will be documented on the Case Management and Home Health Performance review tool to ensure a mutual understanding of the audit findings for remediation. The QA/CLS unit will review 100% of providers during the semi-annual review process.

Currently the QA/CLS unit uses the MMIS system post payment review for all other providers. To ensure appropriate payment of claims, the OHCA MMIS has various checkpoints prior to rendering payment for claims. The Program Integrity and Accountability unit performs audits after payments are made and the agency reimburses the federal share for overpayments that are identified. All claims processed through the MMIS are subject to post-payment validation. When problems with service validation are identified on the post payment review, erroneous or invalidated claims are voided from the claims payment system and the previous payments are recouped from the provider. Moving forward, the QA/CLS department will utilize Raosoft to determine a statistically significant (95% confidence level with at most a 5% margin of error) sample of claims for all other waiver providers during the semi-annual post payment review process; according to the following schedule. The QA/CLS division performs the semi-annual desk audits according to the schedule below. First six months all members enrolled in the waiver and who received services from July to December. Second half, all additional members enrolled in the waiver from January to June who received services.

(c) Errors in provider claims include (1) claims payment without corresponding documentation of service delivery and (2) claims payment in excess of service plan authorization. Claims error incidence will be measured for each member and in summary of all members reviewed. Measures of claims error incidence are (1) percent of units paid without service delivery documentation in the period and (2) percent of units paid in excess of authorized units in the period.

Discovery Method: For the provider financial audit, all members are reviewed. Claims for services delivered to them are reviewed semi-annually.

(d) For individuals participating in self-direction the audit process is the responsibility of the FMS; however, OHCA monitors the contract to ensure compliance. The State requires the FMS to submit monthly reports as part of the administrative oversight of all contractors furnishing services in this waiver. As required by federal and state law, Provider shall keep such records as are necessary to disclose fully the extent of services provided to Members and shall furnish records and information regarding any claim for providing such service to OHCA, the Oklahoma Attorney General's Medicaid Fraud Control Unit (hereinafter MFCU), and the U.S. Secretary of Health and Human Services (hereinafter Secretary). Provider agrees to keep records to disclose the services it provides for seven years from the date of service. Provider shall not destroy or dispose of records, which are under audit, review or investigation when the seven-year limitation is met. Provider shall maintain such records until informed in writing by the auditing, reviewing or investigating agency that the audit, review or investigation is complete. Pursuant to 74 Okla. Stat. 85.41, OHCA and the Oklahoma State Auditor and Inspector shall have the right to examine Provider's books, records, documents, accounting procedures, practices, or any other items relevant to this Agreement.

Still, on a semi-annual basis the QA/CLS unit will perform desk audits of the FMS to ensure contractual compliance. In this audit items reviewed include (1) the monthly payroll reports to ensure timely submission and adherence to all contractual requirements; (2) review of spending plans to verify that utilization is occurring according to the service authorization (3) and, that service providers hired for members choosing self-direction met all qualifications prior to delivering services.

Going forward providers of self-directed services will also be required to use an electronic verification system (EVV) system as will employees of provider agencies in an effort to monitor service delivery.

Onsite reviews of the FMS contractor are not conducted as the contractor is housed in the state of Minnesota; however, the FMS performs internal audits of activities performed for waiver members over the course of one week during the following months; January, April, July, and October and the results of the audit are made available to the State.

Currently, the State contracts with one FMS for self-direction services for waiver members.

Annually, the FMS conducts member satisfaction surveys which are used to engage the people they serve or their authorized representatives in rating the FMS customer service and financial administration processes. Information from these surveys are used in the quality improvement processes of the FMS.

Frequency: Semi-Annually

Entity Responsible for Reviewing Findings: QA/CLS Provider Audit Team

Communication: Report of financial audit to provider includes findings and recommendations/requirements for plan of correction/improvement of provider business process, if any. Prevalence of provider claims errors from the initial review may lead to additional sampling. If the audit detects a pattern of inappropriate billing, a referral is made to Program Integrity and Accountability for review and further investigation of the providers billing practices.

Appendix I: Financial Accountability

Quality Improvement: Financial Accountability

As a distinct component of the State's quality improvement strategy, provide information in the following fields to detail the State's 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:

Number and percent of waiver claims paid for members enrolled in the waiver on the date that the service was delivered. Denominator: Paid claims for Medically Fragile members on the date that services was delivered. Numerator: Paid claims for Medically Fragile Waiver services to members enrolled in the waiver.

Data Source (Select one):

Other

If 'Other' is selected, specify:

MMIS claims data

| 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 checked="" type="checkbox"/> Quarterly | <input type="checkbox"/> Representative Sample Confidence Interval = |

| | | |
|---|---|---|
| | | |
| <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:

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

Performance Measure:

Percentage of service claims paid that were submitted for members who were enrolled in the waiver on the date that the service was delivered. Denominator: Paid claims Numerator: Paid claims for members enrolled in the waiver

Data Source (Select one):

Other

If 'Other' is selected, specify:

Comparison of claims with enrollment file

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

Performance Measure:

Number and Percentage of waiver claims paid for waiver services to members with rates consistent with the approved rate methodology. Denominator: Total paid claims for waiver services. Numerator: Paid claims for waiver services to member's with rates consistent with the approved rate methodology.

Data Source (Select one):

Other

If 'Other' is selected, specify:

MMIS Claims Data

| | |
|--|--|
| | |
|--|--|

| 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 checked="" 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:

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

Performance Measure:

Number and percentage of prior authorizations entered correctly according to the approved service plan. Numerator: Number of prior authorizations entered

correctly according to the service plan. Denominator: Number of prior authorizations entered.

Data Source (Select one):

Other

If 'Other' is selected, specify:

Service Plan

| 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 checked="" 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:

| 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 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 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: <input type="text"/> |

- 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:

Number of claims paid in accordance with waiver reimbursement methodology.

Denominator: Paid claims Numerator: Paid claims adjudicated according to waiver reimbursement methodology.

Data Source (Select one):

Other

If 'Other' is selected, specify:

MMIS/DSS Query, Provider Audits

| 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 checked="" 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 style="width: 100%; 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 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: <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"/> |

- 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 State’s 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.

OHCA QA/CLS staff resolves individual problems discovered during provider performance reviews and when responding to member complaints filed through the Member Inquiry System. The problem/complaint is documented in the clinician designed system used to store all member information. Quality improvement strategies are developed to address specific issues; the development of these initiatives are informed by internal discovery and monitoring and by interaction and recommendations from the LTCQIC. Providers identified for remediation must meet performance standards of the Conditions of Provider Participation in order to remain contracted waiver providers. Providers who are under corrective action are given a time period in which improvements must be accomplished. These providers are monitored to ensure they achieve full compliance with standards. Ultimately, OHCA provider agreements can be terminated for failure to meet contractual standards.

- 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 type="checkbox"/> Operating Agency | <input type="checkbox"/> Monthly |

| Responsible Party <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: <input type="text"/> | <input checked="" type="checkbox"/> Annually |
| | <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 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).

The rate setting methodology for personal care, respite and advanced supportive/restorative process was reviewed in September 2012. A rate proposal for State Plan Personal Care, ADv Waiver PC, ADvantage Waiver Respite and ADvantage Advanced Supportive Restorative Assistance services was presented following the public processes outlined above. The methodology was not changed; however, the rate brief indicated that the rate increase from \$3.63 to \$3.69 per 15-minute unit was necessary to ensure access to care. The rates were requested, based on data collected from providers, to assure that access to personal care and related services are available to members requiring services and so that providers would have the ability to recruit and retain staff. The rate increase was proposed for implementation November 1, 2012. The former rate of \$3.60 was effective September 1, 2006.

In 2013, rates were again increased, effective July 1, 2013 from \$3.69 to \$3.92. This was in an effort to continue to support necessary access to care and to support the inflation in the cost of living. In 2015, a rate reduction was proposed for ADvantage Waiver PC, ADvantage Respite, and ADvantage Advanced Supportive Restorative Assistance services utilizing the public process previously noted. The reduction was requested in response to the legislative mandate for State agencies to file and maintain a balanced budget. At this time, Med. Frag continued the July 1, 2013 effective rates and did not reduce any rates. In Dec 2015, OHCA in an effort to maintain a balanced budget and respond to the adverse budget conditions of the State, proposed a 3% across the board rate reduction that would include the Medically Fragile Waiver. Effective April 1, 2016, Med Frag Waiver rates were all reduced by 3%. In Sept 2018, OHCA responded to the Senate Bill 1605 which was mandated to increase most provider rates by 2% after years of rate reductions; OHCA will increase by 3%. Effective October 1, 2018, Advanced Supportive Restorative rates will increase from \$4.22 to \$4.35 Personal Care rates went from \$3.92 to \$3.80. Effective August 1, 2016, OHCA recommended and approved the reversal of 3% Med Frag provider rate reduction. Personal care rates went from \$3.80 to \$3.92. Effective October 1, 2018, Personal Care rates will increase from \$3.92 to \$4.04.

The rate setting methodology for private duty nursing (PDN) was reviewed in July of 2017. A rate proposal to increase the PDN rate was presented and approved following the public processes. The rate methodology was not changed; however, the rate brief indicated that the rate increase from \$6.30 to \$7.55 per 15 minute unit was necessary as PDN rates have not keep pace with wage inflation, business expenses inflation or home health market basket adjustments as published by CMS. Effective October 1, 2017, the increase for PDN rates were effective. The adjustment of the rate attempts to better align rates with the economic situation experienced by this industry in OK and increase PDN agencies ability to recruit and retain nurses. The rate setting methodology for case management was revised in 2002 based on a study of ADv case management service delivery. ADv conducted an experience-based time and resource study of direct case management of ADvantage consumers including administrative overhead such as supervision, utilities and telecommunications, facility rental, drive-time and other factors. Further, an analysis of time and dollar relationship to consumer ADLs, health and safety needs and other characteristics including county of residence to determine predictors of increased time and dollar case management resource utilization requirements was considered. Effective October 1, 2018, PDN rates will increase from \$7.55 to \$7.78.

The rate setting methodology for home delivered meals (HDM) is based on the average statewide cost of a meal under the Older Americans Act, reviewed and monitored by DHS Aging Services Division. Effective 10/1/2018, HDM will be \$5.15.

The rate setting methodology for hospice was established in Oct 2000 and was based on the average hospice rate using Medicare rates for Oklahoma County, Tulsa County and the rest of the state. This amount was \$87.10. The Hospice rate was increased in 2012 along with other waiver service rates. The current hospice rate is \$115.53. Effective October 1, 2018, Hospice rates will increase from \$119.10 to \$122.67.

The OHCA State Plan Amendment Rate Committee (SPARC) is responsible for reviewing and setting all service rates for Medicaid services. Rates are given final consideration and approval by the OHCA Board.

Rates for waiver services are set by one of the methodologies below:

- 1) Method One -Utilizing the Medicaid Rate: When a waiver service is the same as a Medicaid service for which a fee schedule has been established, the current Medicaid rate is utilized. Examples of these services include:
 - a) Nursing Facility based Respite Care: Reimbursement for this service is made at the current daily nursing facility rate.
 - b) Personal Care Services: Payment is made at the rate established for State Plan Personal Care services.
 - c) Respite in the Home: Payment is made at the rate established for State Plan Personal Care services.
 - d) Prescription Drugs: Payment is made at the rate established for drugs paid for under the State Plan.

The State affirms that all waiver services are provided under the State Plan are provided under the same rate as the State Plan rate for all providers.

- 2) Method Two -Utilizing the current Medicare Rate: Currently, no services under this waiver utilize this rate methodology.

The State affirms that all waiver services that are the same as Medicare services are paid under the same rate as the Medicare fee schedule for all providers. Currently, no services in this waiver utilize this rate methodology.

- 3) Method Three - Fixed and Uniform Rate: Title 74 of the Oklahoma Statutes provides a methodology for setting fixed and uniform rates.

a) Determination of need for a fixed and uniform rate

i) New: A new service is developed, or

ii) Existing Service: Feedback from providers, members, or the general public indicates that the existing rate is not sufficient to ensure access to an existing service.

b) Preparation of a Rates and Standards Brief:

i) Preparation: Staff prepares a position paper that at a minimum includes a description of the service, the payment history including rates and utilization, the methodology utilized to arrive at the proposed rate, and a description of the funding source.

ii) Public Hearing: A public hearing notice is prepared and a hearing is scheduled.

iii) Oklahoma Office of Central Services: Copies of the public hearing notice, the Rates and Standards Brief and any other pertinent data is delivered to the Oklahoma Office of Central Services at least 30 days before the date of the public hearing. The Director of DCS shall communicate any observation, reservation, criticism or recommendation to the agency, either in person at the time of the hearing or in writing delivered to the State agency before or at the time of the hearing.

c) Public Hearing Notice: Notice of public hearing will be provided in the following:

- i) Posted in the office of the Secretary of State
- ii) Posted by the OHCA at its physical location and on the web site calendar.
- iii) Published by the OHCA in various Newspaper publications across Oklahoma.

d) Public Hearing:

- i) Committee: The public hearing is conducted by the Rates and Standards Committee of the OHCA. The committee is comprised of staff from the OHCA and the Department of Human Services (DHS).
- ii) Public comment: All attendees of the public hearing are offered an opportunity to voice their opposition or approval of the proposed rates. All comments become part of the permanent minutes of the hearing.
- e) Final Approval: The rate is then scheduled for consideration and approval by the Board of Directors of the OHCA prior to implementation.

f) Med Frag services set by fixed, uniform rate setting are:

- i) Case Management
- ii) Nursing
- iii) Therapy Services
- iv) Home Delivered Meals
- v) Advance Supportive/Restorative Assistance
- vi) Medical Equipment and Supplies
- vii) Institutional Transition Case Management
- viii) Hospice.
- ix) Skilled Nursing
- x) Transitional Case Management may vary depending on the location, provider and member's need.
- xi) Personal Care
- xii) Respite

4) Individual Rates: Certain services because of their variables do not lend themselves to a fixed and uniform rate. Payment for these services is made on an individual basis following a uniform process approved by the Medicaid Agency. Examples of these services include:

- a) Architectural Modifications Methodology for these rates varies for different providers according to actual provider specialty. Providers may include Architects; Electricians; Engineers; Mechanical Contractors; Plumbers; Re-modelers and Builders. Further, each required environmental modification is different. For example, ramps costs (due to the initial conditions of the home and yard) differ according to such variables as the length of the ramp, types of rails, and strength of the ramp needed if, for instance the member has an electric wheelchair.

The State requires three bids based on specifications in the scope of work. There are no set rates for these services as the State utilizes a bidding process to determine the vendor based on the ability to meet the member needs taking into consideration costs, completion time and contract with the State.

b) Self-Directed Personal Care and Advanced Supportive/Restorative Assistance: Methodology for these rates will not exceed the set rates for payments made to agencies. A range of payments per hour is calculated for member consideration when hiring the member-directed personal services assistance or advanced personal services assistance. This provides the member the flexibility as employer to pay different salaries to different workers within programmed defined limits (see Method One, Medicaid rate). However, the member as the employer may not exceed the rate for these services as identified in Method One.

c) Self-Directed Respite in the home: Methodology for these rates will not exceed the set rates for payments made to agencies. A range of payments per hour is calculated for member consideration when hiring the member-directed respite in the home. This provides the member the flexibility as employer to pay different salaries to different workers within programmed defined limits (see Method One, Medicaid rate). However, the member as the employer may not exceed the rate for these services as identified in Method One.

d) Personal Emergency Response Systems vary depending on the location and the provider.

e) Specialized Medical Equipment and Supplies are authorized by selecting the best bid from among a minimum of three, except for incontinence supplies. Incontinence supplies are reimbursed based on fixed rates that were established based on a study of Oklahoma and 24 other states' payments and providers' costs.

f) Member-Directed Goods and Services vary depending on the goods and services needed by the member to aid in the delivery of ADLs and IADLs. For members participating in self-direction, during service plan development the member along with the team makes a determination of services that will be needed and reimbursed under Goods and Services. Employer related expenses include costs incurred for services related to the provision of personal care. The dollar amount approved for those services are determined by reasonable and customary cost for that service or item

purchased in local area to include, but not limited to: classified advertising, mileage, office supplies, faxing and coping. The amount allotted for the goods and services account is allocated annually.

- 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:

Provider claims for waiver services are filed directly with the OHCA fiscal agent, Hewlett Packard (HP). Claims are adjudicated through Oklahoma's CMS-certified MMIS. All waiver services require prior authorization. Prior authorizations are generated from the waiver member's individual treatment plan. The prior authorization is in the MMIS. All transactions are HIPAA compliant and secure.

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:

Claims for waiver services are processed by Oklahoma's CMS-certified MMIS and are subject to all validation procedures included in the MMIS. This ensures that payments are made only when:

- (a) All claims for waiver members are first validated for member eligibility according to data contained in the MMIS.
- (b) All claims for waiver services must be matched to an active prior authorization. Prior authorizations are created

from the waiver member's individual plan of care with provider of service, dates of authorization and units as specified in the service plan. Claims processing edits built into the MMIS deny claims payment if any of the following conditions are encountered:

- Date of service is outside member eligibility dates;
- Service provided is outside the benefit package for the waiver;
- Provider is not a qualified provider;
- Service is not prior authorized;
- Units are in excess of prior authorized;
- Date of service is outside prior authorization.

(c) All claims processed through the MMIS are subject to post-payment validation including, but not limited to Program Integrity and Accountability. When problems with service validation are identified on a post payment review, erroneous or invalidated claims are voided from the claims payment system and the previous payments are recouped from the provider. Provider audits (see Appendix I-1) review service delivery in comparison with claims and service plan authorization. If the provider audit detects a pattern of inappropriate billing, a referral is made to Program Integrity and Accountability for review and further investigation of the provider's billing practices.

- 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:

The FMS receives payment as the limited fiscal agent for self-directed services. Services that can be self-directed include: Personal Care, Advanced Supportive/Restorative Assistance and Respite. The limited Fiscal Agent performs the following functions:

1. Assists member in verifying support worker citizen status,
2. Collects and processes timesheets of support workers,
3. Processes payroll, withholding, filing and payment of applicable federal, state and local employment related taxes and insurance.

Limited Fiscal Agent services may include assistance with cognitive tasks, decision-making and specialized skills including assistance with Individual Budget Allocation Planning. In addition, according to the needs and desires of the member the FMS may provide orientation and training regarding employer responsibilities as well employer information and management guidelines, materials, tools and staff consultant expertise to support and assist the member in successfully performing employer-related functions. OHCA's QA/CLS contract monitor is responsible for overseeing the operations of the limited fiscal agent through provider performance reviews in collaboration with the Long Term Quality Initiative Council (LTCQIC).

- 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

I-3: Payment (3 of 7)

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.

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:

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:*

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

- 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 (OHCDS) 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 OHCDS and how these entities qualify for designation as an OHCDS; (b) the procedures for direct provider enrollment when a provider does not voluntarily agree to contract with a designated OHCDS; (c) the method(s) for assuring that participants have free choice of qualified providers when an OHCDS arrangement is employed, including the selection of providers not affiliated with the OHCDS; (d) the method(s) for assuring that providers that furnish services under contract with an OHCDS meet applicable provider qualifications under the waiver; (e) how it is assured that OHCDS contracts with providers meet applicable requirements; and, (f) how financial accountability is assured when an OHCDS arrangement is used:

iii. Contracts with MCOs, PIHPs or PAHPs. *Select one:*

- 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.

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.

Specify the groups of waiver participants who are subject to charges for the waiver services specified in Item I-7-a-iii and the groups for whom such charges are excluded.

All waiver members are subject to a co-payment on prescription drugs. Co-payments are not applied to other waiver services.

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.

The following table lists the waiver services defined in C-1/C-3 for which a charge is made, the amount of the charge, and the basis for determining the charge.

| Waiver Service | Charge |
|------------------|--|
| Prescribed Drugs | <p>Amount: \$0.00 for preferred generics \$0.65 for cost of \$0.00-\$10.00 \$1.20 for cost of \$10.01-\$25.00 \$2.40 for cost of \$25.01-\$50.00 \$3.50 for cost of \$50.01 or more</p> <p>Basis: \$0.00 for preferred generics \$0.65 for prescriptions having a Medicaid allowable payment of \$0.00-\$10.00. \$1.20 for prescriptions having a Medicaid allowable payment of \$10.01-\$25.00. \$2.40 for prescriptions having a Medicaid allowable payment of \$25.01-\$50.00 and \$3.50 for prescriptions having a Medicaid allowable of \$50.01 or more. There is no co-payment for preferred generic medications.</p> |

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.

Indicate whether there is a cumulative maximum amount for all co-payment charges to a waiver participant (*select one*):

- There is no cumulative maximum for all deductible, coinsurance or co-payment charges to a waiver participant.**
- There is a cumulative maximum for all deductible, coinsurance or co-payment charges to a waiver participant.**

Specify the cumulative maximum and the time period to which the maximum applies:

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: Hospital, Nursing Facility

| 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 | 63587.67 | 9998.76 | 73586.43 | 97587.82 | 27925.70 | 125513.52 | 51927.09 |
| 2 | 66653.59 | 10198.59 | 76852.18 | 99539.59 | 28484.21 | 128023.80 | 51171.62 |
| 3 | 70231.88 | 10402.56 | 80634.44 | 101530.38 | 29053.89 | 130584.27 | 49949.83 |
| 4 | 73758.77 | 10610.61 | 84369.38 | 103561.01 | 29634.97 | 133195.98 | 48826.60 |
| 5 | 77761.33 | 10822.82 | 88584.15 | 105632.22 | 30227.67 | 135859.89 | 47275.74 |

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (1 of 9)

- 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: | Level of Care: |
| | | Hospital | Nursing Facility |
| Year 1 | 96 | 24 | 72 |
| Year 2 | 105 | 25 | 80 |
| Year 3 | 115 | 27 | 88 |
| Year 4 | 126 | 30 | 96 |
| Year 5 | 138 | 33 | 105 |

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.

Average length of stay (ALOS) is calculated by dividing the total number of "enrolled days" for all waiver members by the number of unduplicated members served during a waiver year. For the waiver renewal the ALOS estimate is based on the actual experiences from a preliminary 372 report from July 1, 2016 to June 30, 2017 to determine the baseline. (Ex. 26,894 total number of days for all members divided by total number of 87 members) ALOS = 309 days. The ALOS for waiver years 2-5 were projected at a 2% increase from waiver year 1.

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 for these estimates is as follows:

Factor D Derivation is based on actual waiver expenditure data from preliminary 372 report from July 1, 2016 to June 30, 2017 and divided by the number of waiver members who entered and exited the program during that waiver year and factoring in an increase of 5% for all direct care services (PDN, Personal Care, ASR, SD-PC and SD-ASR) for waiver years 2-5. A 2% rate of increase was used for all other services across waiver years 2-5. The average cost per unit was updated to reflect the current reimbursement and expenditure levels.

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:

For 2018 (Renewal Year 1), Factor D' Derivation is based on actual State Plan service cost taken from a preliminary 372 report run for July 1, 2016 to June 30, 2017, excluding the cost of prescribed drugs for dually eligible members. This data was used as a baseline and adjusted for one year of anticipated cost increase based on average cost increases over the previous four year period using the inflation factor of 4.5%. Similarly for waiver years 2 through 5, the previous year D' Factor is multiplied by 2% to derive the estimate of State Plan service costs for each waiver year.

For the preliminary 372 data used for Factor D and Factor D' the QA/CLS department requested a query from our Office of Data Governance and Analytics providing them with the specific criteria for data extraction, excluding the cost of prescribed drugs for dual eligible members thus giving us our baseline.

Example Year 1 ($87/853,664.43 = 9,812 \times 1.9\% = 9998.43$) Year 2 ($10,198.59 \times 2\% = 10,402.56$).

As part of the State's methodology to develop a more accurate projection of non-institutional TXIX waiver cost in this renewal; the State utilized preliminary data from a 372 of actual TXIX expenditures for D' and G'. In analyzing the actual data it was realized G' was more than D' due to the necessity to utilize two level of care categories comparable to the level of care categories for individuals served in the waiver.

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 Derivation is based upon the weighted average of actual institutional cost for skilled nursing facilities and hospitals serving persons who are medically fragile and/or technologically dependent. An analysis of state fiscal year July 1, 2016 to June 30, 2017 data from the preliminary 372 report is used as a baseline for 2018 (Renewal Year 1). Factor G is adjusted by 5.5% inflation rate for in year 1. The 5.5% inflation factor is based on the State's Medicaid cost inflation. For each successive waiver year, the NF average cost (Factor G) is adjusted based on an estimated annual inflation rate of 2%.

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' Derivation is based upon the average of actual cost of other non-institutional Title XIX services for persons who are in a nursing facility or hospital. An analysis of state fiscal year July 1, 2016 to June 30, 2017 data from the preliminary 372 report is used as a baseline for 2018 (Renewal Year 1). Factor G' is adjusted by 1.9% inflation rate in year 1. The 1.9% inflation factor is based on the State's Medicaid cost inflation. For each successive waiver year, the non-institutional Title XIX cost (Factor G') is adjusted based on an estimated annual inflation rate of 2%.

Example ($1,671,680.09/61 = 27,404.59 \times 1.9\% = \$27,925.27$) actual Year 1 cost.

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 | |
| Case Management | |
| Personal Care | |
| Respite | |
| Prescribed Drugs | |
| Advanced Supportive/Restorative Assistance | |
| Environmental Modifications | |
| Home Delivered Meals | |
| Hospice Care | |
| Institutional Transition Case Management | |
| Personal Emergency Response System (PERS) | |
| Private Duty Nursing | |
| Self-Directed Goods and Services (SD-GS) | |
| Skilled Nursing | |
| Specialized Medical Equipment and Supplies | |
| Therapy Services: Respiratory | |
| Therapy Services: Occupational | |
| Therapy Services: Physical | |
| Therapy Services: Speech | |
| Transitional Case Management | |

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

| Waiver Service/ Component | Unit | # Users | Avg. Units Per User | Avg. Cost/ Unit | Component Cost | Total Cost |
|--|--------|---------|---------------------|-----------------|----------------|-------------------|
| Case Management Total: | | | | | | 242009.44 |
| Case Management | 15 min | 92 | 166.00 | 14.68 | 224192.96 | |
| Case Management Rural | 15 min | 4 | 212.00 | 21.01 | 17816.48 | |
| Personal Care Total: | | | | | | 1180572.00 |
| Personal Care | 15 min | 35 | 3630.00 | 4.04 | 513282.00 | |
| Self-Directed Personal Care | 15 min | 20 | 7670.00 | 4.35 | 667290.00 | |
| GRAND TOTAL: | | | | | | 6104416.21 |
| Total Estimated Unduplicated Participants: | | | | | | 96 |
| Factor D (Divide total by number of participants): | | | | | | 63587.67 |
| Average Length of Stay on the Waiver: | | | | | | 315 |

| Waiver Service/ Component | Unit | # Users | Avg. Units Per User | Avg. Cost/ Unit | Component Cost | Total Cost |
|--|---------------------|---------|---------------------|-----------------|----------------|------------|
| Respite Total: | | | | | | 72935.90 |
| In Home Extended Respite | 1 day | 0 | 0.00 | 170.86 | 0.00 | |
| Respite | 15 min | 3 | 1631.00 | 4.04 | 19767.72 | |
| Nursing Facility Based Respite | 1 day | 1 | 1.00 | 142.00 | 142.00 | |
| Self-Directed Respite | 15 min | 3 | 4361.00 | 4.04 | 52855.32 | |
| Self-Directed In Home Extended Respite | 1 day | 1 | 1.00 | 170.86 | 170.86 | |
| Prescribed Drugs Total: | | | | | | 302162.00 |
| Prescribed Drugs | per prescribed drug | 35 | 113.00 | 76.40 | 302162.00 | |
| Advanced Supportive/Restorative Assistance Total: | | | | | | 437396.85 |
| Self-Directed Advanced Supportive/Restorative Assistance | 15 min | 17 | 3941.00 | 4.35 | 291436.95 | |
| Advanced Supportive/Restorative Assistance | 15 min | 19 | 1766.00 | 4.35 | 145959.90 | |
| Environmental Modifications Total: | | | | | | 0.00 |
| Environmental Modifications | per modification | 0 | 0.00 | 1500.00 | 0.00 | |
| Home Delivered Meals Total: | | | | | | 28438.30 |
| Home Delivered Meals | 1 meal | 22 | 251.00 | 5.15 | 28438.30 | |
| Hospice Care Total: | | | | | | 0.00 |
| Hospice Care | 1 day | 0 | 0.00 | 122.67 | 0.00 | |
| Institutional Transition Case Management Total: | | | | | | 1350.56 |
| Institutional Transition Case Management | 15 min | 2 | 46.00 | 14.68 | 1350.56 | |
| Institutional Transition Case Management Rural | 15 min | 0 | 0.00 | 21.05 | 0.00 | |
| Personal Emergency Response System (PERS) Total: | | | | | | 3667.20 |
| Personal Emergency Response System (PERS) | 1 mo | 10 | 12.00 | 30.56 | 3667.20 | |
| Personal Emergency Response System (PERS) Installation | 1 mo | 0 | 0.00 | 50.00 | 0.00 | |
| Private Duty Nursing Total: | | | | | | 3492263.06 |
| Private Duty Nursing | | | | | 3492263.06 | |
| GRAND TOTAL: | | | | | | 6104416.21 |
| Total Estimated Unduplicated Participants: | | | | | | 96 |
| Factor D (Divide total by number of participants): | | | | | | 63587.67 |
| Average Length of Stay on the Waiver: | | | | | | 315 |

| Waiver Service/ Component | Unit | # Users | Avg. Units Per User | Avg. Cost/ Unit | Component Cost | Total Cost |
|--|----------|---------|---------------------|-----------------|----------------|-------------------|
| | 15 min | 43 | 10439.00 | 7.78 | | |
| Self-Directed Goods and Services (SD-GS) Total: | | | | | | 8208.00 |
| Self-Directed Goods and Services (SD-GS) | N/A | 6 | 9.00 | 152.00 | 8208.00 | |
| Skilled Nursing Total: | | | | | | 38530.70 |
| RN Assessment | 15 min | 53 | 8.00 | 13.91 | 5897.84 | |
| Skilled Visit by RN | 15 min | 15 | 62.00 | 13.91 | 12936.30 | |
| Skilled Visit by LPN | 15 min | 12 | 118.00 | 13.91 | 19696.56 | |
| RN Assessment Transitional | 15 min | 0 | 0.00 | 13.91 | 0.00 | |
| Specialized Medical Equipment and Supplies Total: | | | | | | 293524.40 |
| Specialized Medical Equipment and Supplies | per item | 94 | 2402.00 | 1.30 | 293524.40 | |
| Therapy Services: Respiratory Total: | | | | | | 0.00 |
| Therapy Services: Respiratory | 15 min | 0 | 0.00 | 14.16 | 0.00 | |
| Therapy Services: Occupational Total: | | | | | | 0.00 |
| Therapy Services: Occupational | 15 min | 0 | 0.00 | 20.60 | 0.00 | |
| Therapy Services: Physical Total: | | | | | | 3357.80 |
| Therapy Services: Physical | 15 min | 1 | 163.00 | 20.60 | 3357.80 | |
| Therapy Services: Speech Total: | | | | | | 0.00 |
| Therapy Services: Speech | 15 min | 0 | 0.00 | 20.60 | 0.00 | |
| Transitional Case Management Total: | | | | | | 0.00 |
| Transitional Case Management | 15 min | 0 | 0.00 | 14.68 | 0.00 | |
| Transitional Case Management Rural | 15 min | 0 | 0.00 | 21.01 | 0.00 | |
| GRAND TOTAL: | | | | | | 6104416.21 |
| Total Estimated Unduplicated Participants: | | | | | | 96 |
| Factor D (Divide total by number of participants): | | | | | | 63587.67 |
| Average Length of Stay on the Waiver: | | | | | | 315 |

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 |
|--|---------------------|---------|---------------------|-----------------|----------------|------------|
| Case Management Total: | | | | | | 270782.80 |
| Case Management | 15 min | 100 | 169.00 | 14.68 | 248092.00 | |
| Case Management Rural | 15 min | 5 | 216.00 | 21.01 | 22690.80 | |
| Personal Care Total: | | | | | | 1316458.24 |
| Personal Care | 15 min | 39 | 3812.00 | 4.04 | 600618.72 | |
| Self-Directed Personal Care | 15 min | 22 | 8054.00 | 4.04 | 715839.52 | |
| Respite Total: | | | | | | 74390.30 |
| In Home Extended Respite | 1 day | 0 | 0.00 | 170.86 | 0.00 | |
| Respite | 15 min | 3 | 1664.00 | 4.04 | 20167.68 | |
| Nursing Facility Based Respite | 1 day | 1 | 1.00 | 142.00 | 142.00 | |
| Self-Directed Respite | 15 min | 3 | 4448.00 | 4.04 | 53909.76 | |
| Self-Directed In Home Extended Respite | 1 day | 1 | 1.00 | 170.86 | 170.86 | |
| Prescribed Drugs Total: | | | | | | 342654.00 |
| Prescribed Drugs | per prescribed drug | 39 | 115.00 | 76.40 | 342654.00 | |
| Advanced Supportive/Restorative Assistance Total: | | | | | | 511368.60 |
| Self-Directed Advanced Supportive/Restorative Assistance | 15 min | 19 | 4138.00 | 4.35 | 342005.70 | |
| Advanced Supportive/Restorative Assistance | 15 min | 21 | 1854.00 | 4.35 | 169362.90 | |
| Environmental Modifications Total: | | | | | | 0.00 |
| Environmental Modifications | per modification | 0 | 0.00 | 1600.00 | 0.00 | |
| Home Delivered Meals Total: | | | | | | 31641.60 |
| Home Delivered Meals | 1 meal | 24 | 256.00 | 5.15 | 31641.60 | |
| Hospice Care Total: | | | | | | 0.00 |
| Hospice Care | | | | | 0.00 | |
| GRAND TOTAL: | | | | | 6998626.77 | |
| Total Estimated Unduplicated Participants: | | | | | 105 | |
| Factor D (Divide total by number of participants): | | | | | 66653.59 | |
| Average Length of Stay on the Waiver: | | | | | | 321 |

| Waiver Service/ Component | Unit | # Users | Avg. Units Per User | Avg. Cost/ Unit | Component Cost | Total Cost |
|--|----------|---------|---------------------|-----------------|----------------|------------|
| | 1 day | 0 | 0.00 | 122.67 | | |
| Institutional Transition Case Management Total: | | | | | | 1379.92 |
| Institutional Transition Case Management | 15 min | 2 | 47.00 | 14.68 | 1379.92 | |
| Institutional Transition Case Management Rural | 15 min | 0 | 0.00 | 21.01 | 0.00 | |
| Personal Emergency Response System (PERS) Total: | | | | | | 4356.00 |
| Personal Emergency Response System (PERS) | 1 mo | 11 | 12.00 | 33.00 | 4356.00 | |
| Personal Emergency Response System (PERS) Installation | 1 only | 0 | 0.00 | 50.00 | 0.00 | |
| Private Duty Nursing Total: | | | | | | 4007999.26 |
| Private Duty Nursing | 15 min | 47 | 10961.00 | 7.78 | 4007999.26 | |
| Self-Directed Goods and Services (SD-GS) Total: | | | | | | 12600.00 |
| Self-Directed Goods and Services (SD-GS) | N/A | 7 | 9.00 | 200.00 | 12600.00 | |
| Skilled Nursing Total: | | | | | | 43051.45 |
| RN Assessment | 15 min | 58 | 8.00 | 13.91 | 6454.24 | |
| Skilled Visit by RN | 15 min | 17 | 63.00 | 13.91 | 14897.61 | |
| Skilled Visit by LPN | 15 min | 13 | 120.00 | 13.91 | 21699.60 | |
| RN Assessment Transitional | 15 min | 0 | 0.00 | 13.91 | 0.00 | |
| Specialized Medical Equipment and Supplies Total: | | | | | | 378525.00 |
| Specialized Medical Equipment and Supplies | per item | 103 | 2450.00 | 1.50 | 378525.00 | |
| Therapy Services: Respiratory Total: | | | | | | 0.00 |
| Therapy Services: Respiratory | 15 min | 0 | 0.00 | 14.16 | 0.00 | |
| Therapy Services: Occupational Total: | | | | | | 0.00 |
| Therapy Services: Occupational | 15 min | 0 | 0.00 | 20.60 | 0.00 | |
| Therapy Services: Physical Total: | | | | | | 3419.60 |
| Therapy Services: Physical | 15 min | 1 | 166.00 | 20.60 | 3419.60 | |
| Therapy Services: Speech Total: | | | | | | 0.00 |
| Therapy Services: Speech | | | | | 0.00 | |
| GRAND TOTAL: | | | | | | 6998626.77 |
| Total Estimated Unduplicated Participants: | | | | | | 105 |
| Factor D (Divide total by number of participants): | | | | | | 66653.59 |
| Average Length of Stay on the Waiver: | | | | | | 321 |

| Waiver Service/ Component | Unit | # Users | Avg. Units Per User | Avg. Cost/ Unit | Component Cost | Total Cost |
|--|--------|---------|---------------------|-----------------|----------------|-------------|
| | 15 min | 0 | 0.00 | 20.60 | | |
| Transitional Case Management Total: | | | | | | 0.00 |
| Transitional Case Management | 15 min | 0 | 0.00 | 14.68 | 0.00 | |
| Transitional Case Management Rural | 15 min | 0 | 0.00 | 21.01 | 0.00 | |
| GRAND TOTAL: | | | | | | 6998626.77 |
| Total Estimated Unduplicated Participants: | | | | | | 105 |
| Factor D (Divide total by number of participants): | | | | | | 66653.59 |
| Average Length of Stay on the Waiver: | | | | | | 321 |

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 |
|--|---------------------|---------|---------------------|-----------------|----------------|-------------------|
| Case Management Total: | | | | | | 294523.52 |
| Case Management | 15 min | 102 | 172.00 | 14.68 | 257545.92 | |
| Case Management Rural | 15 min | 8 | 220.00 | 21.01 | 36977.60 | |
| Personal Care Total: | | | | | | 1515391.88 |
| Personal Care | 15 min | 43 | 4003.00 | 4.04 | 695401.16 | |
| Self-Directed Personal Care | 15 min | 24 | 8457.00 | 4.04 | 819990.72 | |
| Respite Total: | | | | | | 75871.94 |
| In Home Extended Respite | 1 day | 0 | 0.00 | 170.86 | 0.00 | |
| Respite | 15 min | 3 | 1697.00 | 4.04 | 20567.64 | |
| Nursing Facility Based Respite | 1 day | 1 | 1.00 | 145.00 | 145.00 | |
| Self-Directed Respite | 15 min | 3 | 4537.00 | 4.04 | 54988.44 | |
| Self-Directed In Home Extended Respite | 1 day | 1 | 1.00 | 170.86 | 170.86 | |
| Prescribed Drugs Total: | | | | | | 384368.40 |
| Prescribed Drugs | per prescribed drug | | 117.00 | 76.40 | 384368.40 | |

| Waiver Service/ Component | Unit | # Users | Avg. Units Per User | Avg. Cost/ Unit | Component Cost | Total Cost |
|--|------------------|---------|---------------------|-----------------|----------------|------------|
| | | 43 | | | | |
| Advanced Supportive/Restorative Assistance Total: | | | | | | 591713.10 |
| Self-Directed Advanced Supportive/Restorative Assistance | 15 min | 21 | 4345.00 | 4.35 | 396915.75 | |
| Advanced Supportive/Restorative Assistance | 15 min | 23 | 1947.00 | 4.35 | 194797.35 | |
| Environmental Modifications Total: | | | | | | 0.00 |
| Environmental Modifications | per modification | 0 | 0.00 | 1600.00 | 0.00 | |
| Home Delivered Meals Total: | | | | | | 34947.90 |
| Home Delivered Meals | 1 meal | 26 | 261.00 | 5.15 | 34947.90 | |
| Hospice Care Total: | | | | | | 0.00 |
| Hospice Care | 1 day | 0 | 0.00 | 122.67 | 0.00 | |
| Institutional Transition Case Management Total: | | | | | | 1409.28 |
| Institutional Transition Case Management | 15 min | 2 | 48.00 | 14.68 | 1409.28 | |
| Institutional Transition Case Management Rural | 15 min | 0 | 0.00 | 21.01 | 0.00 | |
| Personal Emergency Response System (PERS) Total: | | | | | | 4752.00 |
| Personal Emergency Response System (PERS) | 1 mo | 12 | 12.00 | 33.00 | 4752.00 | |
| Personal Emergency Response System (PERS) Installation | 1 only | 0 | 0.00 | 50.00 | 0.00 | |
| Private Duty Nursing Total: | | | | | | 4656081.04 |
| Private Duty Nursing | 15 min | 52 | 11509.00 | 7.78 | 4656081.04 | |
| Self-Directed Goods and Services (SD-GS) Total: | | | | | | |