

Application for a §1915 (c) HCBS Waiver

HCBS Waiver Application Version 3.5

Submitted by:

Utah Department of Health, Division of Medicaid and Health Financing

Submission Date: March 31, 2008

CMS Receipt Date (CMS Use)

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

1. Major Changes:

1. Clarified that the SMA's Medical Assistance Unit (the Utah Division of Medicaid and Health Financing) is responsible for the administration and operation of the waiver program and that the Maternal and Child Health Title V Agency (also under the umbrella of the SMA) provides essential day-to-day administrative support for the waiver under an interagency Memorandum of Agreement.
2. Added this waiver to an existing interagency Memorandum of Agreement between the Bureau of Authorization and Community Based Services and the Bureau of Health Facility Licensing, Certification and Residence Assessment (BHFLCRA). The BHFLCRA is responsible for conducting quality reviews of waived enrolled licensed home health agencies.
3. Reprioritized admission criteria for applicants dependent on Bi-level Positive Airway Pressure (Bi-PAP). Applicants who require Bi-PAP greater than 18 hours per day will receive a higher numerical rating on the waiting list.
4. Increased the number of recipients who can receive waiver services at any point in time to 115 and additionally have added five "reserved capacity" slots for terminally ill children who meet the waiver targeting criteria and who have a diagnosis of Spinal Muscular Atrophy Type I.
5. Added new Family Directed services including Financial Management Services (FMS), Family Directed Support Services (information and assistance), and Family Directed Skilled Nursing Respite Care services.
6. Added Home Health Certified Nursing Assistant services to allow these services to be provided on the same day and during the same time as Home Health Agency nursing services.

Application for a §1915(c) HCBS Waiver
HCBS Waiver Application Version 3.5

7. Added Extended Private Duty Nursing (PDN) services for recipients who lose their State plan PDN services when they reach 21 years of age.
8. Replaced the current waiver service Nutritional Evaluation and In-home Based Treatment with In-home Feeding Therapy and amended the current provider qualifications to add individual licensed Speech Therapists and Occupational Therapists and to limit qualified Medicaid/Medicare certified Home Health Agency employees to the same licensed professionals.
9. Eliminated In-home Respiratory Care as a service under the waiver.
10. The State assures that this waiver will be in compliance with all applicable regulations related to case management no later than 3/3/2010. Any amendments required to achieve such compliance will be submitted to CMS at least 90 days in advance of that date.

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.

State:	
Effective Date	

Application: 1

1. Request Information

A. The State of **Utah** 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. Waiver Title (optional): **Waiver for Technology Dependent, Medically Fragile Individuals**

C. Type of Request (select only one):

<input type="radio"/>	New Waiver (3 Years)	CMS-Assigned Waiver Number (CMS Use):	
<input type="radio"/>	New Waiver (3 Years) to Replace Waiver #		
	CMS-Assigned Waiver Number (CMS Use):		
	<i>Attachment #1 contains the transition plan to the new waiver.</i>		
<input type="radio"/>	Renewal (5 Years) of Waiver #		
<input checked="" type="radio"/>	Amendment to Waiver #	40183.90.R2	

D. Type of Waiver (select only one):

<input checked="" type="radio"/>	Model Waiver. In accordance with 42 CFR §441.305(b), the State assures that no more than 200 individuals will be served in this waiver at any one time.
<input type="radio"/>	Regular Waiver, as provided in 42 CFR §441.305(a)

E.1 Proposed Effective Date: **July 1, 2011**

E.2 Approved Effective Date (CMS Use):

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):

<input type="checkbox"/>	Hospital (select applicable level of care)
<input type="radio"/>	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:
<input type="radio"/>	Inpatient psychiatric facility for individuals under age 21 as provided in 42 CFR § 440.160
<input checked="" type="checkbox"/>	Nursing Facility (select applicable level of care)
<input checked="" type="radio"/>	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:
<input type="radio"/>	Institution for Mental Disease for persons with mental illnesses aged 65 and older as provided in 42 CFR §440.140
<input type="checkbox"/>	Intermediate Care Facility for the Mentally Retarded (ICF/MR) (as defined in 42 CFR §440.150). If applicable, specify whether the State additionally limits the waiver to subcategories of the ICF/MR facility level of care:

State:	
Effective Date	

Application: 2

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

<input type="checkbox"/>	Services furnished under the provisions of §1915(a)(1)(a) of the Act and described in Appendix I		
<input type="checkbox"/>	Waiver(s) authorized under §1915(b) of the Act. <i>Specify the §1915(b) waiver program and indicate whether a §1915(b) waiver application has been submitted or previously approved:</i>		
	Specify the §1915(b) authorities under which this program operates (<i>check each that applies</i>):		
<input type="checkbox"/>	§1915(b)(1) (mandated enrollment to managed care)	<input type="checkbox"/>	§1915(b)(3) (employ cost savings to furnish additional services)
<input type="checkbox"/>	§1915(b)(2) (central broker)	<input type="checkbox"/>	§1915(b)(4) (selective contracting/limit number of providers)
<input type="checkbox"/>	A program operated under §1932(a) of the Act. <i>Specify the nature of the State Plan benefit and indicate whether the State Plan Amendment has been submitted or previously approved.</i>		
<input type="checkbox"/>	A program authorized under §1915(i) of the Act		
<input type="checkbox"/>	A program authorized under §1915(j) of the Act		
<input type="checkbox"/>	A program authorized under §1115 of the Act. <i>Specify the program:</i>		
<input checked="" type="checkbox"/>	Not applicable		

H. Dual Eligibility for Medicaid and Medicare. (*Check if applicable*):

<input type="checkbox"/>	This waiver provides services for individuals who are eligible for both Medicare and Medicaid.
--------------------------	------------------------------------------------------------------------------------------------

State:	
Effective Date	

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.

Purpose:
 To provide the choice of community alternatives for technology dependent, medically fragile individuals with complex medical conditions who would otherwise require placement in a Medicaid enrolled Nursing Facility to obtain needed services and supports.

Goals:
 To prevent institutionalization or to facilitate the transition from an institutional setting to a home and community-based setting, for individuals who meet the waiver targeting criteria and choose to receive Medicaid waiver and State plan services in the home and community.

Objectives:
 To ensure statewide identification/screening of potential waiver recipients.
 To afford choice between Nursing Facility and home and community-based settings.
 To provide an equitable process for admission to the waiver.
 To facilitate waiver recipient access to qualified Medicaid (waiver and State plan) providers.
 To develop system responsiveness to participant/legal representative's needs and preferences.
 To prevent unnecessary institutionalization due to family/caregiver burnout.

Organizational Structure:
 This home and community-based "model" waiver program is administered and operated by the Utah Department of Health, the State Medicaid Agency (SMA). The SMA exercises administrative discretion and retains the final authority and responsibility for the oversight and supervision of waiver issues, policies, rules and regulations related to the waiver.

The Division of Medicaid and Health Financing, the State's Medical Assistance Unit within the SMA is responsible for the administration, operation and oversight of this Waiver program.

In fulfilling its obligations, the SMA's Medical Assistance Unit has entered into separate agreements with two agencies under the umbrella of the State Medicaid Agency:

- 1) The State's Division of Family Health and Preparedness (MCH Title V Agency) who shares the responsibility for the day-to-day waiver administrative activities.
- 2) The State's Bureau of Health Facility Licensing, Certification and Resident Assessment to perform quality assurance reviews of home and community-based waiver services provided by Medicaid enrolled licensed home health agencies.

These "contract" agencies perform delegated activities essential to ensure the proper and efficient operation of the waiver program and are delineated in Appendix A (3) of this plan.

Waiver services are provided by Medicaid enrolled Home Health agencies and other willing and

State:	
Effective Date	

qualified agencies and individuals approved for enrollment by the SMA.

Individuals access the waiver through the MCH Title V RN waiver coordinators who determine level of care, refer for Medicaid eligibility, develop plans of care, prior authorize waiver services and needs, assist to locate, refer and advocate for state plan and other services, and monitor receipt of services and needs.

State:	
Effective Date	

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*):

<input checked="" type="checkbox"/>	The waiver provides for participant direction of services. <i>Appendix E is required.</i>
<input type="checkbox"/>	Not applicable. The waiver does not provide for participant direction of services. <i>Appendix E is not completed.</i>

- 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 overall systems improvement 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*):

<input checked="" type="checkbox"/>	Yes
<input type="checkbox"/>	No
<input type="checkbox"/>	Not applicable

State:	
Effective Date	

Application: 6

C. **Statewideness.** Indicate whether the State requests a waiver of the statewideness requirements in §1902(a)(1) of the Act (*select one*):

<input type="radio"/>	Yes (<i>complete remainder of item</i>)
<input checked="" type="radio"/>	No

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

<input type="checkbox"/>	Geographic Limitation. A waiver of statewideness 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. <i>Specify the areas to which this waiver applies and, as applicable, the phase-in schedule of the waiver by geographic area:</i>
<input type="checkbox"/>	Limited Implementation of Participant-Direction. A waiver of statewideness is requested in order to make <i>participant direction of services</i> 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. <i>Specify the areas of the State affected by this waiver and, as applicable, the phase-in schedule of the waiver by geographic area:</i>

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**.

State:	
Effective Date	

Application: 7

- 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 Improvement Act of 2004 (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) under age 21 when 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 amount, frequency and duration 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

State:	
Effective Date	

Application: 8

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 in-patients of a hospital, nursing facility or ICF/MR.
- 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 §431.51, 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 throughout the application and in **Appendix H**.
- I. Public Input.** Describe how the State secures public input into the development of the waiver:

Public input will be obtained through the Medical Care Advisory Committee (MCAC), Utah Family Voices (for distribution targeted towards families and potential participants) and the Utah Association of Home Care Pediatric Committee which includes waiver provider and family representatives.

- 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

State:	
Effective Date	

days before the anticipated submission date as 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:

First Name:	Tonya
Last Name	Hales
Title:	Director, Bureau of Authorization and Community Based Services
Agency:	Department of Health, Division of Medicaid and Health Financing
Address 1:	PO Box 143101
Address 2:	
City	Salt Lake City
State	Utah
Zip Code	84114-3101
Telephone:	801-538-9136
E-mail	thales@utah.gov
Fax Number	801-538-6412

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

First Name:	
Last Name	
Title:	
Agency:	
Address 1:	
Address 2	
City	
State	
Zip Code	
Telephone:	
E-mail	
Fax Number	

State:	
Effective Date	

Attachment #1: Transition Plan

Specify the transition plan for the waiver:

--

State:	
Effective Date	

Attachment #1 to Application: 1

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*):

<input checked="" type="checkbox"/>	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 (<i>select one</i>):	
<input checked="" type="checkbox"/>	The Medical Assistance Unit (<i>name of unit</i>) (<i>do not complete Item A-2</i>):	Division of Medicaid and Health Financing
<input type="checkbox"/>	Another division/unit within the State Medicaid agency that is separate from the Medical Assistance Unit (name of division/unit). This includes administrations/divisions under the umbrella agency that has been identified as the Single State Medicaid Agency. (<i>Complete item A-2-a</i>):	
<input type="checkbox"/>	The waiver is operated by _____ a separate agency of the State that is not a division/unit of the Medicaid agency. 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. (<i>Complete item A-2-b</i>).	

2. **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.

--

- 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:

--

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

State:	
Effective Date	

Appendix A: Waiver Administration and Operation
 HCBS Waiver Application Version 3.5

X	<p>Yes. Contracted entities perform waiver operational and administrative functions on behalf of the Medicaid agency and/or the operating agency (if applicable). Specify the types of contracted entities and briefly describe the functions that they perform. <i>Complete Items A-5 and A-6.</i></p> <p>Two other agencies under the umbrella of the State Medicaid Agency perform designated operational functions.</p> <p>1) The Division of Family Health and Preparedness, Bureau of Children with Special Health Care Needs (CSHCN), Utah’s MCH Title V Agency, employs two RN Wavier Coordinators who perform the following delegated functions:</p> <ul style="list-style-type: none"> a. Level of care. b. Plan of care development and coordination of services. c. Identification of day-to-day administrative and operating issues. d. Provider recruitment. e. Outreach and information. f. Freedom of choice. g. Process information including hearing rights. h. Waiting list management. i. Coordination with institutional/hospital providers. j. Assisting the Medicaid agency in implementing the waiver’s Quality Improvement Strategy. k. Maintain documentation. <p>2) The Bureau of Health Facility Licensure Certification and Resident Assessment (BHFLCRA), the State’s survey and certification team, performs quality assurance reviews of home and community-based waiver services provided by Medicaid enrolled licensed home health agencies.</p>
O	<p>No. Contracted entities do not perform waiver operational and administrative functions on behalf of the Medicaid agency and/or the operating agency (if applicable).</p>

State:	
Effective Date	

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 (*check each that applies*):

<input type="checkbox"/>	Local/Regional non-state public agencies conduct waiver operational and administrative functions at the local or regional level. There is an interagency agreement or memorandum of understanding between the Medicaid agency and/or the operating agency (when authorized by the Medicaid agency) and each local/regional non-state agency that sets forth the responsibilities and performance requirements of the local/regional agency. The interagency agreement or memorandum of understanding is available through the Medicaid agency or the operating agency (if applicable). <i>Specify the nature of these agencies and complete items A-5 and A-6:</i>
<input type="checkbox"/>	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). <i>Specify the nature of these entities and complete items A-5 and A-6:</i>
<input checked="" type="checkbox"/>	Not applicable – Local/regional non-state agencies do not perform waiver operational and administrative functions.

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:

SMA's Medical Assistant Unit

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:

<p>1) The Division of Family Health and Preparedness, Bureau of Children with Special Health Care Needs, Utah's MCH Title V Agency.</p> <ul style="list-style-type: none"> a. Annual contract reviews. b. Chart reviews - done quarterly to ensure a statistically reliable annual sample. c. Quarterly reviews of preliminary level of care evaluations and waiting list. d. Ongoing review of complaint/incident logs. e. Quarterly (or more frequent) Waiver Administrative and Operation Team meetings. f. Monthly reports of significant activities. g. Continuous and ongoing coordination and collaboration between Medicaid program manager and lead RN waiver coordinator. <p>2) The Bureau of Health Facility Licensure Certification and Resident Assessment (BHFLCRA).</p> <ul style="list-style-type: none"> a. Annual contract reviews. b. Ongoing reviews upon receipt of each provider agency report.

State:	
Effective Date	

Appendix A: Waiver Administration and Operation
 HCBS Waiver Application Version 3.5

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

Function	Medicaid Agency	Other State Operating Agency	Contracted Entity	Local Non-State Entity
Participant waiver enrollment	X	<input type="checkbox"/>	X	<input type="checkbox"/>
Waiver enrollment managed against approved limits	X	<input type="checkbox"/>	X	<input type="checkbox"/>
Waiver expenditures managed against approved levels	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Level of care evaluation	X	<input type="checkbox"/>	X	<input type="checkbox"/>
Review of Participant service plans	X	<input type="checkbox"/>	X	<input type="checkbox"/>
Prior authorization of waiver services	X	<input type="checkbox"/>	X	<input type="checkbox"/>
Utilization management	X	<input type="checkbox"/>	X	<input type="checkbox"/>
Qualified provider enrollment	X	<input type="checkbox"/>	X	<input type="checkbox"/>
Execution of Medicaid provider agreements	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Establishment of a statewide rate methodology	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Rules, policies, procedures and information development governing the waiver program	X	<input type="checkbox"/>	X	<input type="checkbox"/>
Quality assurance and quality improvement activities	X	<input type="checkbox"/>	X	<input type="checkbox"/>

State:	
Effective Date	

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..
- a.i *For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).*

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

Performance Measure:	<i>Delegated functions are performed and documented as outlined in the special provision section of the contractor’s interagency agreements.</i>		
Data Source <i>[e.g. – examples cited in IPG]</i>	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>
-Contracts (not subject to sampling) - Reports to State Medicaid Agency on delegated administrative functions -Record reviews, on-site -Program logs -Meeting minutes	X State Medicaid Agency	<input type="checkbox"/> Weekly	X 100% Review
	<input type="checkbox"/> Operating Agency	X Monthly	X Less than 100% Review

State:	
Effective Date	

Appendix A: Waiver Administration and Operation

HCBS Waiver Application Version 3.5

	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input type="checkbox"/> Annually	95%
		<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input checked="" type="checkbox"/> Other: Describe
			See sampling methodology in a.ii of this section
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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

Performance Measure:	Uniform provider reimbursement rates are implemented statewide.		
Data Source [e.g. – examples cited in IPG]	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)
-Utah Medicaid Fee Schedule (not subject to sampling) -Financial records (including expenditures) -State Actuary (rate setting methodology) (not subject to sampling)	<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 checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative

State:	
Effective Date	

Appendix A: Waiver Administration and Operation
 HCBS Waiver Application Version 3.5

			<i>Sample; Confidence Interval =</i>
	<input type="checkbox"/> <i>Other: Specify:</i>	<input type="checkbox"/> <i>Annually</i>	95%
		<input checked="" type="checkbox"/> <i>Continuously and Ongoing</i>	<input type="checkbox"/> <i>Stratified: Describe Groups</i>
		<input type="checkbox"/> <i>Other: Specify:</i>	
			<input checked="" type="checkbox"/> <i>Other: Describe</i>
			<i>see sampling methodology in a.ii of this section</i>
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"/> <i>State Medicaid Agency</i>	<input type="checkbox"/> <i>Weekly</i>	
	<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>	
	<input type="checkbox"/> <i>Sub-State Entity</i>	<input type="checkbox"/> <i>Quarterly</i>	
	<input type="checkbox"/> <i>Other: Specify:</i>	<input checked="" type="checkbox"/> <i>Annually</i>	
		<input type="checkbox"/> <i>Continuously and Ongoing</i>	
		<input type="checkbox"/> <i>Other: Specify:</i>	

Performance Measure:	<i>Medicaid provider agreements are received and approved by the SMA prior to the delivery of services.</i>		
Data Source [e.g. – examples cited in IPG]	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)
-Provider agreements -Financial records (including expenditures)	<input checked="" type="checkbox"/> <i>State Medicaid Agency</i>	<input type="checkbox"/> <i>Weekly</i>	<input checked="" type="checkbox"/> <i>100% Review</i>
	<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>	<input checked="" type="checkbox"/> <i>Less than 100% Review</i>
	<input type="checkbox"/> <i>Sub-State Entity</i>	<input checked="" type="checkbox"/> <i>Quarterly</i>	<input checked="" type="checkbox"/> <i>Representative Sample; Confidence Interval =</i>
	<input type="checkbox"/> <i>Other: Specify:</i>	<input checked="" type="checkbox"/> <i>Annually</i>	95%
		<input type="checkbox"/> <i>Continuously and Ongoing</i>	<input type="checkbox"/> <i>Stratified: Describe Groups</i>

State:	
Effective Date	

Appendix A: Waiver Administration and Operation
 HCBS Waiver Application Version 3.5

		<input type="checkbox"/> Other: Specify:	
			<i>X Other: Describe see sampling methodology in a.ii of this section</i>
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 checked="" type="checkbox"/> Annually	
		<input checked="" type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

Performance Measure:	Applicants have uniform, equitable access to the waiver program against established waiver limits.		
Data Source [e.g. – examples cited in IPG]	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)
-Program logs -Waiting list -Record reviews, on-site -Enrollment reports	<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 checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input checked="" type="checkbox"/> Other: Specify:	<input type="checkbox"/> Annually	95%
	RN Waiver Coordinators	<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input checked="" type="checkbox"/> Other: Describe see sampling methodology in a.ii of this section

State:	
Effective Date	

Appendix A: Waiver Administration and Operation
 HCBS Waiver Application Version 3.5

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

Performance Measure:	Public information regarding the waiver program will be approved by the State Medicaid Agency.		
Data Source [e.g. – examples cited in IPG]	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 checked="" type="checkbox"/> Other: Specify: RN Waiver Coordinators	<input type="checkbox"/> Annually	
		<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	<input type="checkbox"/> Other: Describe
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)	

State:	
Effective Date	

Appendix A: Waiver Administration and Operation

HCBS Waiver Application Version 3.5

	<input checked="" type="checkbox"/> <i>State Medicaid Agency</i>	<input type="checkbox"/> <i>Weekly</i>	
	<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>	
	<input type="checkbox"/> <i>Sub-State Entity</i>	<input checked="" type="checkbox"/> <i>Quarterly</i>	
	<input type="checkbox"/> <i>Other: Specify:</i>	<input type="checkbox"/> <i>Annually</i>	
		<input type="checkbox"/> <i>Continuously and Ongoing</i>	
		<input checked="" type="checkbox"/> <i>Other: Specify:</i>	
		<i>As applicable</i>	

a.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.

The Medical Assistance Unit

The Medical Assistance Unit conducts retrospective reviews of all new waiver recipients' case files. Additionally, a random sample of continuing waiver recipients is drawn on day one of each waiver year. The Medicaid program manager reviews approximately one quarter of the continuing recipients' case files every three months. The confined total of new and continuing cases reviewed annually will be equal to or greater than the sample size required to generalize findings across the entire waiver population. This sample size will be sufficient to provide a confidence level equal to 95%.

Waiver Administration and Operation Team (WAOT)

The Waiver Administrative and Operations Team (WAOT) consists of the Medicaid agency's Waiver Manager and Health Program Specialist, ~~and the RN Waiver Coordinators~~ with and as needed consultation from the Utah Family Voices State Director with agencies, professionals and parent representatives as needed. The team meets formally at least quarterly to discuss, collaborate and review the status of waiver operations and amendments, rules, provider manuals and bulletins, and other official documents relative to the administration and operation of the waiver. At a minimum, quarterly agendas include case reviews, state plan service issues, waiver service/provider issues, and complaints/concerns from families, providers and others. Examples of other issues that are discussed include program development, quality improvement projects, rate setting, fiscal accountability, provider recruitment and retention and findings from recent audits. Informal meetings occur as often as weekly between the Medicaid agency waiver manager and the lead RN waiver coordinator to discuss and problem solve day-to-day issues related to claims, referrals and existing clients, provider recruitment and enrollment, state plan services and policy interpretation.

b. Methods for Remediation/Fixing Individual Problems

b.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 Medicaid agency is responsible for addressing all problems discovered. Methods include: a) direct contact for additional information if any, and b) informal discussion or formal

State:	
Effective Date	

(written) notice of adverse findings. The Medicaid agency will use discretion in determining formal vs. informal notice based on technical vs. substantive findings. Substantive findings would be defined as overpayments or violation of health and safety.

Findings from reviews are documented on the QA Review of Contracted Administrative Activities form. Preliminary findings are discussed with the RN waiver coordinators who are afforded the opportunity to explain, clarify and/or provide (additional) information/documentation before monitoring findings are aggregated and used for reporting purposes.

Technical findings are discussed during WAOT meetings. For substantive findings, plans for remediation are developed and include goals and timelines. Remediation may include further training, improving documentation and/or adding additional tracking methods to assure timeliness.

b.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 checked="" type="checkbox"/> Annually
		<input type="checkbox"/> Continuously and Ongoing
		<input checked="" type="checkbox"/> Other: Specify:
		Documentation will be compiled and maintained for each occurrence and aggregated 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 Administrative Authority that are currently non-operational.

<input type="radio"/>	Yes (complete remainder of item)
<input checked="" type="radio"/>	No

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

State:	
Effective Date	

Appendix A: Waiver Administration and Operation
HCBS Waiver Application Version 3.5



State:	
Effective Date	

Appendix B: Participant Access and Eligibility

Appendix 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 a group or subgroups of individuals. *In accordance with 42 CFR §441.301(b)(6), select one waiver target group, check each subgroup in the selected target group that may receive services under the waiver, and specify the minimum and maximum (if any) age of individuals served in each subgroup:*

SELECT ONE WAIVER TARGET GROUP	TARGET GROUP/SUBGROUP	MINIMUM AGE	MAXIMUM AGE	
			MAXIMUM AGE LIMIT: THROUGH AGE –	NO MAXIMUM AGE LIMIT
X	Aged or Disabled, or Both (select one)			
	<input type="checkbox"/> Aged or Disabled or Both – General (check each that applies)			
	<input type="checkbox"/> Aged (age 65 and older)			<input type="checkbox"/>
	<input type="checkbox"/> Disabled (Physical) (under age 65)			<input type="checkbox"/>
	<input type="checkbox"/> Disabled (Other) (under age 65)			<input type="checkbox"/>
	<input checked="" type="checkbox"/> Specific Recognized Subgroups (check each that applies)			
	<input type="checkbox"/> Brain Injury			<input type="checkbox"/>
	<input type="checkbox"/> HIV/AIDS			<input type="checkbox"/>
	<input checked="" type="checkbox"/> Medically Fragile	0	20	<input type="checkbox"/>
	<input checked="" type="checkbox"/> Technology Dependent	0	20	<input type="checkbox"/>
	<input type="checkbox"/> Mental Retardation or Developmental Disability, or Both (check each that applies)			
	<input type="checkbox"/> Autism			<input type="checkbox"/>
	<input type="checkbox"/> Developmental Disability			<input type="checkbox"/>
	<input type="checkbox"/> Mental Retardation			<input type="checkbox"/>
	<input type="checkbox"/> Mental Illness (check each that applies)			
	<input type="checkbox"/> Mental Illness (age 18 and older)			<input type="checkbox"/>
	<input type="checkbox"/> Mental Illness (under age 18)			<input type="checkbox"/>

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

Technology dependent, medically fragile individuals who meet the State's NF LOC criteria and:

- Are under the age of 21 at time of admission. Recipients who enter the waiver before the age of 21 are allowed to remain in the waiver as long as they continue to meet the other additional targeting criteria;
- Qualify for Medicaid based on one of the categorical or medically needy eligibility options specified in Appendix B-4;
- Have at least one caregiver trained (or willing to be trained) and available to provide care, and be cared for in a home that is safe and can accommodate the necessary medical equipment and personnel needed to assure the child's safety;
- Requires services so inherently complex that they can only be safely and effectively performed by, or under the direction of a skilled nursing professional; and

State:	
Effective Date	

Appendix B: Participant Access and Eligibility
 HCBS Waiver Application Version 3.5

- Must be dependent on one or more of the following technologies:
 - a. daily dependence on a mechanical ventilator;
 - b. daily dependence on Bi-level Positive Airway Pressure (Bi-PAP) for 18 hours or more a day;
 - c. daily dependence on tracheostomy-based respiratory support;
 - d. daily dependence on Continuous Positive Airway Pressure (C-PAP) or Bi-level Positive Airway Pressure (Bi-PAP) for less than 18 hours per day; and
 - e. dependence on intravenous administration of nutritional substances or medications through a central line, which the physician anticipates will be necessary for a period of at least six months.

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*):

<input type="radio"/>	Not applicable – There is no maximum age limit
<input checked="" type="radio"/>	The following transition planning procedures are employed for participants who will reach the waiver’s maximum age limit (<i>specify</i>):
	There is no transition plan for this waiver. Recipients who enter the waiver before the age of 21 are allowed to remain in the waiver as long as they continue to meet the additional targeting criteria.

State:	
Effective Date	

Appendix B-2: Individual Cost Limit

- 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:

<input checked="" type="checkbox"/>	No Cost Limit. The State does not apply an individual cost limit. <i>Do not complete Item B-2-b or Item B-2-c.</i>
<input type="checkbox"/>	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. <i>Complete Items B-2-b and B-2-c.</i> The limit specified by the State is (<i>select one</i>):
<input type="checkbox"/>	_____%, a level higher than 100% of the institutional average
<input type="checkbox"/>	Other (<i>specify</i>): _____
<input type="checkbox"/>	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. <i>Complete Items B-2-b and B-2-c.</i>
<input type="checkbox"/>	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. <i>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.</i>
The cost limit specified by the State is (<i>select one</i>):	
<input type="checkbox"/>	The following dollar amount: \$ _____
The dollar amount (<i>select one</i>):	
<input type="checkbox"/>	Is adjusted each year that the waiver is in effect by applying the following formula: _____
<input type="checkbox"/>	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.
<input type="checkbox"/>	The following percentage that is less than 100% of the institutional average: _____%
<input type="checkbox"/>	Other – <i>Specify</i> : _____

State:	
Effective Date	

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*):

<input type="checkbox"/>	The participant is referred to another waiver that can accommodate the individual's needs.
<input type="checkbox"/>	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:
<input type="checkbox"/>	Other safeguard(s) (<i>specify</i>):

State:	
Effective Date	

Appendix B-3: Number of Individuals Served

- 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	140
Year 2	140
Year 3	140
Year 4 (renewal only)	140
Year 5 (renewal only)	140

- 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*):

<input type="radio"/>	The State does not limit the number of participants that it serves at any point in time during a waiver year.
<input checked="" type="radio"/>	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	120
Year 2	120
Year 3	120
Year 4 (renewal only)	120
Year 5 (renewal only)	120

State:	
Effective Date	

- 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*):

<input type="radio"/>	Not applicable. The state does not reserve capacity.	
<input checked="" type="radio"/>	The State reserves capacity for the following purpose(s). For each purpose, describe how the amount of reserved capacity was determined:	
	Terminally ill children with a diagnosis of Spinal Muscular Atrophy Type I.	
	Capacity was determined based on historical applicant and recipient data. Children with Spinal Muscular Atrophy Type I are generally diagnosed shortly after birth with a life expectancy of only two years. To date, the waiver has received referrals on eight children with this diagnosis; only serving one due to the length of time applicants wait for a slot. Three of the children referred have died on the waiting list and four children are currently on the waiting list.	
	The capacity that the State reserves in each waiver year is specified in the following table:	
	Table B-3-c	
	Purpose:	Purpose:
	Capacity Reserved	Capacity Reserved
Waiver Year		
Year 1	5	
Year 2	5	
Year 3	5	
Year 4 (renewal only)	5	
Year 5 (renewal only)	5	

- 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*):

<input checked="" type="radio"/>	The waiver is not subject to a phase-in or a phase-out schedule.
<input type="radio"/>	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 <i>intra-year</i> limitation on the number of participants who are served in the waiver.

- e. **Allocation of Waiver Capacity.** *Select one:*

<input checked="" type="radio"/>	Waiver capacity is allocated/managed on a statewide basis.
<input type="radio"/>	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:

State:	
Effective Date	

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

WAITING LIST/PRIORITY FOR ADMISSION

When the number of applicants for this waiver exceeds the number of approved openings (or “replaceable slots”) a waiting list will be established. With the exceptions noted below, priority for admission to the waiver from the waiting list will be given to the applicant with the highest numerical ranking based on the following:

TARGETING CONDITION (S) WEIGHT FACTOR

Ventilator dependent	10
Bi-PAP>18hrs/day	9
Trach dependent	8
C-PAP or Bi-PAP<18hrs/day	2*
Central line	2*

*In considering these conditions, if the applicant is receiving skilled nursing care 3 or more times per week, add 2 points; if the applicant requires enteral (NG, GT or JT) feeding or TPN, add 1 point.

Length of time on the waiting list will be used in determining who is selected if more than one applicant has the same “highest” score.

Exception to the above: RN waiver coordinators will have discretion to consider extraordinary psychosocial or medical needs of an applicant/family when establishing priority for admission to the waiver. In such cases, documentation will be maintained by the RN waiver coordinator to include: 1) a description of the specific, extraordinary psychosocial/medical need(s) of the applicant/family member; 2) feasible alternatives (including formal and informal support systems and services) considered/available at the time to ameliorate the extraordinary need(s) and maintain the child in the community while waiting for waiver coverage; 3) an estimate of the likelihood of “imminent” out-of-home placement (institutional or non-institutional) of the child if waiver admission is delayed; 4) the RN waiver coordinator’s judgment regarding the potential risks to the applicant’s/caregiver’s health, safety and welfare if waiver admission is delayed.

Discretionary priority for admission will only be authorized when the RN waiver coordinator’s documentation indicates one or more of the following: (1) the applicant/care-giver lacks any feasible/available family or community-based support; (2) the applicant is at imminent risk of out-of-home placement; or (3) there is a likelihood that the health, safety and welfare of the applicant/caregiver will be compromised by delaying admission; and (4) there are no others ahead of the applicant on the waiting list with equal or greater ‘priority needs’.

State:	
Effective Date	

Appendix B-4: Medicaid Eligibility Groups Served in the Waiver

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

<input type="radio"/>	§1634 State
<input checked="" type="radio"/>	SSI Criteria State
<input type="radio"/>	209(b) State

a-2. **Miller Trust State.**

Indicate whether the State is a Miller Trust State.

<input type="radio"/>	Yes
<input checked="" type="radio"/>	No

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:*

<i>Eligibility Groups Served in the Waiver (excluding the special home and community-based waiver group under 42 CFR §435.217)</i>	
<input checked="" type="checkbox"/>	Low income families with children as provided in §1931 of the Act
<input checked="" type="checkbox"/>	SSI recipients
<input type="checkbox"/>	Aged, blind or disabled in 209(b) states who are eligible under 42 CFR §435.121
<input type="checkbox"/>	Optional State supplement recipients
<input checked="" type="checkbox"/>	Optional categorically needy aged and/or disabled individuals who have income at: (<i>select one</i>)
<input checked="" type="radio"/>	100% of the Federal poverty level (FPL)
<input type="radio"/>	% of FPL, which is lower than 100% of FPL
<input checked="" type="checkbox"/>	Working individuals with disabilities who buy into Medicaid (BBA working disabled group as provided in §1902(a)(10)(A)(ii)(XIII) of the Act)
<input type="checkbox"/>	Working individuals with disabilities who buy into Medicaid (TWWIIA Basic Coverage Group as provided in §1902(a)(10)(A)(ii)(XV) of the Act)
<input type="checkbox"/>	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)
<input type="checkbox"/>	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)
<input type="checkbox"/>	Medically needy in 209(b) States (42 CFR §435.330)
<input checked="" type="checkbox"/>	Medically needy in 1634 States and SSI Criteria States (42 CFR §435.320, §435.322 and §435.324)
<input checked="" type="checkbox"/>	Other specified groups (include only the statutory/regulatory reference to reflect the additional groups in the State plan that may receive services under this waiver) <i>specify:</i>
	§1902 (a)(10)(A)(i)(IV) and §1902(1)(1)(B); §1902(a)(10)(A)(i)(VI) and § 1902(1)(1)(C); §1902(a)(10)(A)(i)(VII) and §1902 (1)(1)(D); §1903(a)(10)(A)(ii)(I); §1902(a)(10)(A)(ii)(VIII).

State:	
Effective Date	

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	
<input type="radio"/>	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.
<input checked="" type="radio"/>	Yes. The State furnishes waiver services to individuals in the special home and community-based waiver group under 42 CFR §435.217. <i>Select one and complete Appendix B-5.</i>
<input type="radio"/>	All individuals in the special home and community-based waiver group under 42 CFR §435.217
<input checked="" type="radio"/>	Only the following groups of individuals in the special home and community-based waiver group under 42 CFR §435.217 (<i>check each that applies</i>):
<input checked="" type="checkbox"/>	A special income level equal to (select one):
<input checked="" type="checkbox"/>	300% of the SSI Federal Benefit Rate (FBR)
<input type="checkbox"/>	% of FBR, which is lower than 300% (42 CFR §435.236)
<input type="checkbox"/>	\$ which is lower than 300%
<input type="checkbox"/>	Aged, blind and disabled individuals who meet requirements that are more restrictive than the SSI program (42 CFR §435.121)
<input type="checkbox"/>	Medically needy without spenddown in States which also provide Medicaid to recipients of SSI (42 CFR §435.320, §435.322 and §435.324)
<input type="checkbox"/>	Medically needy without spend down in 209(b) States (42 CFR §435.330)
<input type="checkbox"/>	Aged and disabled individuals who have income at: (<i>select one</i>)
<input type="checkbox"/>	100% of FPL
<input type="checkbox"/>	% of FPL, which is lower than 100%
<input type="checkbox"/>	Other specified groups (include only the statutory/regulatory reference to reflect the additional groups in the State plan that may receive services under this waiver) <i>specify</i> :

State:	
Effective Date	

Appendix B-5: Post-Eligibility Treatment of Income

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 State that uses spousal impoverishment rules under §1924 of the Act to determine the eligibility of individuals with a community spouse may elect to use spousal post-eligibility rules under §1924 of the Act to protect a personal needs allowance for a participant with a community spouse.

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 (*select one*):

<input checked="" type="checkbox"/>	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 (<i>select one</i>):	
<input type="checkbox"/>		Use <i>spousal</i> post-eligibility rules under §1924 of the Act. <i>Complete Items B-5-b-2 (SSI State and §1634) or B-5-c-2 (209b State) and Item B-5-d.</i>
<input checked="" type="checkbox"/>		Use <i>regular</i> post-eligibility rules under 42 CFR §435.726 (SSI State and §1634) (<i>Complete Item B-5-b-1</i>) or under §435.735 (209b State) (<i>Complete Item B-5-c-1</i>). <i>Do not complete Item B-5-d.</i>
<input type="checkbox"/>		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. <i>Complete Item B-5-c-1 (SSI State and §1634) or Item B-5-d-1 (209b State). Do not complete Item B-5-d.</i>

NOTE: Items B-5-b-1 and B-5-c-1 are for use by states that do not use spousal eligibility rules or use spousal impoverishment eligibility rules but elect to use regular post-eligibility rules.

b-1. Regular Post-Eligibility Treatment of Income: SSI State and §1634 State. The State uses the post-eligibility rules at 42 CFR §435.726. 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 (<i>select one</i>):		
<input type="checkbox"/>	The following standard included under the State plan (<i>select one</i>):	
<input type="checkbox"/>		SSI standard
<input type="checkbox"/>		Optional State supplement standard
<input type="checkbox"/>		Medically needy income standard
<input type="checkbox"/>		The special income level for institutionalized persons (<i>select one</i>):
<input type="checkbox"/>		300% of the SSI Federal Benefit Rate (FBR)
<input type="checkbox"/>		% of the FBR, which is less than 300%
<input type="checkbox"/>		\$ which is less than 300%.
<input type="checkbox"/>		% of the Federal poverty level
<input type="checkbox"/>		Other standard included under the State Plan (specify):
<input type="checkbox"/>		

State:	
Effective Date	

<input type="radio"/>	The following dollar amount: \$		If this amount changes, this item will be revised.
<input type="radio"/>	The following formula is used to determine the needs allowance:		
<input type="radio"/>	Other (specify):		
ii. Allowance for the spouse only (select one):			
<input type="radio"/>	SSI standard		
<input type="radio"/>	Optional State supplement standard		
<input type="radio"/>	Medically needy income standard		
<input type="radio"/>	The following dollar amount: \$		If this amount changes, this item will be revised.
<input type="radio"/>	The amount is determined using the following formula:		
<input type="radio"/>	Not applicable (see instructions)		
iii. Allowance for the family (select one):			
<input type="radio"/>	AFDC need standard		
<input type="radio"/>	Medically needy income standard		
<input type="radio"/>	The following 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.
<input type="radio"/>	The amount is determined using the following formula:		
<input type="radio"/>	Other (specify):		
<input type="radio"/>	Not applicable (see instructions)		
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. <i>Select one:</i>			
<input type="radio"/>	Not applicable (see instructions) <i>Note: If the State protects the maximum amount for the waiver participant, not applicable must be checked.</i>		
<input type="radio"/>	The State does not establish reasonable limits.		
<input type="radio"/>	The State establishes the following reasonable limits (specify):		

State:	
Effective Date	

c-1. Regular Post-Eligibility: 209(b) State. The State uses more restrictive eligibility requirements than SSI and uses the post-eligibility rules at 42 CFR §435.735. Payment for home and community-based waiver services is reduced by the amount remaining after deducting the following amounts and expenses from the waiver participant's income:

i. Allowance for the needs of the waiver participant (select one):		
<input type="radio"/>	The following standard included under the State plan (select one)	
<input type="radio"/>	The following standard under 42 CFR §435.121:	
<input type="radio"/>	Optional State supplement standard	
<input type="radio"/>	Medically needy income standard	
<input type="radio"/>	The special income level for institutionalized persons (select one)	
<input type="radio"/>	<input type="radio"/>	300% of the SSI Federal Benefit Rate (FBR)
<input type="radio"/>	<input type="radio"/>	% of the FBR, which is less than 300%
<input type="radio"/>	<input type="radio"/>	\$ which is less than 300% of the FBR
<input type="radio"/>	<input type="radio"/>	% of the Federal poverty level
<input type="radio"/>	Other standard included under the State Plan (specify):	
<input type="radio"/>	The following dollar amount: \$ If this amount changes, this item will be revised.	
<input type="radio"/>	The following formula is used to determine the needs allowance:	
<input type="radio"/>	Other (specify)	
ii. Allowance for the spouse only (select one):		
<input type="radio"/>	The following standard under 42 CFR §435.121	
<input type="radio"/>	Optional State supplement standard	
<input type="radio"/>	Medically needy income standard	
<input type="radio"/>	The following dollar amount: \$ If this amount changes, this item will be revised.	
<input type="radio"/>	The amount is determined using the following formula:	
<input type="radio"/>	Not applicable (see instructions)	
iii. Allowance for the family (select one)		

State:	
Effective Date	

<input type="radio"/>	AFDC need standard
<input type="radio"/>	Medically needy income standard
<input type="radio"/>	The following dollar amount: \$ <input type="text"/> 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.
<input type="radio"/>	The amount is determined using the following formula: <input type="text"/>
<input type="radio"/>	Other (specify): <input type="text"/>
<input type="radio"/>	Not applicable (<i>see instructions</i>)
iv. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 CFR §435.735:	
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. <i>Select one:</i>	
<input type="radio"/>	Not applicable (<i>see instructions</i>) <i>Note: If the State protects the maximum amount for the waiver participant, not applicable must be checked.</i>
<input type="radio"/>	The State does not establish reasonable limits.
<input type="radio"/>	The State establishes the following reasonable limits (<i>specify</i>): <input type="text"/>

State:	<input type="text"/>
Effective Date	<input type="text"/>

NOTE: Items B-5-b-2 and B-5-c-2 are for use by states that use spousal impoverishment eligibility rules and elect to apply the spousal post eligibility rules.

b-2. Regular Post-Eligibility Treatment of Income: SSI State and §1634 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):		
<input checked="" type="checkbox"/>	The following standard included under the State plan (select one)	
<input type="checkbox"/>	SSI standard	
<input type="checkbox"/>	Optional State supplement standard	
<input type="checkbox"/>	Medically needy income standard	
<input type="checkbox"/>	The special income level for institutionalized persons (select one):	
<input type="checkbox"/>	300% of the SSI Federal Benefit Rate (FBR)	
<input type="checkbox"/>	%	of the FBR, which is less than 300%
<input type="checkbox"/>	\$	which is less than 300%.
<input type="checkbox"/>	%	of the Federal poverty level
<input type="checkbox"/>	Other standard included under the State Plan (specify):	
<input type="checkbox"/>	The following dollar amount: \$ If this amount changes, this item will be revised.	
<input checked="" type="checkbox"/>	The following formula is used to determine the needs allowance:	
	The allowance for the personal needs of the waiver participant is 100% of the HHS Poverty Guidelines for one person plus the first \$65 of earned income and 1/2 of the remainder of earned income. If other family members live with the waiver client, an additional amount in recognition of higher expenses that a waiver client may have to meet the extra costs of supporting the other family members will be considered. The additional amount is the difference between the allowance for a family member defined in Section 1924(d) (1) (C) of the Social Security Act and the allowance for a family member defined in 42 CFR435.726(c)(3).	
<input type="checkbox"/>	Other (specify):	
ii. Allowance for the spouse only (select one):		
<input type="checkbox"/>	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 the amount of the allowance:	
<input type="checkbox"/>	SSI standard	
<input type="checkbox"/>	Optional State supplement standard	
<input type="checkbox"/>	Medically needy income standard	

State:	
Effective Date	

<input type="radio"/>	The following dollar amount:	\$	If this amount changes, this item will be revised.
<input type="radio"/>	The amount is determined using the following formula:		
<input type="radio"/>	Not applicable (<i>see instructions</i>)		
iii. Allowance for the family (select one):			
<input type="radio"/>	AFDC need standard		
<input type="radio"/>	Medically needy income standard		
<input type="radio"/>	The following 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.
<input type="radio"/>	The amount is determined using the following formula:		
<input type="radio"/>	Other (<i>specify</i>):		
<input type="radio"/>	Not applicable (<i>see instructions</i>)		
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. <i>Select one:</i>			
<input type="radio"/>	Not applicable (<i>see instructions</i>) <i>Note: If the State protects the maximum amount for the waiver participant, not applicable must be checked.</i>		
<input type="radio"/>	The State does not establish reasonable limits.		
<input checked="" type="radio"/>	The State establishes the following reasonable limits (<i>specify</i>):		
	The limits specified in Utah's title XIX state plan for post-eligibility income deductions under 42 CFR 435.725, 435.726, 435.832, and Sec. 1924 of the Social Security Act. The limits are defined on supplement 3 to Attachment 2.6A.		

c-2. Regular Post-Eligibility: 209(b) State. The State uses more restrictive eligibility requirements than SSI and uses the post-eligibility rules at 42 CFR §435.735 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 amounts and expenses from the waiver participant's income:

i. Allowance for the needs of the waiver participant (select one):	
<input type="radio"/>	The following standard included under the State plan (<i>select one</i>)

State:	
Effective Date	

<input type="radio"/>	The following standard under 42 CFR §435.121:	
<input type="radio"/>	Optional State supplement standard	
<input type="radio"/>	Medically needy income standard	
<input type="radio"/>	The special income level for institutionalized persons (<i>select one</i>)	
<input type="radio"/>	300% of the SSI Federal Benefit Rate (FBR)	
<input type="radio"/>	%	of the FBR, which is less than 300%
<input type="radio"/>	\$	which is less than 300% of the FBR
<input type="radio"/>	%	of the Federal poverty level
<input type="radio"/>	Other standard included under the State Plan (specify):	
<input type="radio"/>	The following dollar amount:	\$ If this amount changes, this item will be revised.
<input type="radio"/>	The following formula is used to determine the needs allowance:	
<input type="radio"/>	Other (<i>specify</i>):	
ii. Allowance for the spouse only (<i>select one</i>):		
<input type="radio"/>	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 the amount of the allowance:	
<input type="radio"/>	The following standard under 42 CFR §435.121:	
<input type="radio"/>	Optional State supplement standard	
<input type="radio"/>	Medically needy income standard	
<input type="radio"/>	The following dollar amount:	\$ If this amount changes, this item will be revised.
<input type="radio"/>	The amount is determined using the following formula:	
<input type="radio"/>	Not applicable (<i>see instructions</i>)	
iii. Allowance for the family (<i>select one</i>):		
<input type="radio"/>	AFDC need standard	
<input type="radio"/>	Medically needy income standard	

State:	
Effective Date	

<input type="radio"/>	The following dollar amount: \$ <input type="text"/> 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.
<input type="radio"/>	The amount is determined using the following formula: <input type="text"/>
<input type="radio"/>	Other (specify): <input type="text"/>
<input type="radio"/>	Not applicable (<i>see instructions</i>)
iv. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified in 42 CFR 435.735:	
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. <i>Select one:</i>	
<input type="radio"/>	Not applicable (<i>see instructions</i>) <i>Note: If the State protects the maximum amount for the waiver participant, not applicable must be checked.</i>
<input type="radio"/>	The State does not establish reasonable limits.
<input type="radio"/>	The State establishes the following reasonable limits (<i>specify</i>): <input type="text"/>

State:	<input type="text"/>
Effective Date	<input type="text"/>

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):	
<input type="radio"/>	SSI Standard
<input type="radio"/>	Optional State Supplement standard
<input type="radio"/>	Medically Needy Income Standard
<input type="radio"/>	The special income level for institutionalized persons
<input type="radio"/>	% of the Federal Poverty Level
<input type="radio"/>	The following dollar amount: \$ If this amount changes, this item will be revised
<input checked="" type="radio"/>	The following formula is used to determine the needs allowance: The allowance for the personal needs of the waiver participant is: 100% of the HHS Poverty Guidelines for one person plus the first \$65 of earned income and 1/2 of the remainder of earned income.
<input type="radio"/>	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:	
<input type="radio"/>	Allowance is the same
<input checked="" type="radio"/>	Allowance is different. Explanation of difference: We added an additional amount to the allowance for the personal needs of a waiver participant without a community spouse to recognize the extra costs of supporting the other family members. The additional amount is the difference between the allowance for a family member defined in Section 1924(d) (1) (C) of the Social Security Act and the allowance for a family member defined in 42 CFR435.726(c)(3).
iii. Amounts for incurred medical or remedial care expenses not subject to payment by a third party, specified section 1902(r)(1) of the Act:	
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:	
<input type="radio"/>	Not applicable (see instructions) Note: If the State protects the maximum amount for the waiver participant, not applicable must be checked.
<input type="radio"/>	The State does not establish reasonable limits.
<input checked="" type="radio"/>	The State uses the same reasonable limits as are used for regular (non-spousal) post-eligibility.

State:	
Effective Date	

Appendix 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 waiver 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 (<i>insert number</i>):
	1	
ii.	Frequency of services.	The State requires (<i>select one</i>):
	<input type="radio"/>	The provision of waiver services at least monthly
	<input checked="" type="radio"/>	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:
		Quarterly

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

<input type="radio"/>	Directly by the Medicaid agency
<input type="radio"/>	By the operating agency specified in Appendix A
<input checked="" type="radio"/>	By an entity under contract with the Medicaid agency. <i>Specify the entity:</i>
	The Division of Family Health and Preparedness, Bureau of Children with Special Health Care Needs, Utah's MCH Title V Agency.
<input type="radio"/>	Other (<i>specify</i>):

- 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:

<ul style="list-style-type: none"> Licensed in the State of Utah as a Registered Nurse in accordance with Title 58, Occupational and Professional Licensing, Utah Code Annotated, 1953 as amended; and Employed by, or under contract with the MCH Title V Agency and at least five years paid professional experience in the field of pediatric nursing and at least one year experience in utilization management, discharge planning or care coordination.

State:	
Effective Date	

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

The applicant/recipient must meet the criteria for Nursing Facility (NF) level of care according to R414-502-3 - Approval of Level of Care. In determining whether the applicant/recipient has the mental or physical conditions that can only be cared for in a nursing facility, or equivalent care provided through an alternative Medicaid health delivery program, two of the following shall exist:

- a) a diagnosed medical condition which requires at least substantial physical assistance with ADL’s above the level of verbal prompting, supervising or setting up;
- b) dysfunction in orientation to person, place and time; or
- c) the medical condition and intensity of services indicate that the care needs of the applicant/recipient cannot be safely met in a less structured setting, or without the services and supports of an alternative Medicaid health care delivery program.

In addition, the applicant/recipient must meet the following targeting criteria for participation in the technology dependent waiver program.

- Under the age of 21 at time of admission;
- Qualify for Medicaid based on an approved categorical or medically needy group specified in the waiver plan;
- Have one or more caregivers trained (or willing to be trained) and available to provide care, and be cared for in a home that is safe and can accommodate the necessary medical equipment and personnel needed to assure the child’s safety;
- Require services so inherently complex that they can only be safely and effectively performed by, or under the direction of, a skilled nursing professional; and
- Must be dependent on one or more of the following technologies:
 - a. daily dependence on a mechanical ventilator;
 - b. daily dependence on Bi-level Positive Airway Pressure (Bi-PAP) for 18 hours or more a day;
 - c. daily dependence on tracheostomy-based respiratory support (or, at reevaluation, dependence within the past 6 months on tracheostomy-based respiratory support);
 - d. daily dependence on Continuous Positive Airway Pressure (C-PAP) or Bi-level Positive Airway Pressure (Bi-PAP) for less than 18 hours per day;
 - e. dependence on intravenous administration of nutritional substances or medications through a central line, which the physician anticipates will be necessary for a period of at least six months.

- 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

State:	
Effective Date	

	care under the State Plan.
X	<p>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.</p> <p>The comprehensive assessment instrument for this waiver assists the RN waiver coordinators to determine a targeted NF level of care and eligibility based on the criteria set forth for admission to this waiver program. The instrument includes data fields necessary to measure the individual's level of care as defined in the State Medicaid nursing facility admission criteria R414-502-3. The RN waiver coordinators are responsible for collecting the needed information and for making the initial level of care determinations. The coordinators are trained by the State Medicaid agency on the eligibility requirements for NF admission and eligibility requirements based on specific targeting criteria for this waiver.</p>

- 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:

A preliminary level of care (LOC) screening is conducted and documented by an RN waiver coordinator for each waiver applicant for whom there is a reasonable indication that waiver and other Medicaid state plan services may be needed in the near future. Information obtained from the referent (generally hospital or nursing facility personnel) must provide sufficient detail concerning the applicant's current medical condition, required technology, and current and needed services and supports for the RN waiver coordinator to make a preliminary determination regarding the applicant's LOC. There is a waiting list for this waiver. An applicant's name will only be added to the waiting list when the information obtained and screened by the RN waiver coordinator provides sufficient evidence that the applicant meets the targeted NF level of care criteria. Priority for admission to the waiver from the waiting list is given to the applicant with the highest "numerical ranking" [based on the type of technology required, see Appendix B-3 (f)]. It is at the RN waiver coordinators' discretion to consider extraordinary psychosocial and medical needs of an applicant/family when establishing priority for admission.

Formal initial LOC evaluations are conducted by an RN waiver coordinator and completed during a home visit where the initial comprehensive assessment is completed. The RN waiver coordinator assesses the applicant's current medical condition and reviews collected medical documentation including the type(s) of technology required and associated health/safety risk factors. The services and supports available to the applicant and those potentially needed to assure the individual's health and welfare are identified. Additionally, an assessment is conducted of the applicant's (and caregiver's) current situation including existing services, formal supports, and additional services and supports required to prevent the applicant's institutionalization. The initial assessment and collected documentation must be sufficient in scope to support a determination regarding the applicant's targeted NF level of care.

Enrolled recipients' targeted NF LOC must be reevaluated at least every 12 months ("within the month due"). Reassessments are conducted by an RN waiver coordinator and completed during a reassessment home visit. A comprehensive reassessment by the RN waiver

State:	
Effective Date	

coordinator performed and includes:

- a. a reassessment of the recipient's current medical condition;
- b. a review of recent medical documentation, home health agency Form 485, and any changes in the type(s) of technology required and associated health and safety risks;
- c. identifying the waiver and State Plan services and supports currently authorized and used, and those potentially needed in order to continue to (re)assure the individual's health and welfare; and
- d. a reassessment of the recipient's (and caregiver's) current situation including non-waiver/non-State plan services and formal/informal supports required to prevent institutionalization if the recipient/legal representative chooses continued home and community-based services.

Comprehensive reassessments are used as the basis for recertifying that the recipient still meets the targeted NF level of care and are conducted in accordance with the timeframes stipulated in the approved waiver and verified by a completed, signed LOC form prior to waiver services being reauthorized.

Initial LOC evaluations are conducted by an RN waiver case manager and completed during the initial home visit during which a comprehensive assessment is conducted. The RN waiver case manager assesses the applicant's current medical condition and reviews collected medical documentation including the type(s) of technology required and associated health/safety risk factors. The services and supports available to the applicant and those potentially needed to assure the individual's health and welfare are identified. Additionally, an assessment is conducted of the applicant's (and caregiver's) current situation including existing services, formal supports, and additional services and supports required to prevent the applicant's institutionalization. The initial assessment and collected documentation must be sufficient in scope to support a determination regarding the applicant's targeted NF level of care.

Enrolled recipients' targeted NF LOC must be reevaluated at least every 12 months ("within the month due"). Reassessments are conducted by an RN waiver case manager and completed during the reassessment home visit. A comprehensive reassessment by the RN waiver case manager is performed and includes:

- a. a reassessment of the applicant's current medical condition;
- b. a review of recent medical documentation, home health agency 485's, and any changes in the type(s) of technology required (and associated health and safety risks);
- c. identifying the waiver and State Plan services and supports currently authorized and used, and those potentially needed in order to continue to (re)assure the individual's health and welfare; and
- d. a reassessment of the recipient's (and caregivers') current situation including non-waiver/non-State plan services and formal/informal supports, required to prevent institutionalization if the recipient/legal representative chooses continued home and community-based services.

Comprehensive reassessments are used as the basis for recertifying that the recipient still

State:	
Effective Date	

meets the targeted NF level of care and are conducted in accordance with the timeframes stipulated in the approved waiver and verified by a completed, signed LOC Form prior to waiver services being reauthorized.

- 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*):

<input type="radio"/>	Every three months
<input type="radio"/>	Every six months
<input type="radio"/>	Every twelve months
<input checked="" type="radio"/>	Other schedule (<i>specify</i>): Level of care re-evaluations must occur at least annually – 12 months from entry into the HCBS Waiver program or within 12 months of the most current LOC evaluation – and completed during the calendar month in which it is due.

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

<input checked="" type="radio"/>	The qualifications of individuals who perform reevaluations are the same as individuals who perform initial evaluations.
<input type="radio"/>	The qualifications are different. The qualifications of individuals who perform reevaluations are (<i>specify</i>):

- 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 schedule for re-evaluations is printed monthly from an Access database providing a report of re-evaluations due in the up-coming month. The re-evaluation due date is also noted on the recipient’s plan of care.

- 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:

Evaluation/re-evaluation records are maintained by the Title V Agency, RN waiver coordinators in each recipient’s case file.

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**

State:	
Effective Date	

a.i.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.

For each performance measure/indicator the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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:	Applicants receive a preliminary level of care screening using the approved waiver process and forms. The number and percentage of new enrollees who met level of care prior to receiving Tech waiver services.		
Data Source [e.g. – examples cited in IPG]]	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)
Initial Preliminary Level of Care Assessments Forms Waiting Lists	X State Medicaid Agency	<input type="checkbox"/> Weekly	X 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	X Quarterly	<input type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input type="checkbox"/> Other: Describe
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)	
	X State Medicaid Agency	<input type="checkbox"/> Weekly	
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	

Formatted: Body Text

Formatted: Body Text

State:	
Effective Date	

	<input type="checkbox"/> Sub-State Entity	X Quarterly	
	<input type="checkbox"/> Other: Specify:	X Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

Performance Measure:	<i>Initial LOC evaluations were completed: a) by a qualified waiver RN coordinator, b) during an initial home visit, c) based on a comprehensive assessment sufficient in scope to support a determination regarding the applicant's targeted NF level of care; and d) documented by a completed, signed Level of Care form before waiver services were authorized.</i>		
Data Source <i>[e.g.—examples cited in IPG]</i>	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>
Record reviews, on-site	X State Medicaid Agency	Weekly	X 100% Review
	Operating Agency	Monthly	Less than 100% Review
	Sub-State Entity	X Quarterly	Representative Sample; Confidence Interval
	Other: Specify:	Annually	
		Continuously and Ongoing	Stratified; Describe Groups
		Other: Specify:	
			Other: Describe
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>	
	X State Medicaid Agency	Weekly	
	Operating Agency	Monthly	
	Sub-State Entity	X Quarterly	
	Other: Specify:	X Annually	
		Continuously and Ongoing	
		Other: Specify:	

State:	
Effective Date	

Performance Measure:	<i>Applicants who meet NF-LOC and the targeting criteria for the waiver were ranked accurately on the waiting list according to their medical technology and date referred.</i>		
Data Source <i>[e.g.—examples cited in IPG]</i>	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>
Preliminary Level of Care form Waiting List	<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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified; Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input type="checkbox"/> Other: Describe
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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

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

State:	
Effective Date	

For each performance measure/indicator the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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

Performance Measure:	<i>Participants are reevaluated annually: a)by a qualified Waiver RN coordinator; b)during a reassessment home visit; c)based on a comprehensive reassessment; d)as a basis for recertifying that the recipient still meets the targeted NF level of care; and e)conducted in accordance with the timeframes in the approved waiver and verified by a completed, signed LOC form prior to service reauthorization. The number and percentage of waiver participants who received an annual level of care reevaluation within 12 months of the most current level of care evaluation and completed during the calendar month in which it is due.</i>		
Data Source [e.g. – examples cited in IPG]	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)
<i>-Record reviews, on-site Level of Care Assessments</i>	X State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	X Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	X Quarterly	X Representative Sample; Confidence Interval = 95%
	<input type="checkbox"/> Other: Specify:	<input type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			X Other: See sampling methodology in a.ii of this section.
Data Aggregation and Analysis	Responsible Party for data aggregation and analysis (check each that	Frequency of data aggregation and analysis: (check each that	

State:	
Effective Date	

	<i>applies</i>	<i>applies</i>	
	<input checked="" type="checkbox"/> <i>State Medicaid Agency</i>	<input type="checkbox"/> <i>Weekly</i>	
	<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>	
	<input type="checkbox"/> <i>Sub-State Entity</i>	<input checked="" type="checkbox"/> <i>Quarterly</i>	
	<input type="checkbox"/> <i>Other: Specify:</i>	<input checked="" type="checkbox"/> <i>Annually</i>	
		<input type="checkbox"/> <i>Continuously and Ongoing</i>	
		<input type="checkbox"/> <i>Other: Specify:</i>	

a.i.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.

For each performance measure/indicator the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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

Performance Measure:	<i>Level of care screenings and evaluations were documented using the instruments described in the approved waiver and completed in accordance with criteria and procedures in determining level of care.</i>		
Data Source [e.g. – examples cited in IPG]	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)
-Record reviews, on-site	<input checked="" type="checkbox"/> <i>State Medicaid Agency</i>	<input type="checkbox"/> <i>Weekly</i>	<input type="checkbox"/> <i>100% Review</i>
	<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>	<input checked="" type="checkbox"/> <i>Less than 100% Review</i>
	<input type="checkbox"/> <i>Sub-State Entity</i>	<input checked="" type="checkbox"/> <i>Quarterly</i>	<input checked="" type="checkbox"/> <i>Representative Sample; Confidence Interval =95%</i>
	<input type="checkbox"/> <i>Other: Specify:</i>	<input type="checkbox"/> <i>Annually</i>	
		<input type="checkbox"/> <i>Continuously and Ongoing</i>	<input type="checkbox"/> <i>Stratified: Describe Groups</i>
		<input type="checkbox"/> <i>Other: Specify:</i>	
			<input type="checkbox"/> <i>Other: Describe</i>

State:	
Effective Date	

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

a.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.

A random sample of waiver recipients will be selected on a yearly basis for review. The random sample is generated from a list of all Waiver recipients who were enrolled on the first day of the waiver year. The Medicaid program manager reviews the LOC of all new admissions and approximately one-quarter of the sample selection every 3 months. The LOC evaluation schedule is staggered throughout the monitoring year to ensure timely discovery. Results of LOC evaluations will be summarized and reviewed by the Medicaid agency on a quarterly basis prior to the Waiver Administration and Operations Team (WAOT) meetings. The Medicaid agency will review results of findings with the RN waiver coordinators during the quarterly WAOT meetings to expedite remediation when necessary.

b. Methods for Remediation/Fixing Individual Problems

b.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 Medicaid agency is responsible for addressing all problems discovered. Methods include: a) direct contact for additional information if any, and b) informal discussion or formal (written) notice of adverse findings. The Medicaid agency will use discretion in determining formal vs. informal notice based on technical vs. substantive findings. Substantive findings would be defined as overpayments or violation of health and safety.

Findings from reviews are documented on the QA Review of Contracted Administrative Activities form. Preliminary findings are discussed with the RN waiver coordinators who are

State:	
Effective Date	

afforded the opportunity to explain, clarify and/or provide (additional) information/documentation before monitoring findings are aggregated and used for reporting purposes. If patterns or trends of inaccuracies continue, plans of correction will be required and will include specific timeframes and who is responsible. After the plan of correction is implemented, follow-up will be conducted by the Medicaid agency to assure the remediation plan was effective.

Technical findings will be discussed and resolved during quarterly Waiver Administrative and Operations Team meetings. For substantive findings, plans for remediation will be developed and include goals and timelines. Remediation strategies may include further training, improving documentation and forms and/or adding additional tracking methods to assure timeliness.

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

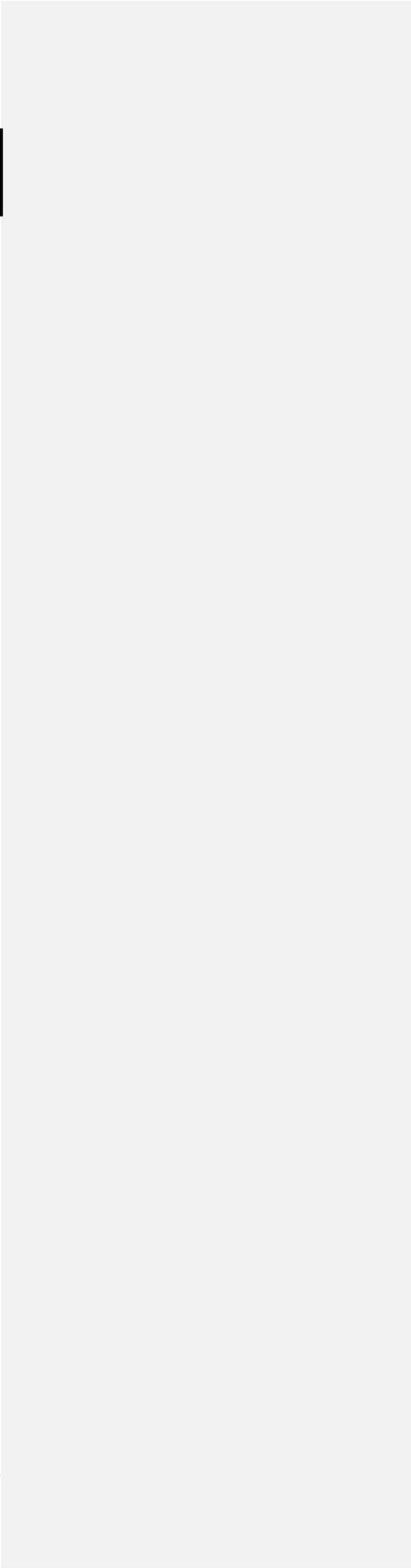
c. Timelines

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.

<input type="radio"/>	Yes (complete remainder of item)
<input checked="" type="radio"/>	No

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

State:	
Effective Date	



State:	
Effective Date	

Appendix 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).

Applicants/recipients or their legal representatives are afforded the choice between waiver services and institutional care during their initial evaluation and during each annual reevaluation. They are informed of feasible alternatives and offered the choice between/among waiver services and (available) providers during the RN waiver coordinator's initial and periodic assessments, whenever there is a change in their documented service needs or when they've indicated they are dissatisfied with their current provider.

Participants and/or their legal representative's choice between waiver and NF services is evidenced by their selection and signature on the Initial and Annual Freedom of Choice Certification form.

Participants and/or their legal representative's choice between available waiver services and providers is documented by the RN waiver coordinators in the recipient's progress notes for evidence that available options were discussed, that the recipient/legal representative had the information necessary to make such a choice, and affirmed their choice(s) of providers by their signature on the POC form.

- 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.

Initial and Annual Freedom of Choice Certification forms are maintained by the Title V Agency's RN waiver coordinators in each recipient case file.

Participants and/or their legal representative's choice between available waiver services and providers is affirmed on the Plan of Care and documented in the recipient case file.

State:	
Effective Date	

Appendix B-8: Access to Services by Limited English Proficient 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):

Information regarding access to Medicaid Translation Services is included in the Medicaid information booklet, “Exploring Medicaid,” distributed to all Utah Medicaid recipients (English and Spanish versions). Eligible individuals may access translation services by calling the Medicaid Helpline.

Other resources to assure access include the AT&T language line, accessible when calling the RN Waiver coordinators; bilingual RN waiver coordinator; State contract with Pentskiff Interrupters for joint home visits with RN waiver coordinators; and community advocacy agencies with bilingual staff.

State:	
Effective Date	

Appendix C: Participant Services

Appendix C-1: Summary of Services Covered

- a. **Waiver Services Summary.** Appendix C-3 sets forth the specifications for each service that is offered under this waiver. *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:*

Statutory Services (check each that applies)		
Service	Included	Alternate Service Title (if any)
Case Management	<input type="checkbox"/>	
Homemaker	<input type="checkbox"/>	
Home Health Aide	X	
Personal Care	<input type="checkbox"/>	
Adult Day Health	<input type="checkbox"/>	
Habilitation	<input type="checkbox"/>	
Residential Habilitation	<input type="checkbox"/>	
Day Habilitation	<input type="checkbox"/>	
Expanded Habilitation Services as provided in 42 CFR §440.180(c):		
Prevocational Services	<input type="checkbox"/>	
Supported Employment	<input type="checkbox"/>	
Education	<input type="checkbox"/>	
Respite	X	Skilled Nursing Respite Care
Day Treatment	<input type="checkbox"/>	
Partial Hospitalization	<input type="checkbox"/>	
Psychosocial Rehabilitation	<input type="checkbox"/>	
Clinic Services	<input type="checkbox"/>	
Live-in Caregiver (42 CFR §441.303(f)(8))	<input type="checkbox"/>	
Other Services (select one)		
<input type="radio"/>	Not applicable	
X	As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional services not specified in statute (<i>list each service by title</i>):	
a.	Family Support Services	
b.	In-Home Feeding Therapy	

State:	
Effective Date	

Appendix C: Participant Services
 HCBS Waiver Application Version 3.5

c.		
d.		
e.		
f.		
g.		
h.		
i.		
Extended State Plan Services (select one)		
<input type="radio"/>	Not applicable	
<input checked="" type="radio"/>	The following extended State plan services are provided (<i>list each extended State plan service by service title</i>):	
a.	Private Duty Nursing (for recipients 21 and over who meet the state plan acuity criteria but were denied solely because of reaching the age of 21).	
b.	Home Health Aide visits (on the same day as a nursing visit)	
c.		
Supports for Participant Direction (check each that applies)		
<input checked="" type="checkbox"/>	The waiver provides for participant direction of services as specified in Appendix E. The waiver includes Information and Assistance in Support of Participant Direction, Financial Management Services or other supports for participant direction as waiver services.	
<input type="checkbox"/>	The waiver provides for participant direction of services as specified in Appendix E. Some or all of the supports for participant direction are provided as administrative activities and are described in Appendix E.	
<input type="radio"/>	Not applicable	
Support	Included	Alternate Service Title (if any)
Information and Assistance in Support of Participant Direction	X	Family Directed Support
Financial Management Services	X	
Other Supports for Participant Direction (<i>list each support by service title</i>):		
a.		
b.		
c.		

State:	
Effective Date	

Appendix C: Participant Services
 HCBS Waiver Application Version 3.5

b. Provision of Case Management Services to Waiver Participants. Indicate how case management is furnished to waiver participants (*check each that applies*):

<input type="checkbox"/>	As a waiver service defined in Appendix C-3 (<i>do not complete C-1-c</i>)
<input type="checkbox"/>	As a Medicaid State plan service under §1915(i) of the Act (HCBS as a State Plan Option). <i>Complete item C-1-c.</i>
<input type="checkbox"/>	As a Medicaid State plan service under §1915(g)(1) of the Act (Targeted Case Management). <i>Complete item C-1-c.</i>
<input checked="" type="checkbox"/>	As an administrative activity. <i>Complete item C-1-c.</i>
<input type="checkbox"/>	Not applicable – Case management is not furnished as a distinct activity to waiver participants. <i>Do not complete Item C-1-c.</i>

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

Under an interagency Memorandum of Agreement, administrative case management activities will be performed by the RN waiver coordinators employed by the Division of Family Health and Preparedness, the state’s designated Maternal and Child Health Title V Agency, which is under the umbrella of Utah’s State Medicaid agency.

State:	
Effective Date	

Appendix C-2: General Service Specifications

- 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*):

<input checked="" type="checkbox"/>	<p>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):</p> <p>Criminal background investigations will be required for family directed providers. Verification of mandatory investigations will be the responsibility of the Financial Management Agency prior to the delivery of family directed services. Utah Law 53-10-108 allows qualifying entities to request Utah criminal history information. The scope of investigation includes Utah Criminal History, Utah Statewide Warrant and Protective Orders and Federal Want and Warrant files with a turnaround of 7-10 days.</p>
<input type="checkbox"/>	<p>No. Criminal history and/or background investigations are not required.</p>

- 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*):

<input type="checkbox"/>	<p>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):</p>
<input checked="" type="checkbox"/>	<p>No. The State does not conduct abuse registry screening.</p>

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

<input checked="" type="checkbox"/>	<p>No. Home and community-based services under this waiver are not provided in facilities subject to §1616(e) of the Act. <i>Do not complete Items C-2-c.i – c.iii.</i></p>
<input type="checkbox"/>	<p>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). <i>Complete Items C-2-c.i –c.iii.</i></p>

- i. Types of Facilities Subject to §1616(e).** Complete the following table for *each type* of facility subject to §1616(e) of the Act:

Type of Facility	Waiver Service(s) Provided in Facility	Facility Capacity Limit

State:	
Effective Date	

State:	
Effective Date	

- ii. **Larger Facilities:** In the case of residential facilities subject to §1616(e) that serve four or more individuals unrelated to the proprietor, describe how a home and community character is maintained in these settings.

--

- iii. **Scope of Facility Standards.** By type of facility listed in Item C-2-c-i, specify whether the State’s standards address the following (*check each that applies*):

Standard	Facility Type	Facility Type	Facility Type	Facility Type
Admission policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Physical environment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sanitation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff : resident ratios	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff training and qualifications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff supervision	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Resident rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Medication administration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Use of restrictive interventions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Incident reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provision of or arrangement for necessary health services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

When facility standards do not address one or more of the topics listed, explain why the standard is not included or is not relevant to the facility type or population. Explain how the health and welfare of participants is assured in the standard area(s) not addressed:

--

State:	
Effective Date	

- 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:*

X	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 <i>extraordinary care</i> 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. <i>Also, specify in Appendix C-3 the personal care or similar services for which payment may be made to legally responsible individuals under the State policies specified here.</i>

- 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 <i>specific circumstances</i> 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. <i>Also, specify in Appendix C-3 each waiver service for which payment may be made to relatives/legal guardians.</i>
○	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-3. Specify any limitations on the types of relatives/legal guardians who may furnish services. Specify the controls that are employed to ensure that payments are made only for services rendered. <i>Also, specify in Appendix C-3 each waiver service for which payment may be made to relatives/legal guardians.</i>
X	Other policy. <i>Specify:</i> The state will permit the provision of waiver services furnished by non-legally responsible relatives but only when the relative is qualified to provide services as specified in Appendix C-3. The state will not pay non-legally responsible caregivers to provide waiver services when they are already being paid by another source to care for the recipient (i.e., foster parents).

State:	
Effective Date	

- 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:

The SMA will enter into a provider agreement with all willing providers who meet licensure, certification and/or other qualifications. The RN waiver coordinators recruit providers in areas throughout the state when a recipient living in that area is enrolled. Interested providers are required to complete a Medicaid provider application and all required documentation verifying provider qualifications.

All waiver providers, regardless of whether they are enrolled to provide Medicaid State plan services, must have a separate, signed Medicaid Application/Agreement on file with the Medicaid agency in order to provide and bill for waiver services. Each new Medicaid Provider Application/Agreement must include all applicable licenses and certification and must be reviewed and 'prior authorized' by both the lead RN waiver coordinator and the Medicaid agency waiver program manager. When both agree that the provider meets the qualifications for waiver enrollment, the waiver program manager signs and submits the Medicaid Provider Application/Agreement to the agency's Bureau of Medicaid Operations for processing.

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**

- a.i.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.**

For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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:	100% of providers will meet the required licensing and/or certification standards and adhere to other applicable state standards.		
Data Source <i>[e.g. – examples cited in IPG]</i>	Responsible Party for data collection/generation <i>(check each that</i>	Frequency of data collection/generation: <i>(check each that applies)</i>	Sampling Approach <i>(check each that applies)</i>

State:	
Effective Date	

	<i>applies)</i>		
-Provider applications and agreements -Provider reports documenting adherence to state standards and requirements. -On-site observations, interviews, monitoring -Utah's Division of Occupational and Professional Licensing website for verification of Non-Home Health Agency Provider License -Provider Performance monitoring reports from the Bureau of Health Facility Licensure, Certification and Resident Assessment (BHFLCRA) (the State Survey and Certification team for Home Health providers -List of Non-Home Health Providers	X State Medicaid Agency	<input type="checkbox"/> Weekly	X 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	X Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample; Confidence Interval =
	X Other: Specify:	X Annually	
	MCH Title V Agency RN Waiver Coordinators; BHFLCRA	X Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		X Other: Upon enrollment; at least every 3 years; Each agency at least every two years	
			X Other: See sampling

State:	
Effective Date	

			<i>methodology in a.ii of this section</i>
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 checked="" type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	
	State Maternal and Child Health Title V Agency and BHFLCRA	<input type="checkbox"/> Continuously and Ongoing	
		<input checked="" type="checkbox"/> Other: Upon receipt of each survey report	

a.i.b Sub-Assurance: The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.

For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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:	NONE		
Data Source [e.g. – examples cited in IPG]	Responsible Party for data collection/generation (check each that applies)	Frequency of data collection/generation: (check each that applies)	Sampling Approach (check each that applies)
	<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative

State:	
Effective Date	

			Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input type="checkbox"/> Other: Describe
Data Aggregation and Analysis	Responsible Party for data aggregation and analysis (check each that applies)	Frequency of data aggregation and analysis: (check each that applies)	
	<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	
	<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	
	<input type="checkbox"/> Other: Specify:	<input type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

a.i.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/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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:	NONE		
Data Source	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)

State:	
Effective Date	

	<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input 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="checkbox"/> Other: Specify:	<input type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input type="checkbox"/> Other: Describe
Data Aggregation and Analysis	Responsible Party for data aggregation and analysis (check each that applies)	Frequency of data aggregation and analysis: (check each that applies)	
	<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	
	<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	
	<input type="checkbox"/> Other: Specify:	<input type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

a.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.

The State Medicaid agency and Title V RN wavier coordinators regularly meet with Family Support Services providers to review and evaluated services being provided. Through these meetings, the state

1. provides “immediate” feedback on the adequacy of the provider’s client evaluations, service plans, progress notes and other supporting documentation;
2. collaborates with the provider as needed to modify service plans (including the amount and frequency of services);
3. determines the need for continued services;
4. reviews any new referrals with the provider; and
5. identifies the need for additional orientation/training and/or remediation.

Additionally, quality and coordination meetings will be conducted with each agency provider by the state Medicaid agency and/or Title V waiver coordinators at a minimum of every three years. The purpose of the provider meetings is to ensure continued collaboration, identification of client specific and general issues and review of provider policy and procedures.

b. Methods for Remediation/Fixing Individual Problems

State:	
Effective Date	

- b.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 Medicaid agency is responsible for addressing all problems as they are discovered. Methods include: a) direct contact for additional information, if any; and b) informal discussions or formal (written) notice of adverse findings. The Medicaid agency will use discretion in determining formal vs. informal notice based on technical vs. substantive findings. Substantive findings would be defined as overpayments or violation of health and safety.

Findings from reviews are documented on the QA Review of Contracted Administrative Activities form. Preliminary findings are discussed with the RN waiver coordinators who are afforded the opportunity to explain, clarify and/or provide (additional) information/documentation before monitoring findings are aggregated and used for reporting purposes. If trends of inaccuracies continue, plans of correction will be required and will include specific timeframes and who is responsible. After the plan correction is implemented, follow-up will be conducted by the Medicaid agency to assure the remediation plan was effective.

Technical findings will be discussed and resolved during quarterly Wavier Administrative and Operations Team meetings. For substantive findings, plans for remediation will be developed and include goals and timelines. Remediation strategies may include further training, improving documentation and forms and/or adding additional tracking methods to assure timeliness.

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

- 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.

Yes (complete remainder of item)

State:	
Effective Date	

X	No
---	----

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

--

State:	
Effective Date	

3. Appendix C-3: Waiver Services Specifications

For each service listed in Appendix C-1, provide the information specified below. 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 Specification			
Service Title:	Skilled Nursing Respite Care		
<i>Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:</i>			
<input type="radio"/>	Service is included in approved waiver. There is no change in service specifications.		
<input checked="" type="radio"/>	Service is included in approved waiver. The service specifications have been modified.		
<input type="radio"/>	Service is not included in the approved waiver.		
Service Definition (Scope):			
<p>Skilled Nursing Respite Care is an intermittent service provided on behalf of an eligible individual to relieve the primary caregiver from the stress of providing continuous care, thereby avoiding premature or unnecessary institutionalization. Skilled nursing respite care may be provided by a Medicaid enrolled Home Health Agency or through the Family Directed Service model. Skilled nursing respite care coverage includes an initial RN assessment to establish a new client.</p> <p><u>Skilled Nursing Respite Care is provided in</u> a private residence or other setting(s) in the community, outside <u>of</u> the recipient's home, but only when the legally responsible recipient or guardian, the RN waiver coordinator and the respite care <u>(agency or individual)</u> provider <u>(individual or agency)</u> have <u>all agreed</u> and stipulated in the plan of care that the alternative setting(s) is safe and can accommodate the necessary medical equipment and personnel needed to care for the child safely.</p>			
Specify applicable (if any) limits on the amount, frequency, or duration of this service:			
<p>Limitations: Respite services must be prior authorized by the RN waiver coordinator. Limits on the amount, frequency and/or duration are specified in the individual's plan of care and based on assessed needs.</p>			
Provider Specifications			
Provider Category(s) <i>(check one or both):</i>	<input checked="" type="checkbox"/>	Individual. List types: Registered Nurses licensed in the State of Utah	<input checked="" type="checkbox"/> Agency. List the types of agencies: Home Health Agencies
Specify whether the service may be provided by <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person	<input checked="" type="checkbox"/> Relative/Legal Guardian
Provider Qualifications <i>(provide the following information for each type of provider):</i>			
Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>
Individual	Licensed in the		- Current RN license

State:	
Effective Date	

	State of Utah as a registered nurse in accordance with Title 58, Chapter 31b, Part 3, Occupational and Professional Licensing, Utah Code Annotated, 1953 as amended.		<ul style="list-style-type: none"> - Background and Criminal Investigation check - Nursing Malpractice Insurance - Basic CPR certification - Enrolled with a Financial Management Agency - Demonstrate ability to perform the necessary skilled nursing functions to safely care for the recipient
Home Health Agencies	Licensed Home Health Agencies in accordance with Utah Administrative Rules, R-432-700.	Medicare certified	Enrolled as a Medicaid waiver provider as described in Utah Code Annotated Title 58, Chapter 31b: Registered Nurses Licensed Practical Nurses Health Care Assistant (Certified Nursing Assistant)
Verification of Provider Qualifications			
Provider Type:	Entity Responsible for Verification:		Frequency of Verification
Individual	Financial Management Agency		Upon hire and annually <u>thereafter</u>
Home Health Agencies	State Medicaid Agency		Upon enrollment and annually <u>thereafter</u>
Service Delivery Method			
Service Delivery Method <i>(check each that applies):</i>	<input checked="" type="checkbox"/>	Participant-directed as specified in Appendix E	<input checked="" type="checkbox"/> Provider managed

Service Specification	
Service Title:	Family Support Services
<i>Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:</i>	
<input type="radio"/>	Service is included in approved waiver. There is no change in service specifications.
<input checked="" type="radio"/>	Service is included in approved waiver. The service specifications have been modified.
<input type="radio"/>	Service is not included in the approved waiver.
Service Definition (Scope):	
Family Support Services include counseling and expressive child life services. These supportive services are provided to the waiver recipient and/or family members and are designed to guide and help them cope with the recipient's illness and the related stress that accompanies the continuous, daily care	

State:	
Effective Date	

required by a seriously ill recipient. Enabling the waiver recipient and family members to manage their stress improves the likelihood that the technology dependent/medically fragile recipient will continue to be cared for at home, thereby preventing premature and otherwise unnecessary institutionalization.

Counseling services are supportive in nature and assist family members with psychosocial and emotional issues, life events, stress and coping, preventative health behaviors, community, sibling and family related issues.

Expressive Child life services provide individuals with a language to express themselves which bridges age, ability and cultural boundaries. Within the safety of a therapeutic relationship, images are created through drawing, painting, collage, writing, clay or sand play. Young children, or children with limitations due to medical conditions, often find it challenging to express themselves verbally, but through play they can show what they think, feel and how they experience and understand their world.

The provider carefully selects a variety of play and other expressive materials to help the child bring into the open fears, fantasies, and feelings about challenging situations in their lives. Methods are designed according to age, developmental level stage, natural inclinations and unique struggles. Through this active expression, inner strengths are discovered that can help the child and family deal with past experiences, cope with present life situation and promote effective coping and self-healing.

Family Support Services include a comprehensive assessment and a treatment plan developed and/or reviewed and approved by a licensed clinician in accordance with their scope of practice.

Family Support Services are available as necessary to the waiver recipient and family members. Family members are defined as the persons who live with or provide care to the client, and may include a parent, spouse, siblings, relatives, foster family, or in-laws. "Family" does not include individuals who are employed to care for the recipient. Services must be included in the plan of care.

The recipient or family members who may be suffering from a serious emotional or mental illness or disorder should be referred to an appropriate mental health care provider; family members who are also eligible for Medicaid should be referred to a Medicaid mental health provider in accordance with the imprinted information on their medical card.

Family Support Services may be provided in the home or other community locations (as authorized in the plan of care).

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

Family Support Services must be prior authorized by the RN waiver coordinator. Limits on the amount, frequency and/or duration are specified in the individual's plan of care and based on assessed needs.

Provider Specifications

Provider Category(s) (check one or both):	<input checked="" type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/>	Agency. List the types of agencies:
	Clinical Social Workers licensed in the State of Utah		Home Health Agencies	
			Licensed Counseling Center	

State:	
Effective Date	

Specify whether the service may be provided by (check each that applies):		<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/>	Relative/Legal Guardian
Provider Qualifications (provide the following information for each type of provider):					
Provider Type:	License (specify)	Certificate (specify)	Other Standard (specify)		
Individual	Clinical Social Worker licensed in the State of Utah in accordance with Utah Code 58-60, Part 2.		Enrolled as a Medicaid waiver provider. Three years of experience in pediatric social work and demonstrated ability to perform Family Support Counseling Services.		
Home Health Agencies	Licensed Home Health Agencies in accordance with Utah Administrative Rules, R-432-700.		Enrolled as a Medicaid waiver provider who employs or contracts with qualified Clinical Social Workers licensed in the State of Utah per Utah Code 58-60, Part 2.		
Family Counseling Centers	Licensed Family Counseling Center	Certified Child Life Specialist with a minimum of a Bachelors Degree in a related field.	Enrolled as a Medicaid waiver provider who employs or contracts with qualified Expressive -Child Life Specialists: Clinical Social Worker licensed in the State of Utah per Utah Code 58-60, Part 2.		
Verification of Provider Qualifications					
Provider Type:	Entity Responsible for Verification:		Frequency of Verification		
Individual	Financial Management Agency <u>State Medicaid Agency</u>		Upon enrollment-hire and annually <u>thereafter</u>		
Home Health Agencies	State Medicaid Agency		Upon enrollment and annually <u>thereafter</u>		
Licensed Counseling Center	State Medicaid Agency		Upon enrollment and annually <u>thereafter</u>		
Service Delivery Method					
Service Delivery Method (check each that applies):	<input checked="" type="checkbox"/>	Participant-directed as specified in Appendix E		<input checked="" type="checkbox"/>	Provider managed

State:	
Effective Date	

Service Specification					
Service Title:	In-Home Feeding Therapy				
<i>Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:</i>					
<input type="radio"/>	Service is included in approved waiver. There is no change in service specifications.				
<input checked="" type="radio"/>	Service is included in approved waiver. The service specifications have been modified.				
<input type="radio"/>	Service is not included in the approved waiver.				
Service Definition (Scope):					
In-home feeding therapy is a service provided by qualified professionals to enhance the ability of an individual who cannot obtain adequate nutrition through ordinary means (oral intake of adequate food and nutritional substances). A licensed speech therapist or occupational therapist collaborates with the recipient's medical home and other professionals to assess function and provide options and instruction on promoting oral intake, evaluates self-feeding skills and modification of equipment for self-feeding and develops and instructs the caregiver on a home feeding program.					
Specify applicable (if any) limits on the amount, frequency, or duration of this service:					
Evaluation and treatment services must be prior authorized by the RN waiver coordinator. Limits on the amount, frequency and/or duration are specified in the individual's plan of care and based on assessed needs.					
Provider Specifications					
Provider Category(s) (check one or both):	<input checked="" type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/>	Agency. List the types of agencies:	
		Speech therapists licensed in the State of Utah		Home Health Agencies	
		Occupational therapists licensed in the State of Utah		MCH Title V Agency	
Specify whether the service may be provided by (check each that applies):		<input type="checkbox"/>	Legally Responsible Person	<input checked="" type="checkbox"/>	Relative/Legal Guardian
Provider Qualifications (provide the following information for each type of provider):					
Provider Type:	License (specify)	Certificate (specify)	Other Standard (specify)		
Home Health Agencies	Licensed Home Health Agencies in accordance with Utah Administrative Rules, R-432-700-22	Medicare certified	Enrolled as a Medicaid waiver provider and employs or contracts with qualified: Speech Therapist(s) licensed in the State of Utah in accordance with UCA Title 58, Chapter 41, with demonstrated ability to perform in home feeding therapy and/or Occupational Therapist(s) licensed in the State of Utah in accordance with UCA Title 58, Chapter 42, with demonstrated ability to perform in home feeding therapy		

State:	
Effective Date	

MCH Title V Agency			Enrolled as a Medicaid waiver provider and employs or contracts with qualified: Speech Therapist(s) licensed in the State of Utah in accordance with UCA Title 58, Chapter 41, with demonstrated ability to perform in home feeding therapy and/or Occupational Therapist(s) licensed in the State of Utah in accordance with UCA Title 58, Chapter 42, with demonstrated ability to perform in home feeding therapy
Individuals	Speech Therapist licensed in the State of Utah in accordance with UCA Title 58, Chapter 41 or Occupational Therapist licensed in the State of Utah in accordance with UCA Title 58, Chapter 42		Enrolled as a Medicaid waiver provider. and Three years experience in pediatric speech therapy with a demonstrated ability to perform in home feeding therapy. or Three years experience in pediatric occupational therapy with a demonstrated ability to perform in home feeding therapy.

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification
Agency	State Medicaid Agency	Upon enrollment and annually <u>thereafter</u>
Individual	<u>Financial Management Agency State Medicaid Agency</u>	Upon <u>enrollment-hire</u> and annually <u>thereafter</u>

Service Delivery Method

Service Delivery Method <i>(check each that applies):</i>	<input checked="" type="checkbox"/>	Participant-directed as specified in Appendix E	<input checked="" type="checkbox"/>	Provider managed
---------------------------------------------------------------------	-------------------------------------	-------------------------------------------------	-------------------------------------	------------------

Service Specification

Service Title:	Home Health Certified Nursing Assistant
<i>Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:</i>	
<input type="radio"/>	Service is included in approved waiver. There is no change in service specifications.
<input type="radio"/>	Service is included in approved waiver. The service specifications have been modified.

State:	
Effective Date	

X	Service is not included in the approved waiver.		
Service Definition (Scope):			
<p>The Home Health Certified Nursing Assistant will provide services under the waiver when Home Health Aide service are required on the same day as a State plan home health nursing service (and may be provided at the same time). The certified nursing assistant will be employed by a Home Health Agency, supervised by an RN, and have the following responsibilities:</p> <ul style="list-style-type: none"> -Provide only those services written in the home health agency's plan of care and receive written instructions from the RN supervisor; -Perform normal household services essential to health care at home; -Make occupied or unoccupied beds; -Perform basic diagnostic activities such as vital signs; -Perform activities of daily living as written in the home health agency's plan of care; -Observe and record food and fluid intake when ordered; -Change dry dressings according to written instructions from the RN supervisor; -Administer emergency first aid; -Write clinical notes in individual patient records; and -Provide social interaction and reassurance to the recipient and family in accordance with the home health agency's plan of care. <p>The Home Health Certified Nursing Assistant shall not perform duties defined as the practice of nursing according to Utah Code 58-31B. When providing Home Health Certified Nursing Assistant services for recipients under the waiver program, a paid nursing professional, a trained parent or legal guardian, or a designated caregiver trained by the parent, guardian or responsible person must be present in the home. The Home Health Certified Nursing Assistant shall not be left alone to care for the technology dependent/medically fragile recipient.</p>			
Specify applicable (if any) limits on the amount, frequency, or duration of this service:			
Home Health Certified Nursing Assistant services must be prior authorized by the RN waiver coordinator. Limits on the amount, frequency, and/or duration are specified in the individual's plan of care and based on assessed needs.			
Provider Specifications			
Provider Category(s) <i>(check one or both):</i>	<input type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/> Agency. List the types of agencies:
			Home Health Agencies
Specify whether the service may be provided by <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/> Relative/Legal Guardian
Provider Qualifications <i>(provide the following information for each type of provider):</i>			
Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>
Home Health Agency	Licensed Home Health Agencies per R-432-700-22	Home Health Certified Nursing Assistants shall have received a certificate of completion for the	Enrolled as a waiver provider. Demonstrated ability to provide direct personal assistance to waiver recipients.

State:	
Effective Date	

		<p>employment position.</p> <p>The curriculum or the comparable challenge exam shall be offered under the direction of the Utah Board of Education.</p> <p>If the employee does not have a certificate of completion for the position at the time of employment, completion of the course of study or challenge exam shall occur within six months of the date of hire.</p>	

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification
Home Health Agency	State Medicaid Agency	Upon enrollment and annually thereafter

Service Delivery Method

Service Delivery Method <i>(check each that applies):</i>	<input type="checkbox"/>	Participant-directed as specified in Appendix E	<input checked="" type="checkbox"/>	Provider managed
---------------------------------------------------------------------	--------------------------	-------------------------------------------------	-------------------------------------	------------------

Service Specification

Service Title:	Financial Management Services
<i>Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:</i>	
<input type="radio"/>	Service is included in approved waiver. There is no change in service specifications.
<input type="radio"/>	Service is included in approved waiver. The service specifications have been modified.
<input checked="" type="radio"/>	Service is not included in the approved waiver.
Service Definition (Scope):	
This service will be authorized in conjunction with waiver services under the approved family-directed services model. Services rendered under this definition include those to facilitate the employment of approved and qualified providers by the individual or family. Services include: (a) provider qualification verification, (b) employer-related activities including federal, state, and local tax withholding/payments, unemployment	

State:	
Effective Date	

compensation fees, wage settlements, fiscal accounting and expenditure reports, (c) Medicaid claims processing and reimbursement distribution, and (d) providing monthly accounting and expense reports to the family and RN waiver coordinators.

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

Financial Management Services must be prior authorized by the RN waiver coordinators and must be included in the plan of care.

Provider Specifications

Provider Category(s) (check one or both):	<input type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/>	Agency. List the types of agencies:
				Licensed Public Accounting Agency

Specify whether the service may be provided by (check each that applies):	<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/>	Relative/Legal Guardian
---------------------------------------------------------------------------	--------------------------	----------------------------	--------------------------	-------------------------

Provider Qualifications (provide the following information for each type of provider):

Provider Type:	License (specify)	Certificate (specify)	Other Standard (specify)
Financial Management Agency	Certified Public Accountant per Utah Code R58-26a.		-Enrolled as a Medicaid waiver provider. -Compliance with State and local licensing, accreditation and certification requirements (Utah Code R58-26a).

Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification
Financial Management Agency	State Medicaid Agency	Upon enrollment and annually thereafter

Service Delivery Method

Service Delivery Method (check each that applies):	<input type="checkbox"/>	Participant-directed as specified in Appendix E	<input checked="" type="checkbox"/>	Provider managed
--------------------------------------------------------------	--------------------------	-------------------------------------------------	-------------------------------------	------------------

Service Specification

State:	
Effective Date	

Service Title:	Family Directed Support			
<i>Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:</i>				
<input type="radio"/>	Service is included in approved waiver. There is no change in service specifications.			
<input type="radio"/>	Service is included in approved waiver. The service specifications have been modified.			
<input checked="" type="radio"/>	Service is not included in the approved waiver.			
Service Definition (Scope):				
This service is designed to ensure waiver families are prepared to manage their own respite service and providers. Family Directed Support services include:				
<ul style="list-style-type: none"> a) information to ensure that the recipient/family understands the responsibilities in directing their own care. b) instruction in how to effectively communicate with service providers; c) instruction in the management of service providers including interviewing, selecting, scheduling, termination, time sheeting, and evaluating performance; d) information on individual rights, filing grievances, and risk management; e) advocacy training; f) developing emergency plans; and g) developing forms and maintaining documentation. 				
Family Directed Support services do not include educational, vocational or prevocational components.				
Specify applicable (if any) limits on the amount, frequency, or duration of this service:				
Family Directed Support service must be prior authorized by the RN Waiver Coordinators and is limited to recipients/families who direct some or all of their waiver respite service. Limits on the amount, frequency, and/or duration are specified in the individual's plan of care and based on assessed needs.				
Provider Specifications				
Provider Category(s) <i>(check one or both):</i>	<input checked="" type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/>	Agency. List the types of agencies:
		Clinical Social Worker licensed in the State of Utah		Family Counseling Centers
				Financial Management Agencies
Specify whether the service may be provided by <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/>	Relative/Legal Guardian
Provider Qualifications <i>(provide the following information for each type of provider):</i>				
Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>	
Individual	Clinical Social Worker licensed in the State of Utah per Utah Code 58-60 Part 2.		Enrolled as a Medicaid waiver provider. Demonstrated ability to perform Family Directed Support functions. Licensed in the state of Utah as a Clinical Social Worker.	

State:	
Effective Date	

Agency	Current Business License		Enrolled as a Medicaid waiver provider. Demonstrated ability to perform Family Directed Support functions. Clinical Social Worker licensed in the State of Utah per Utah Code 58-60 Part 2. Certified Social Worker licensed in the state of Utah per Utah Code 58-60 Part 2.
Verification of Provider Qualifications			
Provider Type:	Entity Responsible for Verification:	Frequency of Verification	
Individual	State Medicaid Agency	Upon enrollment and annually <u>thereafter</u>	
Agency	State Medicaid Agency	Upon enrollment and annually <u>thereafter</u>	
Service Delivery Method			
Service Delivery Method <i>(check each that applies):</i>	<input type="checkbox"/>	Participant-directed as specified in Appendix E	<input checked="" type="checkbox"/> Provider managed

Service Specification	
Service Title:	Extended Private Duty Nursing
<i>Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:</i>	
<input type="radio"/>	Service is included in approved waiver. There is no change in service specifications.
<input type="radio"/>	Service is included in approved waiver. The service specifications have been modified.
<input checked="" type="radio"/>	Service is not included in the approved waiver.
Service Definition (Scope):	
Extended private duty nursing services will be authorized for recipients 21 years of age and older who are denied Medicaid state plan private duty nursing solely based on age [no longer eligible for the Early and Periodic Screening, Diagnosis and Treatment (EPSDT) program]. Eligibility and access for this service are based on the following State Plan requirements: 1. The recipient must require more than four continuous skilled nursing hours of care per day. 2. The recipient must have a written physician order for private duty nursing service. 3. Providers shall submit prior authorization request to the RN waiver coordinators with the required medical documentation (Home Health Agency Form 485, the Medicaid approved PDN acuity grid and skilled nursing assessment form, nursing notes and other relevant documentation) which demonstrates the need for the service.	
Specify applicable (if any) limits on the amount, frequency, or duration of this service:	
Extended Private duty nursing will be prior authorized by the RN waiver coordinators. Limits on the amount, frequency and/or duration are specified in the individual's plan of care and are based on assessed needs.	

State:	
Effective Date	

Provider Specifications			
Provider Category(s) (check one or both):	<input type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/> Agency. List the types of agencies:
			Home Health Agencies
Specify whether the service may be provided by (check each that applies):	<input type="checkbox"/>	Legally Responsible Person	<input checked="" type="checkbox"/> Relative/Legal Guardian
Provider Qualifications (provide the following information for each type of provider):			
Provider Type:	License (specify)	Certificate (specify)	Other Standard (specify)
Agency	Licensed Home Health Agency	Medicare Certified	R-432-700 Home Health Agency Enrolled as a Medicaid Waiver Provider As described in Utah Code Annotated Title 58, Chapter 31b: Registered Nurses Licensed Practical Nurses
Verification of Provider Qualifications			
Provider Type:	Entity Responsible for Verification:		Frequency of Verification
Agency	State Medicaid Agency		Upon enrollment and annually thereafter
Service Delivery Method			
Service Delivery Method (check each that applies):	<input type="checkbox"/>	Participant-directed as specified in Appendix E	<input checked="" type="checkbox"/> Provider managed

State:	
Effective Date	

Appendix C-4: Additional Limits on Amount of Waiver Services

Additional Limits on Amount of Waiver Services. Indicate whether the waiver employs any of the following additional limits on the amount of waiver services (*check each that applies*).

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; and, (f) how participants are notified of the amount of the limit.

<input type="checkbox"/>	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. <i>Furnish the information specified above.</i>
<input type="checkbox"/>	Prospective Individual Budget Amount. There is a limit on the maximum dollar amount of waiver services authorized for each specific participant. <i>Furnish the information specified above.</i>
<input type="checkbox"/>	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. <i>Furnish the information specified above.</i>
<input type="checkbox"/>	Other Type of Limit. The State employs another type of limit. <i>Describe the limit and furnish the information specified above.</i>
<input checked="" type="checkbox"/>	Not applicable. The State does not impose a limit on the amount of waiver services except as provided in Appendix C-3.

State:	
Effective Date	

Appendix D: Participant-Centered Planning and Service Delivery

Appendix D-1: Service Plan Development

State Participant-Centered Service Plan Title: _____

- 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 (*check each that applies*):

<input checked="" type="checkbox"/>	Registered nurse, licensed to practice in the State
<input type="checkbox"/>	Licensed practical or vocational nurse, acting within the scope of practice under State law
<input type="checkbox"/>	Licensed physician (M.D. or D.O)
<input type="checkbox"/>	Case Manager (qualifications specified in Appendix C-3)
<input type="checkbox"/>	Case Manager (qualifications not specified in Appendix C-3). <i>Specify qualifications:</i>
<input type="checkbox"/>	Social Worker. <i>Specify qualifications:</i>
<input checked="" type="checkbox"/>	Other (<i>specify the individuals and their qualifications</i>): RN Waiver Coordinators employed by, or under contract with, the MCH Title V Agency and licensed in the state of Utah as a registered nurse in accordance with Title 58, Occupational and Professional Licensing, Utah Code Annotated, 1953 as amended. Required experience is five years paid professional experience in the field of pediatric nursing and at least one year experience in utilization management, discharge planning or care coordination.

- b. **Service Plan Development Safeguards.** *Select one:*

<input checked="" type="radio"/>	Entities and/or individuals that have responsibility for service plan development <i>may not provide</i> other direct waiver services to the participant.
<input type="radio"/>	Entities and/or individuals that have responsibility for service plan development <i>may provide</i> 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. <i>Specify:</i>

- 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.

State:	
Effective Date	

Appendix D: Participant-Centered Planning and Service Delivery
HCBS Waiver Application Version 3.5

The plan of care is developed in conjunction with the recipient, family/or their legal representatives and other individuals of the recipient's choice. RN waiver coordinators describe each of the waiver services and offer the choice between/among waiver services and (available) providers. The waiver recipient, family/or legal representative and other individuals (when appropriate) of the recipient's choice will be given a waiver brochure describing each of the waiver services for future reference. If the recipient/family has chosen family-directed care, information to assist in the planning process will also be provided. Waiver services are reviewed with the recipient, his or her family/legal representative, and others (when appropriate) by the RN waiver coordinator with each Plan of Care update. This waiver does not provide an option for recipients/legal representatives to solely direct the plan of care process.

State:	
Effective Date	

d. Service Plan Development Process In four pages or less, describe the process that is used to develop the participant-centered service plan, including: (a) who develops the plan, who participates in the process, and the timing of the plan; (b) the types of assessments that are conducted to support the service plan development process, including securing information about participant needs, preferences and goals, and health status; (c) how the participant is informed of the services that are available under the waiver; (d) how the plan development process ensures that the service plan addresses participant goals, needs (including health care needs), and preferences; (e) how waiver and other services are coordinated; (f) how the plan development process provides for the assignment of responsibilities to implement and monitor the plan; and, (g) how and when the plan is updated, including when the participant’s needs change. State laws, regulations, and policies cited that affect the service plan development process are available to CMS upon request through the Medicaid agency or the operating agency (if applicable):

- a. The plan of care is developed in consultation with recipient, his/her family and/or the recipient’s legal representative, the participant’s RN waiver coordinator and any other individuals of the waiver participant’s choice. The recipient, his/her family and/or legal representative will be advised of service needs identified during the assessment process and given the opportunity to accept or decline waiver services offered to address those needs.
- b. The waiver coordinator conducts a comprehensive assessment which includes a review of medical/clinical documentation and completion of comprehensive assessment forms which include sections for documenting information related to:
 - a) Health history including medical technology needs;
 - b) Physicians/clinicians and others involved in the recipient’s care;
 - c) Psychosocial information;
 - d) Functional limitations;
 - e) School and education;
 - f) Therapy and development;
 - g) Current home care services and providers;
 - h) Durable medical equipment providers;
 - i) Immunizations;
 - j) Allergy information;
 - k) Medical related treatments, hospitalizations and outpatient procedures, nutrition and mode of nutritional intake;
 - l) Financial, SSI and private insurance information;
 - m) Recipient needs, risks, preferences, and goals; and
 - n) any identified health and safety risks.
- c. The RN waiver coordinators describe all of the services included in the approved waiver. The waiver recipient, family/or legal representative and other individuals of the recipient’s choice will be given a waiver brochure describing each of the waiver services for future reference. If the recipient/family chooses family-directed ~~respite care services,~~

State:	
Effective Date	

information to assist in the planning process will also be provided. The RN waiver coordinator reviews with the recipient, family/legal representative and others, all waiver services with each Plan of Care update.

d. Plan of Care development incorporates input received from the recipient and/or the recipient's legal guardian during the home-visit and includes offering the recipient and/or legal guardian the choice of waiver providers when more than one provider is available to deliver the services. The recipient and family are an integral part of the waiver assessment and planning process. The RN waiver coordinators continually assess changes in the recipient's family circumstances in order to identify additional needed services and supports that may be necessary.

e. The RN waiver coordinators are responsible to oversee the coordination of all waiver services. Recipients/families may be referred to other non-waiver services included in the plan of care; however, the waiver RN coordinators are not responsible for ensuring their delivery. When non-waiver services are needed to meet the needs of the recipient, the RN waiver coordinator advocates and monitors the implementation of these needed non-waiver services.

f. When the needed waiver services are identified, the assignment of service implementation responsibilities will be discussed with the recipient/family. The recipient/family will be informed of the RN waiver coordinator's authority for only approving and coordinating waiver services. The RN waiver coordinator will support the recipient/family to obtain other services but has no authority other than to link, refer or advocate for such services.

g. The plan of care must be reviewed and updated by the RN waiver coordinator as frequently as necessary to ensure it continues to meet the needs of the waiver recipient and family. Under this waiver, a formal review of the plan is required at least every six months and must be completed by the RN waiver coordinator during the calendar month in which it is due. However, because of the ever changing and complex medical and support needs of this waiver target population, plans of care are frequently reviewed at intervals of less than six months. For example, formal plan of care reviews for new waiver recipients and recipients with extraordinarily complex needs are typically scheduled at four-month rather than six-month intervals.

Interim plans of care may be used when unforeseen circumstances occur and the RN waiver coordinator is unable to reassess the recipient's service needs within the specified time frame (at least every six months). An interim plan of care may also be used to realign the home-visit reassessment schedule with a service prior authorization. This interim allowance will extend services until the formal plan of care can be developed with the recipient and/or legal representative. An interim plan of care will allow up to a maximum three-month extension of the formal plan of care.

- 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.

State:	
Effective Date	

Appendix D: Participant-Centered Planning and Service Delivery
 HCBS Waiver Application Version 3.5

The RN waiver coordinators will assess for risks during the initial and reassessment home visits. Potential risks will be identified and preventative interventions and strategies will be discussed with the recipient and/or family. The State’s primary strategy for mitigating risks is to enroll only skilled licensed/certified providers for waiver services. Waiver enrolled Home Health Agencies are responsible to send a replacement provider as a back-up if the scheduled provider is not available. The RN waiver coordinators regularly assess the amount and frequency of services as another method of mitigating identified risks. The RN waiver coordinators will assess for and help the recipient/family to identify informal supports available in addition to waiver and State Plan supports and services including exploring the Family Directed services option under the waiver.

- 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.

Participants/legal representatives are provided a list/informed of all available waiver providers and freely select the provider of choice during each assessment and reassessment, whenever there is a change in their documented service needs, or when they have indicated they are dissatisfied with their current provider. RN waiver coordinators provide any additional information needed to support the participant/legal guardian to make an informed choice. Freedom of choice of available providers is documented by the recipient/legal representative’s signature on the waiver plan of care.

- 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):

The Medical Assistance Unit within the SMA has final authority for oversight and approval of all waiver plans of care. The Medical Assistance Unit conducts retrospective reviews of all new waiver recipients’ plans of care quarterly and a sample of continuing participants plans of care annually. Annual reviews are staggered throughout the waiver year. For annual reviews, the sample is drawn from a list of all waiver recipients in the waiver on day one of each waiver year.

The combined total of new and continuing cases reviewed annually will be equal to or greater than the sample size required to generalize the SMA’s findings to the entire waiver target population.

- 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:*

<input type="radio"/>	Every three months or more frequently when necessary
<input checked="" type="radio"/>	Every six months or more frequently when necessary
<input type="radio"/>	Every twelve months or more frequently when necessary
<input type="radio"/>	Other schedule (<i>specify</i>):

State:	
Effective Date	

Appendix D: Participant-Centered Planning and Service Delivery
 HCBS Waiver Application Version 3.5

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*):

<input type="checkbox"/>	Medicaid agency
<input type="checkbox"/>	Operating agency
<input type="checkbox"/>	Case manager
<input checked="" type="checkbox"/>	Other (<i>specify</i>):
	Contractor-MCH Title V RN Waiver Coordinators

State:	
Effective Date	

Appendix D-2: Service Plan Implementation and Monitoring

- a. Service Plan Implementation and Monitoring.** Specify: (a) the entity (entities) responsible for monitoring the implementation of the service plan and participant health and welfare; (b) the monitoring and follow-up method(s) that are used; and, (c) the frequency with which monitoring is performed.

The State's Title V Agency RN waiver coordinators are responsible for monitoring the implementation of the plan of care through a home visit every four to six months based on the complexity of the recipient and family needs.

Recipient access to services and problems with service delivery is assessed during home visits and interim contacts as initiated by the RN waiver coordinator, participant/legal representative or others, and documented in the recipient file. All services are prior authorized by the RN waiver coordinators through home health agencies and other providers who collaborate to assure services are meeting the needs of the recipient and family. Recipients who receive less than one waiver service or case management activity per quarter are contacted at least monthly to assess needs and risks. RN waiver coordinators assist the recipient and family in solving issues and problems through phone calls, scheduling case conferences and meetings with providers. Recipients/families are encouraged to call the RN waiver coordinators with concerns and problems as they arise. Back-up plans using informal supports and coordinating services among several providers are used to ensure access to services thereby promoting the health and safety of the individual.

Formal evaluation of utilization of waiver services is done quarterly by the SMA to assure that the RN waiver coordinators specify services by type, amount, duration, scope and frequency. A concurrent post-payment review of selected recipients' claims is also conducted by the Medicaid agency to verify the extent in which providers delivered authorized services.

Methods for reporting critical incidents to the state include:

- A shared database (between the RN waiver coordinators and the state) for tracking identified complaints, incidents and resolutions.
- Waiver Administrative and Operating Team (WAOT) meetings are held quarterly and more frequently as necessary to discuss problems and solutions.

- b. Monitoring Safeguards.** *Select one:*

<input checked="" type="checkbox"/>	Entities and/or individuals that have responsibility to monitor service plan implementation and participant health and welfare <i>may not provide</i> other direct waiver services to the participant.
<input type="checkbox"/>	Entities and/or individuals that have responsibility to monitor service plan implementation and participant health and welfare <i>may provide</i> 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. <i>Specify:</i>

Quality Improvement: Service Plan

State:	
Effective Date	

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**

a.i.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.

For each performance measure/indicator the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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:	Plans of care will address participant assessed needs including health and safety risk factors and personal goals, either by waiver services or through other means.		
Record reviews, on-site	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 type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	95%
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input checked="" type="checkbox"/> Other: Describe
			see sampling methodology in a.ii. of this section
Data Aggregation and Analysis	Responsible Party for data aggregation and analysis (check each that	Frequency of data aggregation and analysis: (check each that	

State:	
Effective Date	

	<i>applies</i>	<i>applies</i>	
	<input checked="" type="checkbox"/> <i>State Medicaid Agency</i>	<input type="checkbox"/> <i>Weekly</i>	
	<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>	
	<input type="checkbox"/> <i>Sub-State Entity</i>	<input checked="" type="checkbox"/> <i>Quarterly</i>	
	<input type="checkbox"/> <i>Other: Specify:</i>	<input checked="" type="checkbox"/> <i>Annually</i>	
		<input type="checkbox"/> <i>Continuously and Ongoing</i>	
		<input type="checkbox"/> <i>Other: Specify:</i>	

a.i.b Sub-assurance: The State monitors service plan development in accordance with its policies and procedures.

For each performance measure/indicator the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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

Performance Measure:	<i>Waiver and non-waivered services identified on the plan of care are consistent with documented needs and the nature and the severity of the recipients' medical condition and disability.</i>		
Record review, on-site	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"/> <i>State Medicaid Agency</i>	<input type="checkbox"/> <i>Weekly</i>	<input type="checkbox"/> <i>100% Review</i>
	<input type="checkbox"/> <i>Operating Agency</i>	<input type="checkbox"/> <i>Monthly</i>	<input checked="" type="checkbox"/> <i>Less than 100% Review</i>
	<input type="checkbox"/> <i>Sub-State Entity</i>	<input checked="" type="checkbox"/> <i>Quarterly</i>	<input checked="" type="checkbox"/> <i>Representative Sample; Confidence Interval =</i>
	<input type="checkbox"/> <i>Other: Specify:</i>	<input checked="" type="checkbox"/> <i>Annually</i>	<i>95%</i>
		<input type="checkbox"/> <i>Continuously and Ongoing</i>	<input type="checkbox"/> <i>Stratified; Describe Groups</i>
		<input type="checkbox"/> <i>Other: Specify:</i>	<input checked="" type="checkbox"/> <i>Other: Describe</i>
			<i>see sampling methodology in a.ii.</i>

State:	
Effective Date	

			<i>of this section</i>
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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

Performance Measure:	Recipient case files contain evidence that plans of care describe the current medical and other services and supports (regardless of the funding source) available to the recipient as well as newly identified, additional services and supports needed and in the process of being arranged.		
Record review, on-site	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 type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	95%
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input checked="" type="checkbox"/> Other: Describe see sampling methodology in a.ii. of this section
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	

State:	
Effective Date	

	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

Performance Measure: Recipient case files contain evidence that plans of care incorporate input from the recipient and/or the recipient's legal guardian, including the choice of waiver providers when more than one provider was available to deliver the services.

Record review, on-site	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 type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	95%
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified; Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input checked="" type="checkbox"/> Other: Describe see sampling methodology in a.ii. of this section

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

State:	
Effective Date	

Performance Measure:	<i>Recipient case files contain evidence that plans of care are documented on the approved plan of care form which in turn, was then signed by the recipient/legal representative before waiver services were prior authorized by the RN waiver coordinator.</i>		
Record review, on-site	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 type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	95%
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input checked="" type="checkbox"/> Other: Describe
			see sampling methodology in a.ii. of this section
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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

a.i.c Sub-assurance: Service plans are updated/revised at least annually or when warranted by changes in the waiver participant's needs..

For each performance measure/indicator the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

State:	
Effective Date	

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

Performance Measure:	<i>Recipient case files contain evidence that plans of care are updated by the RN waiver coordinator as frequently as necessary to ensure the medically fragile recipient's (and her/his family's) frequently changing needs, in particular health and safety needs, continued to be monitored and addressed.</i>		
Record review, on-site	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 type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	95%
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input checked="" type="checkbox"/> Other: Describe
			see sampling methodology in a.ii. of this section
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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

Performance Measure:	<i>Plans of care are dated/signed by the recipient/legal guardian within the required time frames.</i>
-----------------------------	--------------------------------------------------------------------------------------------------------

State:	
Effective Date	

Record review, on-site	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 type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	95%
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified; Describe Groups
		<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Other: Describe
			see sampling methodology in a.ii. of this section
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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

a.i.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.

For each performance measure/indicator the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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

State:	
Effective Date	

statistically/deductively or inductively, how themes are identified or conclusions drawn, and how recommendations are formulated, where appropriate.

Performance Measure:	<i>Plans of care will include the following elements for each service authorized: type of service, amount, duration, scope and frequency and type of provider.</i>		
Record review, on-site	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 type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	95%
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input checked="" type="checkbox"/> Other: Describe
			see sampling methodology in a.ii. of this section
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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

Performance Measure:	<i>Authorized services are delivered in accordance with the plan of care and the RN waiver coordinator's prior authorization for service.</i>		
-Record review, on-site - Financial records (including	Responsible Party for data collection/generation (check each that	Frequency of data collection/generation: (check each that applies)	Sampling Approach (check each that applies)

State:	
Effective Date	

<i>expenditures)</i>	<i>applies)</i>		
	<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	95%
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input checked="" type="checkbox"/> Other: Describe
			see sampling methodology in a.ii. of this section
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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

a.i.e Sub-assurance: Participants are afforded choice: Between waiver services and institutional care; and between/among waiver services and providers.

For each performance measure/indicator the State will use to assess compliance with the statutory assurance (or sub-assurance), complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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:	Recipients records reviewed will document the selection of waiver services versus institutional (NF) services by the participant/legal representative.
-----------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------

State:	
Effective Date	

Record review, on-site	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 type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	95%
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input checked="" type="checkbox"/> Other: Describe see sampling methodology in a.ii. of this section
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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

<u>Performance Measure:</u>	<i>The number and percentage of participants who are offered the choice of providers when more than one provider is available.</i>		
<u>Recipient record reviews</u>	<u>Responsible Party for data collection/generation (check each that applies)</u>	<u>Frequency of data collection/generation: (check each that applies)</u>	<u>Sampling Approach (check each that applies)</u>
	<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence

State:	
Effective Date	

	<input checked="" type="checkbox"/> <u>Other: Specify:</u>	<input type="checkbox"/> <u>Annually</u>	<u>Interval =</u>
	<u>RN waiver coordinators</u>	<input checked="" type="checkbox"/> <u>Continuously and Ongoing</u>	<u>95%</u>
		<input type="checkbox"/> <u>Other: Specify:</u>	<input type="checkbox"/> <u>Stratified: Describe Groups</u>
			<input type="checkbox"/> <u>Other: Describe</u>
<u>Data Aggregation and Analysis</u>	<u>Responsible Party for data aggregation and analysis</u> <i>(check each that applies)</i>	<u>Frequency of data aggregation and analysis:</u> <i>(check each that applies)</i>	
	<input checked="" type="checkbox"/> <u>State Medicaid Agency</u>	<input type="checkbox"/> <u>Weekly</u>	
	<input type="checkbox"/> <u>Operating Agency</u>	<input type="checkbox"/> <u>Monthly</u>	
	<input type="checkbox"/> <u>Sub-State Entity</u>	<input type="checkbox"/> <u>Quarterly</u>	
	<input type="checkbox"/> <u>Other: Specify:</u>	<input checked="" type="checkbox"/> <u>Annually</u>	
		<input type="checkbox"/> <u>Continuously and Ongoing</u>	
		<input type="checkbox"/> <u>Other: Specify:</u>	

a.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.*

The Medical Assistance Unit conducts retrospective reviews of all new waiver recipients' case files. Additionally, a random sample of continuing waiver recipients is drawn on day one of each waiver year. The program manager reviews approximately one quarter of the eligible recipient's case files every three months. The combined total of new and continuing cases reviewed annually will be equal to or greater than the sample size required to generalize findings across the entire waiver population. This sample size will be sufficient to provide a confidence level equal to 95%.

Results of plan of care evaluations will be summarized and reviewed by the Medicaid agency on a quarterly basis prior to the Waiver Administration and Operations Team (WAOT) meetings. The Medicaid agency will review results of findings with the RN waiver coordinators during the quarterly WAOT meetings to expedite remediation when necessary.

b. Methods for Remediation/Fixing Individual Problems

b.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 Medicaid agency is responsible for addressing all problems discovered. Methods include:

State:	
Effective Date	

a) direct contact for additional information if any, and b) informal discussion or formal (written) notice of adverse findings. The Medicaid agency will use discretion in determining formal vs. informal notice based on technical vs. substantive findings. Substantive findings would be defined as overpayments or violation of health and safety.

Findings from reviews are documented on the QA Review of Contracted Administrative Activities form. Preliminary findings are discussed with the RN waiver coordinators who are afforded the opportunity to explain, clarify and/or provide (additional) information/documentation before monitoring findings are aggregated and used for reporting purposes. If trends of inaccuracies continue, plans of correction will be required and will include specific timeframes and who is responsible. After the plan of correction is implemented, follow-up will be conducted by the Medicaid agency to assure the remediation plan was effective.

Technical findings will be discussed and resolved during quarterly Waiver Administrative and Operations Team meetings. For substantive findings, plans for remediation will be developed and include goals and timelines. Remediation strategies may include further training, improving documentation and forms and/or adding additional tracking methods to assure timelines.

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

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.

<input type="radio"/>	Yes (complete remainder of item)
<input checked="" type="radio"/>	No

State:	
Effective Date	

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

--

State:	
Effective Date	

Appendix E: Participant Direction of Services

[NOTE: Complete Appendix E only when the waiver provides for one or both of the participant direction opportunities specified below.]

Applicability (select one):

<input checked="" type="checkbox"/>	Yes. This waiver provides participant direction opportunities. Complete the remainder of the Appendix.
<input type="checkbox"/>	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):

<input type="checkbox"/>	Yes. The State requests that this waiver be considered for Independence Plus designation.
<input checked="" type="checkbox"/>	No. Independence Plus designation is not requested.

Appendix E-1: Overview

- 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.

Family Directed Services means service delivery that is provided through a non-agency based provider. Under this method, families hire individual employees to perform respite services. The family is then responsible to manage the employee(s) including providing supervision, training, scheduling, and assuring time sheet accuracy.

The Family Directed service method requires the use of Financial Management Services (FMS) to assist with managing employer-related financial responsibilities associated with Family Directed Services.

If the needs assessment process indicates the family would benefit from Family Preparation Services, the RN waiver coordinators will refer them to a provider qualified to provide the knowledge base for successfully directing their ~~respite care~~ services.

The family hires and schedules the ~~respite care provider for respite~~ family directed providers for services authorized by the RN waiver coordinators. The family is responsible to review all employee timesheets for accuracy before submitting them to the FMS agency for payment. The FMS will send the employer and RN waiver coordinators information at least monthly detailing the units of services used and the number of units remaining.

- b. **Participant Direction Opportunities.** Specify the participant direction opportunities that are available in the waiver. Select one:

State:	
Effective Date	

Appendix E: Participant Direction of Services
 HCBS Waiver Application Version 3.5

<input checked="" type="radio"/>	Participant – Employer Authority. As specified in <i>Appendix E-2, Item a</i> , 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.
<input type="radio"/>	Participant – Budget Authority. As specified in <i>Appendix E-2, Item b</i> , 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.
<input type="radio"/>	Both Authorities. The waiver provides for both participant direction opportunities as specified in <i>Appendix E-2</i> . Supports and protections are available for participants who exercise these authorities.

State:	
Effective Date	

Appendix E: Participant Direction of Services
 HCBS Waiver Application Version 3.5

c. Availability of Participant Direction by Type of Living Arrangement. *Check each that applies:*

<input checked="" type="checkbox"/>	Participant direction opportunities are available to participants who live in their own private residence or the home of a family member.
<input type="checkbox"/>	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.
<input type="checkbox"/>	The participant direction opportunities are available to persons in the following other living arrangements (<i>specify</i>):

d. Election of Participant Direction. Election of participant direction is subject to the following policy (*select one*):

<input type="checkbox"/>	Waiver is designed to support only individuals who want to direct their services.
<input checked="" type="checkbox"/>	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.
<input type="checkbox"/>	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. <i>Specify the criteria:</i>

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.

During the initial assessment process, the RN waiver coordinators will provide the recipient/family with a description of the Family Directed Services model including written information detailing the services and providers available for Financial Management Services and Family Directed Support. The RN waiver coordinators will also explain the option to have all or a part of their authorized ~~respite units~~ services delivered through the Family Directed model and/or all or part of their ~~respite services~~ through a Medicaid enrolled licensed home health agency. The information provided during the initial assessment will enable the recipient/family to make an informed choice about the ~~ir options, delivery of their authorized waiver respite units.~~

f. Participant Direction by a Representative. Specify the State’s policy concerning the direction of waiver services by a representative (*select one*):

<input type="checkbox"/>	The State does not provide for the direction of waiver services by a representative.
<input checked="" type="checkbox"/>	The State provides for the direction of waiver services by a representative. Specify the representatives who may direct waiver services: (<i>check each that applies</i>):
<input checked="" type="checkbox"/>	Waiver services may be directed by a legal representative of the participant.
<input checked="" type="checkbox"/>	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:

State:	
Effective Date	

Appendix E: Participant Direction of Services

HCBS Waiver Application Version 3.5

A parent or primary caregiver with whom the recipient resides, but has not yet obtained a limited power of attorney for medical decision-making or formal legal guardianship, may continue to direct waiver services. Generally, the non-legal representative we are referring to is the parent of the participant who has turned 18 while being served on the waiver. The RN waiver coordinators encourage the parent or primary caregiver to initiate the process of obtaining limited power of attorney or legal guardianship prior to the recipient turning 18 years of age.

- 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-3. *(Check the opportunity or opportunities available for each service):*

Participant-Directed Waiver Service	Employer Authority	Budget Authority
Skilled Nursing Respite Care	X	<input type="checkbox"/>
<u>In-Home Feeding Therapy</u>	<u>X</u> <input type="checkbox"/>	<input type="checkbox"/>
<u>Family Support Services</u>	<u>X</u> <input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

- 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:*

<input checked="" type="checkbox"/>	Yes. Financial Management Services are furnished through a third party entity. <i>(Complete item E-1-i). Specify whether governmental and/or private entities furnish these services. Check each that applies:</i>
<input type="checkbox"/>	Governmental entities
<input checked="" type="checkbox"/>	Private entities
<input type="checkbox"/>	No. Financial Management Services are not furnished. Standard Medicaid payment mechanisms are used. <i>Do not complete Item E-1-i.</i>

- i. Provision of Financial Management Services.** Financial management services (FMS) may be furnished as a waiver service or as an administrative activity. *Select one:*

<input checked="" type="checkbox"/>	FMS are covered as the waiver service entitled Financial Management Services as specified in Appendix C-3. <i>Provide the following information:</i>
<input type="checkbox"/>	FMS are provided as an administrative activity. <i>Provide the following information:</i>
i.	Types of Entities: Specify the types of entities that furnish FMS and the method of procuring these services: Financial Management Agencies enrolled as Medicaid providers complying with state and local licensing, accreditation and certification requirements per Utah Code R-58-26a. The state enrolls all willing and qualified providers.
ii.	Payment for FMS. Specify how FMS entities are compensated for the administrative activities that they perform:

State:	
Effective Date	

Appendix E: Participant Direction of Services
 HCBS Waiver Application Version 3.5

	Financial Management Agencies do not perform administrative activities. Under this waiver, FMS will be paid through the Medicaid fee-for-service system.
iii.	Scope of FMS. Specify the scope of the supports that FMS entities provide (<i>check each that applies</i>):
	<i>Supports furnished when the participant is the employer of direct support workers:</i>
	<input checked="" type="checkbox"/> Assist participant in verifying support worker citizenship status
	<input checked="" type="checkbox"/> Collect and process timesheets of support workers
	<input checked="" type="checkbox"/> Process payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance
	<input checked="" type="checkbox"/> Other (<i>specify</i>):
	Assist the employer in obtaining documentation of BCI check, CPR certification, <u>professional nursing</u> -malpractice insurance and current <u>nursing</u> -license/ <u>certification</u> and maintain copies of these documents for a period not less than 3 years. Send the employer and RN waiver coordinators information at least monthly detailing the units of services used and the number of units remaining.
	<i>Supports furnished when the participant exercises budget authority:</i>
	<input type="checkbox"/> Maintain a separate account for each participant's participant-directed budget
	<input type="checkbox"/> Track and report participant funds, disbursements and the balance-of participant funds
	<input type="checkbox"/> Process and pay invoices for goods and services approved in the service plan
	<input type="checkbox"/> Provide participant with periodic reports of expenditures and the status of the participant-directed budget
	<input type="checkbox"/> Other services and supports (<i>specify</i>):
	<i>Additional functions/activities:</i>
<input checked="" type="checkbox"/> Execute and hold Medicaid provider agreements as authorized under a written agreement with the Medicaid agency	
<input checked="" type="checkbox"/> Receive and disburse funds for the payment of participant-directed services under an agreement with the Medicaid agency or operating agency	
<input type="checkbox"/> Provide other entities specified by the State with periodic reports of expenditures and the status of the participant-directed budget	
<input type="checkbox"/> Other (<i>specify</i>):	
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.

State:	
Effective Date	

Appendix E: Participant Direction of Services
HCBS Waiver Application Version 3.5

With each reassessment/plan of care update, the RN waiver coordinators will review monthly billing statements from the FMS provider and compare them with the service authorization utilization and payment data generated from Medicaid's data warehouse. If these documents reveal over utilization or significant under utilization, the RN waiver coordinator will adjust service authorization based on assessed need and input from the recipient's legal representative needs. Additionally, billing statements from the FMA S and utilization data/expenditure data will be reviewed by the State Medicaid agency as part of its random, quarterly post-payment record review process. Discrepancies in service utilization and claims data will be resolved if over/under payments have occurred.

State:	
Effective Date	

Appendix E: Participant Direction of Services
 HCBS Waiver Application Version 3.5

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*):

<input type="checkbox"/>	Case Management Activity. Information and assistance in support of participant direction are furnished as an element of Medicaid case management services. <i>Specify in detail the information and assistance that are furnished through case management for each participant direction opportunity under the waiver:</i>
<input checked="" type="checkbox"/>	Waiver Service Coverage. Information and assistance in support of participant direction are provided through the waiver service coverage (s) specified in Appendix C-3 entitled: Family Directed Support
<input checked="" type="checkbox"/>	Administrative Activity. Information and assistance in support of participant direction are furnished as an administrative activity. <i>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:</i>

k. Independent Advocacy (*select one*).

<input type="radio"/>	Yes. Independent advocacy is available to participants who direct their services. <i>Describe the nature of this independent advocacy and how participants may access this advocacy:</i>
<input checked="" type="radio"/>	No. Arrangements have not been made for independent advocacy.

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:

<p>If the participant/legal representative voluntarily terminates Family Directed Services, the RN waiver coordinators will re-evaluate respite<u>their</u> service needs and assist the participant/legal representative to find an home health-agency <u>or individual provider</u> willing and available to provide the needed respite services. The transition to agency-based care<u>a new provider</u> will include all aspects of plan of care development including timeliness and the choice of willing and available providers. Service continuity is ensured and health and safety assured during the transition.</p>

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.

State:	
Effective Date	

Appendix E: Participant Direction of Services
HCBS Waiver Application Version 3.5

If the RN waiver coordinators determine that the participant/legal representative is unable to adequately perform and manage Family Directed Services to the extent that health and safety is jeopardized, the plan of care will be revised to address the agency-based services needed to keep the recipient safe and in the community. The transition to agency-based care will include all aspects of service plan development including input from the participant/legal representative on service needs, the assurance of health and welfare during the transition and the choice among willing and available providers. During the transition to agency-based care, family directed services may continue (as long as the participant's health and welfare is assured) until a home health agency has been identified and waiver services initiated. If health and welfare cannot be assured during the transition, interim NF placement may be considered. If the recipient/legal representative disagrees with the involuntary termination of family directed support services, a written notice of agency action and information on hearing rights will be given to the recipient/legal representative by the RN waiver coordinators.

State:	
Effective Date	

Appendix E: Participant Direction of Services
 HCBS Waiver Application Version 3.5

- n. **Goals for Participant Direction.** In the following table, provide the State’s goals for each year that the waiver is in effect for the unduplicated number of waiver participants who are expected to elect each applicable participant direction opportunity. Annually, the State will report to CMS the number of participants who elect to direct their waiver services.

Table E-1-n		
	Employer Authority Only	Budget Authority Only or Budget Authority in Combination with Employer Authority
Waiver Year	Number of Participants	Number of Participants
Year 1	25	
Year 2	35	
Year 3	40	
Year 4 (renewal only)	45	
Year 5 (renewal only)	45	

Comment [A1]: Jason will add actual numbers of participants for WY 1-3, and updated estimates for WY4 and WY5.

State:	
Effective Date	

Appendix E-2: Opportunities for Participant-Direction

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. Check each that applies:

<input type="checkbox"/>	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. <i>Specify the types of agencies (a.k.a., “agencies with choice”) that serve as co-employers of participant-selected staff; the standards and qualifications the State requires of such entities and the safeguards in place to ensure that individuals maintain control and oversight of the employee:</i>
<input checked="" type="checkbox"/>	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. Check the decision making authorities that participants exercise:

<input checked="" type="checkbox"/>	Recruit staff
<input type="checkbox"/>	Refer staff to agency for hiring (co-employer)
<input type="checkbox"/>	Select staff from worker registry
<input checked="" type="checkbox"/>	Hire staff (common law employer)
<input checked="" type="checkbox"/>	Verify staff qualifications
<input checked="" type="checkbox"/>	Obtain criminal history and/or background investigation of staff. Specify how the costs of such investigations are compensated: The employee will be responsible to pay the costs associated with the background investigation.
<input type="checkbox"/>	Specify additional staff qualifications based on participant needs and preferences so long as such qualifications are consistent with the qualifications specified in Appendix C-3.
<input checked="" type="checkbox"/>	Determine staff duties consistent with the service specifications in Appendix C-3.
<input type="checkbox"/>	Determine staff wages and benefits subject to applicable State limits
<input checked="" type="checkbox"/>	Schedule staff
<input checked="" type="checkbox"/>	Orient and instruct-staff in duties
<input checked="" type="checkbox"/>	Supervise staff
<input checked="" type="checkbox"/>	Evaluate staff performance
<input checked="" type="checkbox"/>	Verify time worked by staff and approve time sheets
<input checked="" type="checkbox"/>	Discharge staff (common law employer)

State:	
Effective Date	

<input type="checkbox"/>	Discharge staff from providing services (co-employer)
<input type="checkbox"/>	Other (specify):

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. *Check all that apply:*

<input type="checkbox"/>	Reallocate funds among services included in the budget
<input type="checkbox"/>	Determine the amount paid for services within the State’s established limits
<input type="checkbox"/>	Substitute service providers
<input type="checkbox"/>	Schedule the provision of services
<input type="checkbox"/>	Specify additional service provider qualifications consistent with the qualifications specified in Appendix C-3
<input type="checkbox"/>	Specify how services are provided, consistent with the service specifications contained in Appendix C-3
<input type="checkbox"/>	Identify service providers and refer for provider enrollment
<input type="checkbox"/>	Authorize payment for waiver goods and services
<input type="checkbox"/>	Review and approve provider invoices for services rendered
<input type="checkbox"/>	Other (specify):

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.

--

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.

--

State:	
Effective Date	

iv. **Participant Exercise of Budget Flexibility.** *Select one:*

<input type="radio"/>	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:
<input type="radio"/>	Modifications to the participant-directed budget must be preceded by a change in the service plan.

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:

--

State:	
Effective Date	

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 I-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.

Prior to making the choice of institutional care or home and community-based care, the individual or his/her legal representative will be informed if there is a waiting list for the waiver.

An applicant/recipient will not be offered waiver services if the assessment indicates he/she cannot adequately/safely be served in the community and will be given written notice of rights to a fair hearing.

The RN waiver coordinators will offer the choice of waiver services only if:

- The individual's needs can be met appropriately in the community with waiver and other available State plan services.
- The preliminary plan of care has been agreed to by all parties.

If waiver services are chosen, the recipient/legal representative will also be given the opportunity to choose an available provider of waiver service(s) if more than one qualified provider is available to render the service(s).

Upon entrance to the waiver program, the participant or his/her legal representative will be informed verbally and in writing by the RN waiver coordinators during the initial home visit of:

- a) the feasible alternatives available under the waiver;
- b) their right to choose institutional care or home and community-based care; and
- c) the Medicaid complaint, grievance and fair hearing process.

A form signed by the participant/legal representative will be maintained in the recipient's case record to document their awareness of rights to a fair hearing upon entrance to the waiver.

Documentation will also be maintained in the recipient file concerning the choices given and the response to those choices.

State:	
Effective Date	

Appendix F: Participant Rights
HCBS Waiver Application Version 3.5

It is the policy of the State Medicaid agency to resolve disputes at the lowest level. The following is not meant to foreclose the State's preference for informal resolutions through open discussion and negotiation between the State and applicants, recipients, and providers, and all other interested parties.

In addition to any and all hearing rights detailed in R410-14, eligible waiver applicants/recipients will be given an opportunity for a hearing, upon written request, if:

1. They are not offered the choice of institutional (NF) care or community-based (waiver) services;
2. Their scope, frequency and/or duration of waiver services are reduced;
3. They are denied the waiver services of their choice; or
4. They are denied the waiver provider(s) of their choice if more than one provider is available to render the service(s).

Notices of adverse actions are given to individuals verbally and followed-up with a formal written notice of agency action by the RN waiver coordinators. Included in the formal written notice are specified timeframes for filing an appeal and informing participant/legal representative that services may continue during the appeal process. However, if as a result of the hearing, the action taken by the SMA is found to be correct, the participant/legal representative will be responsible to pay the costs of the services provided during the appeal period. Content, of the notices, conforms to Federal Regulation 42 CFR 431. Documentation of these notices is maintained in the recipient file.

Participant/legal representatives are referred by the RN waiver coordinators to contact the Medicaid constituent services' representative to assist them with pursuing a fair hearing regarding an adverse action taken by the waiver program. RN waiver coordinators will assist participant/legal representatives with grievances and fair hearings concerning Medicaid State plan or private insurance benefits.

Annually, the participant/legal representative receives written information regarding their rights to a fair hearing and notification is documented on the Notice of Institutional Options and Rights to a Fair Hearing form.

State:	
Effective Date	

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:*

<input type="radio"/>	Yes. The State operates an additional dispute resolution process (<i>complete Item b</i>)
<input checked="" type="radio"/>	No. This Appendix does not apply (<i>do not complete Item b</i>)

- 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.

--

State:	
Effective Date	

Appendix F-3: State Grievance/Complaint System

a. Operation of Grievance/Complaint System. *Select one:*

<input checked="" type="checkbox"/>	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 <i>(complete the remaining items)</i> .
<input type="checkbox"/>	No. This Appendix does not apply <i>(do not complete the remaining items)</i>

b. Operational Responsibility. Specify the State agency that is responsible for the operation of the grievance/complaint system:

The State Medicaid agency is responsible for the operation of the grievance/complaint system.

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).

<p>The State Medicaid Agency operates an internal complaint/grievance system under the direction of the State Medicaid Director's office. The Medicaid constituent services' representative receives complaints from clients, providers, family or other community or state groups. The individual lodging the complaint is informed by the constituent services' representative that filing a grievance or making a complaint is not a prerequisite or substitute for a formal hearing.</p> <p>a) Types of complaints received may include availability of services, provider staff complaints, quality of care, eligibility problems, claims payment problems, policy clarification requests, requests for additional coverage or information about what is covered by the waiver and other Medicaid program requests.</p> <p>b) The complaints are documented in the Medicaid Managed Care System (MMCS) and assigned a tracking number. Data entered includes the client name and type of complaint they are filing. Details about the situation are documented in the system in a narrative format and steps to resolution are then entered on the case. Medicaid agency managers are notified via monthly reports generated electronically through the MMCS system regarding any resolution efforts that have been or need to be taken by the constituent services' representative and documented in the electronic case record. Time frames for addressing complaints are determined by the source, i.e. Governor's office or Director's office, or by urgency of call. Most calls are resolved with 10 days.</p> <p>c) If the complaint/grievance is not resolved at the constituent service level the waiver recipient/family will be advised by the constituent services' representative of the need to file a request for a fair hearing within the allowed time limits. The informal dispute resolution process will continue during the interim period until the fair hearing is scheduled and conducted. Federal and State laws set forth for the Medicaid program are followed for resolution of claims payment, coverage and eligibility issues. Medicaid Policy, found in Provider manuals and the Medicaid Eligibility manual, is referenced for policy and eligibility problems and service issues. If the complaint involves Civil Rights or discrimination situations, the recipient/family are referred to the Regional Civil Rights Office to be reported in writing.</p>

State:	
Effective Date	

The Medicaid Member Guide ~~describes~~ informs the recipient/legal representative ~~s of their right~~ ability to contact the Medicaid constituent services line to discuss issues or concerns. Additionally, the RN waiver coordinators provide written materials to the recipient/family informing them of who to contact with grievances or complaints. Contacts include names and numbers of their RN waiver coordinator, the Medicaid agency constituent services' representative, the Medicaid managed care health plan (when applicable) and their home health agency.

State:	
Effective Date	

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:*

<input checked="" type="radio"/>	Yes. The State operates a Critical Event or Incident Reporting and Management Process (complete Items b through e)
<input type="radio"/>	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).

Under State law, professionals and the public are required to report instances of abuse, neglect and exploitation. The RN waiver coordinators and providers, all of whom are professionally licensed and certified, must refer within 48 hours, incidences of suspected abuse, neglect and exploitation to the Division of Child and Family Services (DCFS) or Adult Protective Services (APS) for investigation within 48 hours.

In addition to reporting incidents of abuse, neglect or exploitation, the State and RN waiver coordinators will log critical incidents within 48 hours for follow-up as necessary into the waiver's InfoPath System. Critical incidents are defined as:

- a) the unexpected death of a recipient during the time they were receiving waiver services or supports from any waiver provider;
- b) serious injury inflicted by a waiver provider;
- c) theft, damage or exploitation of personal or real property of the recipient/family; and
- d) removal of the recipient from their home by the Division of Child and Family Services (DCFS) or Adult Protective Services (APS).

- 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.

State:	
Effective Date	

Appendix G: Participant Safeguards
HCBS Waiver Application Version 3.5

Upon enrollment and annually, the RN waiver coordinators will provide information to recipients/legal representatives related to laws and protections from abuse, neglect and exploitation. Under State law (Utah Code Annotated Sections 62-A-4a-403 Part 4 Child Abuse or Neglect Reporting Requirements and 62-A-3-305 Adult Reporting Requirement) professionals and the public are required to report instances of abuse, neglect and exploitation. The RN waiver coordinators and providers, all of whom are professionally licensed and certified, must refer incidents of suspected abuse, neglect and exploitation to the Division of Child and Family Services (DCFS) or Adult Protective Services (APS) for investigation.

In addition, Family Directed Support providers will offer information and instruct recipient/legal representatives on the following topics:

- a) how to avoid theft/security issues;
- b) maintaining personal safety when recruiting/interviewing potential employees;
- c) assertiveness/boundaries/rules with employees;
- d) maintaining personal safety when firing an employee;
- e) when and how to report instances of abuse, neglect or exploitation; and
- f) resources in their community to assist victims of abuse, neglect or exploitation.

- 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.

Persons observing suspected abuse, neglect or exploitation must report their observations to the State’s Child or Adult Protective Services Agency or the local law enforcement agency in accordance with Utah Code Annotated Sections 62-A-4a-403 Part 4 Child Abuse or Neglect Reporting Requirements and 62-A-3-305 Adult Reporting Requirement.

The State agency and RN waiver coordinators receive reports of critical incidents and log the incident into the InfoPath system within two working days. The InfoPath system generates electronic notification to and from the State agency and RN waiver coordinators so both parties are aware of the incident and are able to enter and track events as they occur. Reports of critical incidents are received from various entities depending upon the nature of the incident. For example, a child welfare investigation or removal would come from the Division of Child and Family services, criminal offences would come from law enforcement or a suspicious death may be reviewed and come from the Fatality Review Committee. If the incident is discovered by the State or RN waiver coordinators, a referral will be made within two working days to the appropriate agency to conduct their investigation. The State agency and RN waiver coordinators will collaborate with the investigating agency providing relevant information or attending meetings when invited. Timeframes for investigation will depend on the incident and the timeframes designated by the investigating agency.

At a minimum, annual reports of critical incidents will be generated by the State to track

State:	
Effective Date	

Appendix G: Participant Safeguards
HCBS Waiver Application Version 3.5

occurrences and identify trends.

- 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.

The State agencies responsible for overseeing suspected incidents of abuse, neglect or exploitation are the Division of Child and Family Services for children and the Division of Adult and Aging Services, Adult Protective Services, for adults.

The Medicaid agency will be responsible for the oversight of critical incident reporting. Critical incident reports will be logged within 48 hours of occurrence into the InfoPath Incident Reporting System. The State Medicaid agency and RN waiver coordinators will assist other entities with investigations as appropriate and follow the event through to resolution. At a minimum, an aggregate report will be generated annually to identify trends and potential areas for quality improvement.

State:	
Effective Date	

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions

a. Use of Restraints or Seclusion (*select one*):

<input checked="" type="checkbox"/>	The State does not permit or prohibits the use of restraints or seclusion. Specify the State agency (or agencies) responsible for detecting the unauthorized use of restraints or seclusion and how this oversight is conducted and its frequency:
	The Divisions of Child and Family Services, and Adult and Aging Services, receive referrals from professionals and the public when suspected incidents of inappropriate restraint or seclusion are identified.
<input type="checkbox"/>	The use of restraints or seclusion 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 or Seclusion. 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 or 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 restraints or seclusion and ensuring that State safeguards concerning their use are followed and how such oversight is conducted and its frequency:

b. Use of Restrictive Interventions

<input checked="" type="checkbox"/>	The State does not permit or prohibits the use of restrictive interventions. Specify the State agency (or agencies) responsible for detecting the unauthorized use of restrictive interventions and how this oversight is conducted and its frequency:
	The Divisions of Child and Family Services, and Adult and Aging Services, receive referrals from professionals and the public when suspected incidents of inappropriate restrictive interventions are identified.
<input type="checkbox"/>	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-a-ii:

State:	
Effective Date	

- 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:

--

State:	
Effective Date	

Appendix G-3: Medication Management and Administration

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:

<input type="radio"/>	Yes. This Appendix applies (<i>complete the remaining items</i>).
<input checked="" type="radio"/>	No. This Appendix is not applicable (<i>do not complete the remaining items</i>).

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.

c. Medication Administration by Waiver Providers

i. Provider Administration of Medications. *Select one:*

<input type="radio"/>	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. (<i>complete the remaining items</i>)
<input type="radio"/>	Not applicable (<i>do not complete the remaining items</i>)

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).

State:	
Effective Date	

iii. **Medication Error Reporting.** *Select one of the following:*

<input type="radio"/>	Providers that are responsible for medication administration are required to <i>both</i> record and report medication errors to a State agency (or agencies). <i>Complete the following three items:</i>
	(a) Specify State agency (or agencies) to which errors are reported: _____
	(b) Specify the types of medication errors that providers are required to <i>record</i> : _____
	(c) Specify the types of medication errors that providers must <i>report</i> to the State: _____
<input type="radio"/>	Providers responsible for medication administration are required to <i>record</i> 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.

--

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, on an ongoing basis, identifies, addresses and seeks to prevent the occurrence of abuse, neglect and exploitation.
- a.i *For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).*

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

Performance Measure:	<i>Suspected incidents of abuse, neglect and exploitation of waiver recipients identified by the MCH Title V RN waiver coordinator, BHFLCR contractors, waiver providers or the State Medicaid Agency will be</i>
-----------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

State:	
Effective Date	

	<i>reported to the Division of Child and Family Services or Adult Protective Services.</i>		
-Record review, on-site - Provider records and reports -Survey and Certification activity	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 checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	95%
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
		<i>Upon receipt of survey report</i>	<input checked="" type="checkbox"/> Other: Describe
			<i>see sampling methodology in a.ii. of this section</i>
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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

a.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.*

The Medicaid data warehouse is used to identify a representative random sample of waiver recipients on July 1 of each waiver year. Based on the approved 140 unduplicated recipients to be served each waiver year, a random sample of 103 recipients per waiver year is required to provide a confidence level of 95%. At the end of each quarter, the Medicaid program manager reviews approximately one fourth of the sampled recipients' case files. Additionally,

State:	
Effective Date	

the Medicaid program manager will review 100% of new waiver recipients' case files. The combined total of new and ongoing cases reviewed annually will be equal to or greater than the sample size required to generalize findings across the entire waiver population.

Conducting quarterly reviews allows for timely discovery and remediation when determined necessary.

Findings will be summarized and reviewed by the Medicaid agency on a quarterly basis prior to the Waiver Administration and Operations Team (WAOT) meetings. The Medicaid agency will review results of findings with the RN waiver coordinators during the quarterly WAOT meetings to expedite remediation when necessary.

The services and supports (waiver and non-waiver) received by the recipient and family are the foundation for protecting the health and welfare of the individuals served by this waiver. The waiver was founded on basic principles that assure the health and welfare of recipients.

Examples of these principles include:

- a) Not certifying LOC for individuals whose complex service needs cannot be assured even with waiver services.
- b) Assessing the ability and adequacy of primary caregivers and informal support systems to assure safety and avoid caregiver burnout.
- c) Assessing the severity of the recipient's medical condition and authorizing the appropriate level of provider (i.e.- RN, LPN or HHA).

Through a collaborative network, the state identifies and prevents instances of abuse, neglect, exploitation and other risks to the health and welfare of waiver recipients.

a) Experienced Waiver Coordinators. The two RN waiver coordinators are Bachelor prepared registered nurses who are both Certified Case Managers and have combined 30 plus years of experience assessing and arranging services to technology dependent individuals.

b) Licensed or certified providers. Providers for the waiver are licensed home health agencies who employ nursing professionals who are either licensed or certified. Enrolled home health agencies are required through state licensure to provide ongoing training and have a quality assurance plan which includes an incident management and resolution of complaint system. Additionally, health care professionals are required by law to report any suspected abuse, neglect and exploitation.

c) Training parents/primary caregivers. Formal training for primary caregivers is provided through Primary Children's Medical Center and/or South Davis Community Hospital and is required prior to sending the technology dependent child home to assure that the primary caregivers have been trained in all aspects of the child's care.

d) Supporting Families. Through Utah Family Voices, a family-to-family network has been established in Utah with recipients and families being served under the waiver actively involved. Utah Family Voices provides information, referrals and education statewide regarding health care services to those individuals caring for children with special health care

State:	
Effective Date	

needs. Additionally, Utah Family Voices connects parents and professionals with local training, information, services, and advocacy and collaborates with other agencies locally and nationally to promote the philosophy of individualized family-directed support and care.

e) Coordination of Service. Within the Medicaid organization, coordination is necessary among key bureaus and programs to assist the RN waiver coordinators in helping waiver recipients access needed services and supports which are necessary to maintain a technology dependent individual in the community.

f) Coordination among Sister Agencies. Coordination of services and supports extends outside the Medicaid program and the CSHCN agency. An interagency agreement is shared among the following state departments who all have agreed to work together in the best interests of the child and family. The departments participating in the agreement include: the Department of Health, Department of Human Services (Child Protection Agency), Department of Education, and Utah's Coordinating Council for Persons with Disabilities.

Utilized in conjunction with other formal and informal support systems, the Waiver program effectively contributes to the health, safety and welfare of the targeted population and is operated in accordance with established federal and state requirements for both HCBS Waivers and the overall Medicaid program.

b. Methods for Remediation/Fixing Individual Problems

b.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 Medicaid agency is responsible for addressing all problems as they are discovered. Methods include: a) direct contact for additional information if any, and b) informal discussion or formal (written) notice of adverse findings. The Medicaid agency will use discretion in determining formal vs. informal notice based on technical vs. substantive findings. Substantive findings would be defined as overpayments or violation of health and safety.

Findings from reviews are documented on the QA Review of Contracted Administrative Activities form. Preliminary findings are discussed with the RN waiver coordinators who are afforded the opportunity to explain, clarify and/or provide (additional) information/documentation before monitoring findings are aggregated and used for reporting purposes. If trends of inaccuracies continue, plans of correction will be required and will include specific timeframes and who is responsible. After the plan of correction is implemented, follow-up will be conducted by the Medicaid agency to assure the remediation plan was effective.

Technical findings will be discussed and resolved during quarterly Waiver Administrative and Operations Team meetings. For substantive findings, plans for remediation will be developed and include goals and timelines. Remediation strategies may include further training,

State:	
Effective Date	

improving documentation and forms and/or adding additional tracking methods to assure timelines.

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

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.

<input type="checkbox"/>	Yes (complete remainder of item)
<input checked="" type="checkbox"/>	No

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

State:	
Effective Date	

Appendix H: Quality Improvement Strategy

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.

State:	
Effective Date	

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 QMS 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 QMS* 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 QMS spans more than one waiver, the State must be able to stratify information that is related to each approved waiver program.

State:	
Effective Date	

Appendix H-1: Systems Improvement

- a.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.

Developing and implementing system improvements will begin with analysis of quarterly and annual reports as outlined in the discovery process. Systems improvement will be a continual, changing process with activities and priorities being identified and developed by the Waiver Administrative and Operations Team. The Medicaid agency will have overall responsibility for QIS including coordination of quality and system improvement activities with the MCH Title V Agency RN waiver coordinators assisting with data collection, analysis and report generation.

At this early stage of QIS design, the methods, tools and collaboration across other waiver programs has not been determined. The Waiver Administrative and Operations Team will initially serve as the forum from which to build the quality improvement system including the avenue to obtain recipient/family input into the quality improvement activities.

The Waiver Administrative and Operations Team will meet quarterly to review the results of performance indicators under each assurance section. The results will be a measure on how the program is working and which areas need improvement. During the second year of the renewal period, allowing data aggregation for trending purposes throughout year one, at least 3 priority areas for improvement will be identified. System improvement strategies for each priority area will be developed and implemented by the Waiver Administrative and Operations Team ~~with recipient/family input through the Utah Family Voices Director.~~

- a.ii.**

System Improvement Activities	Responsible Party (check each that applies)	Frequency of monitoring and analysis (check each that applies)
	<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
	<input type="checkbox"/> Operating Agency	<input checked="" type="checkbox"/> Monthly
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
	<input type="checkbox"/> Quality Improvement Committee	<input type="checkbox"/> Annually
	<input checked="" type="checkbox"/> Other: Specify: MCH Title V contractor	<input type="checkbox"/> Other: Specify:

- b.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, and how the results of the changes and the assessment are communicated (and with what frequency) to

State:	
Effective Date	

stakeholders, including participants, families, providers, agencies and other interested parties. If applicable, include the State’s targeted standards for systems improvement.

Monitoring and analyzing the results of activities implemented to address each of the 3 identified priority areas for improvement will be the responsibility of the Waiver Administration and Operations Team ~~with consultation from the Utah Family Voices Director~~.

Data will be collected according to the time frames specified under each assurance. Data aggregation related to the system improvement activities under each priority area will be collected and analyzed in year 3 of the renewal. A report detailing the 3 priority areas selected for improvement including pre-implementation data, the strategies developed and implemented under each area, and the post-implementation data will be developed and communicated to agencies, recipients and families, providers, the public and others interested.

During the time of data collection and aggregation, the Waiver Administrative and Operations Team will be identifying other areas needing improvement. The continuous quality improvement cycle will then begin on the next set of priority areas identified.

b.ii. Describe the process to periodically evaluate, as appropriate, the Quality Improvement Strategy.

The QIS will change and evolve as areas of improvement are identified and changes to the program are implemented. Because of these changes, the QIS will be periodically evaluated and updated to respond to the changes with different approaches and methods of data collection and analysis.

Trends in data aggregation results will trigger re-evaluations and system changes. The Waiver Administrative and Operations Team will be responsible to conduct ongoing evaluations and respond with new ideas and plans to continually improve the waiver system.

State:	
Effective Date	

Appendix I: Financial Accountability

APPENDIX 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).

The State Medicaid agency will assure financial accountability for funds expended for home and community-based services, and will maintain and make available financial records documenting the cost of services provided under the waiver. Independent audits of provider agencies are not required for this waiver. Financial oversight of the waiver program begins with system edits in the Medicaid Management Information System (MMIS) to prevent payment:

- 1) to non-waiver enrolled providers;
- 2) to non-waiver eligible recipients;
- 3) for services not prior authorized;
- 4) with inappropriate coding;
- 5) for claims billed in excess of maximum fee schedule rates; and
- 6) for overlapping/duplicative dates of service.

The State Medicaid agency conducts post-payment reviews and focused reviews of claims as part of its quarterly waiver compliance review to verify whether paid claims were:

- 1) rendered to a waiver participant;
- 2) included in the recipient's POC;
- 3) prior authorized by the waiver case manager;
- 4) properly billed by a qualified waiver provider; and
- 5) claimed in accordance with the POC and prior authorized limitations.

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**
State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.
- a.i *For each performance measure/indicator the State will use to assess compliance with the statutory assurance complete the following. Where possible, include*

State:	
Effective Date	

Appendix I: Financial Accountability
 HCBS Waiver Application Version 3.5

numerator/denominator. Each performance measure must be specific to this waiver (i.e., data presented must be waiver specific).

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

Performance Measure:	<i>Post-payment review of claims verifies that services were rendered to a waiver participant using approved waiver codes and rates.</i>		
-Financial records	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 type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	95%
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Other: Describe
			<i>see sampling methodology in a.ii. of this section</i>
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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

Performance	<i>Authorized units of service will be paid in accordance with plan of care</i>
--------------------	---------------------------------------------------------------------------------

State:	
Effective Date	

Appendix I: Financial Accountability
 HCBS Waiver Application Version 3.5

Measure:	<i>and prior authorizations. (Paid units were authorized, did not exceed authorized amounts and were deducted from the correct prior authorization.)</i>		
-Record reviews, on-site -Financial records (including expenditures)	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 type="checkbox"/> 100% Review
	<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
	<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample; Confidence Interval =
	<input type="checkbox"/> Other: Specify:	<input checked="" type="checkbox"/> Annually	95%
		<input type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Stratified: Describe Groups
		<input type="checkbox"/> Other: Specify:	
			<input checked="" type="checkbox"/> Other: Describe
			see sampling methodology in a.ii. of this section
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 checked="" type="checkbox"/> Annually	
		<input type="checkbox"/> Continuously and Ongoing	
		<input type="checkbox"/> Other: Specify:	

a.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.

The Medical Assistance Unit conducts retrospective reviews of all new waiver recipients' case files. Additionally, a random sample of continuing waiver recipients is drawn on day one of each waiver year. The Medicaid program manager reviews approximately one quarter of the continuing recipients' case files every three months. The combined total of new and

State:	
Effective Date	

continuing cases reviewed annually will be equal to or greater than the sample size required to generalize findings across the entire waiver population. This sample size will be sufficient to provide a confidence level equal to 95%.

Results of reviews will be summarized and reviewed by the Medicaid agency on a quarterly basis prior to the Waiver Administration and Operations Team (WAOT) meetings. The Medicaid agency will review results of findings with the RN waiver coordinators during the quarterly WAOT meetings to expedite remediation when necessary.

The State Medicaid agency will work to align auditing procedures with other Division programs, develop methods for consistent analysis and reporting, continually monitor and resolve overpayments and underpayments, and monitor MMIS payment edits to assure they are functioning as expected.

b. Methods for Remediation/Fixing Individual Problems

b.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 Medicaid agency is responsible for addressing all problems as they are discovered. Methods include: a) direct contact for additional information if any; b) informal discussions and/or training; c) formal (written) notice of adverse findings; and d) written plans for correction where appropriate. The Medicaid agency will use discretion in determining formal vs. informal notice based on technical vs. substantive findings. Substantive findings would be defined as violation of state licensure statutes, risks to participants’ health and safety or actions resulting in overpayments of FFP.

b.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 checked="" type="checkbox"/> Annually
		<input type="checkbox"/> Continuously and Ongoing

State:	
Effective Date	

Appendix I: Financial Accountability
 HCBS Waiver Application Version 3.5

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

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.

<input type="radio"/>	Yes <i>(complete remainder of item)</i>
<input checked="" type="radio"/>	No

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

State:	
Effective Date	

APPENDIX I-2: Rates, Billing and Claims

- 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 State Medicaid agency is responsible for rate determination. Rates for this waiver are based on Utah Medicaid's Fee schedule including rates used in existing Utah State 1915(c) waivers for equivalent services and providers.

Financial Management and Family Directed Support Services - Based on the current approved rate for Utah's 1915(c) New Choices Waiver.

Skilled Nursing Respite Care (Agency) - Based on State plan private duty nursing reimbursement rates for equivalent providers.

Skilled Nursing Respite Care (Individual) - Based on the methodology used for rates under Utah's 1915(c) New Choices Waiver. The methodology used to calculate the individual provider rate deducts 20% from the agency provider rate which included administrative costs.

Family Support Services - Based on our current approved waiver rate.

In-Home Feeding Therapy - based on current approved waiver rate for Nutritional Evaluation and In-home Based Treatment.

Home Health Certified Nursing Assistant - based on current Medicaid fee schedule rates for equivalent services and providers.

Extended Private Duty Nursing - based on current Medicaid fee schedule rates for State Plan Private Duty Nursing.

The state has not solicited public comment on waiver rate determination. However, providers and consumers are invited to Medicaid public hearings to offer comments and recommendations regarding the Medicaid program. Rates are made available to participants and other interested parties upon request or through the Medicaid agency website.

- 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:

Waiver service providers submit claims directly to the State Medicaid agency. The State

State:	
Effective Date	

Medicaid agency then pays the service provider directly.

For individuals participating in the Family Directed Services model, the recipient/legal representative submits their staff time sheets to the Financial Management Service agency. The Financial Management Agency then pays the claim and submits a bill to the State Medicaid agency. The State Medicaid agency then reimburses the Financial Management agency.

c. Certifying Public Expenditures (select one):

<input type="radio"/>	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 (<i>check each that applies</i>):
<input type="checkbox"/>	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). (<i>Indicate source of revenue for CPEs in Item I-4-a.</i>)
<input type="checkbox"/>	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). (<i>Indicate source of revenue for CPEs in Item I-4-b.</i>)
<input checked="" type="checkbox"/>	No. State or local government agencies do not certify expenditures for waiver services.

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:

A designated individual within Utah’s Department of Workforce Services* determines recipient Medicaid eligibility. The information is entered into the eligibility system~~Public Assistance Case Management Information System (PACMIS)~~. ~~PACMIS is an on-line, menu-driven system~~ which automates Medicaid eligibility decisions, benefits amounts, participants’ notices and administrative reports. ~~PACMIS~~The eligibility system also interfaces with other governmental agencies such as, Social Security, Employment Security, and the Internal Revenue Service. The system is a Federally-Approved Management Information System (FAMIS). In Utah, the following programs are accessed through PACMIS~~the eligibility system~~: Aid to Families with Dependent Children (AFDC), Medicaid, Food Stamps, and two state-administered programs - General Assistance and the Primary Care Network (PCN). The Medicaid Management Information System (MMIS) accesses PACMIS~~the eligibility system~~ to ensure the participant is Medicaid eligible before payment of claims is made.

State:	
Effective Date	

Post-payment reviews are conducted by the State Medicaid agency as described under each assurance to ensure: (1) all of the services required by the individual are identified in the plan of care, (2) that the individual is receiving the services identified in the plan of care, and (3) that Medicaid reimbursement is not claimed for waiver services which were not included in the plan of care.

All services under this waiver program require a prior authorization from the RN waiver coordinators.

~~* The Utah Department of Workforce Services (DWS) determines eligibility for a range of public assistance programs including Medicaid, TANF, Food Stamps, Childcare and General Assistance. Prior to July 1, 2007, Medicaid eligibility workers were located in both DWS and the Utah Department of Health (DOH). Effective July 1, 2007 DOH eligibility workers were merged into DWS in order to improve customer service, access and operational efficiencies by allowing those in need of the programs mentioned above to interact with only one Medicaid eligibility system.~~

- 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.

State:	
Effective Date	

APPENDIX I-3: Payment

a. Method of payments — MMIS (select one):

<input checked="" type="radio"/>	Payments for all waiver services are made through an approved Medicaid Management Information System (MMIS).
<input type="radio"/>	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) 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.
<input type="radio"/>	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:
<input type="radio"/>	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:

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):

<input checked="" type="checkbox"/>	The Medicaid agency makes payments directly and does not use a fiscal agent (comprehensive or limited) or a managed care entity or entities.
<input type="checkbox"/>	The Medicaid agency pays providers through the same fiscal agent used for the rest of the Medicaid program.
<input type="checkbox"/>	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:
<input type="checkbox"/>	DSPD also informs providers of the process for billing the Medicaid Agency directly by sending out a letter to notify providers of this option.
<input type="checkbox"/>	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.

State:	
Effective Date	

--	--

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:*

<input checked="" type="radio"/>	No. The State does not make supplemental or enhanced payments for waiver services.
<input type="radio"/>	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.

d. **Payments to State or Local Government Providers.** *Specify whether State or local government providers receive payment for the provision of waiver services.*

<input checked="" type="radio"/>	Yes. State or local government providers receive payment for waiver services. 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. <i>Complete item I-3-e.</i>
	MCH Title V Agency-In-Home Feeding Therapy
<input type="radio"/>	No. State or local government providers do not receive payment for waiver services. <i>Do not complete Item I-3-e.</i>

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:*

<input checked="" type="radio"/>	The amount paid to State or local government providers is the same as the amount paid to private providers of the same service.
<input type="radio"/>	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.
<input type="radio"/>	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:

State:	
Effective Date	

--	--

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:*

<input checked="" type="radio"/>	Providers receive and retain 100 percent of the amount claimed to CMS for waiver services.
<input type="radio"/>	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.

g. **Additional Payment Arrangements**

i. **Voluntary Reassignment of Payments to a Governmental Agency.** *Select one:*

<input checked="" type="radio"/>	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.
<input type="radio"/>	No. The State does not provide that providers may voluntarily reassign their right to direct payments to a governmental agency.

ii. **Organized Health Care Delivery System.** *Select one:*

<input type="radio"/>	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:
<input checked="" type="radio"/>	No. The State does not employ Organized Health Care Delivery System (OHCDs) arrangements under the provisions of 42 CFR §447.10.

State:	
Effective Date	

iii. **Contracts with MCOs, PIHPs or PAHPs.** *Select one:*

<input type="radio"/>	The State contracts with a Managed Care Organization(s) (MCOs) 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 <i>voluntarily</i> elect to receive <i>waiver</i> 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.
<input type="radio"/>	This waiver is a part of a concurrent §1915(b)/§1915(c) waiver. Participants are required to obtain <i>waiver</i> 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.
<input checked="" type="radio"/>	The State does not contract with MCOs, PIHPs or PAHPs for the provision of waiver services.

State:	
Effective Date	

APPENDIX I-4: Non-Federal Matching Funds

- 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. *Check each that applies:*

<input checked="" type="checkbox"/>	Appropriation of State Tax Revenues to the State Medicaid agency
<input type="checkbox"/>	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:
<input type="checkbox"/>	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:

- 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. *Check each that applies:*

<input type="checkbox"/>	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:
<input type="checkbox"/>	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:
<input checked="" type="checkbox"/>	Not Applicable. There are no local government level sources of funds utilized as the non-federal share.

State:	
Effective Date	

- 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:

X	None of the specified sources of funds contribute to the non-federal share of computable waiver costs.
○	The following source (s) are used. <i>Check each that applies.</i>
<input type="checkbox"/>	Health care-related taxes or fees
<input type="checkbox"/>	Provider-related donations
<input type="checkbox"/>	Federal funds
	For each source of funds indicated above, describe the source of the funds in detail:

State:	
Effective Date	

APPENDIX I-5: Exclusion of Medicaid Payment for Room and Board

a. Services Furnished in Residential Settings. *Select one:*

<input checked="" type="checkbox"/>	No services under this waiver are furnished in residential settings other than the private residence of the individual. <i>(Do not complete Item I-5-b).</i>
<input type="checkbox"/>	As specified in Appendix C, the State furnishes waiver services in residential settings other than the personal home of the individual. <i>(Complete Item I-5-b)</i>

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:

State:	
Effective Date	

APPENDIX 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:

<input type="radio"/>	<p>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. <i>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:</i></p> <div style="background-color: #cccccc; height: 40px; width: 100%; margin-top: 5px;"></div>
<input checked="" type="radio"/>	<p>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.</p>

State:	
Effective Date	

APPENDIX I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing

- 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:*

<input checked="" type="checkbox"/>	No. The State does not impose a co-payment or similar charge upon participants for waiver services. <i>(Do not complete the remaining items; proceed to Item I-7-b).</i>
<input type="checkbox"/>	Yes. The State imposes a co-payment or similar charge upon participants for one or more waiver services. <i>(Complete the remaining items)</i>

- i. **Co-Pay Arrangement** Specify the types of co-pay arrangements that are imposed on waiver participants *(check each that applies):*

<i>Charges Associated with the Provision of Waiver Services (if any are checked, complete Items I-7-a-ii through I-7-a-iv):</i>	
<input type="checkbox"/>	Nominal deductible
<input type="checkbox"/>	Coinsurance
<input type="checkbox"/>	Co-Payment
<input type="checkbox"/>	Other charge <i>(specify):</i>

- 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

- iii. **Amount of Co-Pay Charges for Waiver Services.** In the following table, list the waiver services for which a charge is made, the amount of the charge, and the basis for determining the charge.

Waiver Service	Amount of Charge	Basis of the Charge

State:	
Effective Date	

iv. **Cumulative Maximum Charges.** Indicate whether there is a cumulative maximum amount for all co-payment charges to a waiver participant (*select one*):

<input type="radio"/>	There is no cumulative maximum for all deductible, coinsurance or co-payment charges to a waiver participant.
<input type="radio"/>	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:

v. **Assurance.** The State assures that no provider may deny waiver services to an individual who is eligible for the services on account of the individual's inability to pay a cost-sharing charge for a waiver service.

b. **Other State Requirement for Cost Sharing.** Specify whether the State imposes a premium, enrollment fee or similar cost sharing on waiver participants as provided in 42 CFR §447.50. *Select one:*

<input checked="" type="checkbox"/>	No. The State does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.
<input type="checkbox"/>	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:

State:	
Effective Date	

Appendix J: Cost Neutrality Demonstration

Appendix J-1: Composite Overview and Demonstration of Cost-Neutrality Formula

Composite Overview. Complete the following table for each year of the waiver.

Level(s) of Care (<i>specify</i>):		Nursing Home					
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 (Column 7 less Column 4)
1	14718.5	55206.75	69925.25	125492.94	43308.76	168801.70	98876.45
2	15165.46	56310.89	71476.35	128002.80	44174.94	172177.74	100701.39
3	15542.69	57437.11	72979.80	130562.86	45058.44	175621.30	102641.50
4	15933.79 \$17,768	58585.85 \$84,800	74519.64 \$102,568	133174.12 \$141,325	45959.61 \$48,773	179133.73 \$190,098	104614.09 \$87,530
5	16255.74 \$18,121	59757.57 \$86,496	76013.31 \$104,617	135837.60 \$144,152	46878.80 \$49,748	182716.40 \$193,900	106703.09 \$89,283

State:	
Effective Date	

Appendix J-2 - Derivation of Estimates

- 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:
		Nursing Facility	
Year 1	140	140	
Year 2	140	140	
Year 3	140	140	
Year 4 (renewal only)	140	140	
Year 5 (renewal only)	140	140	

- 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-d.

The estimated average length of stay (312 days) for this waiver is based on actual prior year 372(S) data reported for renewal year 4 of the current waiver.

- 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:

Home Health Certified Nursing Assistant - The State's estimate of the number of users and the number of units per user is based on current SFY 08 recipients'/families' assessed needs and specific requests for this service which is not covered as a State plan benefit when provided on the same day as a home health nursing service.

Skilled Nursing Respite Care - The State's estimate of the number of users and the number of units per user of agency provided Skilled Nursing Respite Care is based on prior year claims data as reported on the State's initial 372(S) for waiver renewal year 4 (SFY 07). The estimated number of users and units for Family Directed Skilled Nursing Respite Care is based on the average per capita number of units documented on the plan of care and prior authorized by RN waiver coordinators for this service. The difference between the actual SFY 07 per capita utilization of agency Skilled Nursing Respite and the estimated number of per capita units of Family Directed Respite that will be used (when the service becomes available) is based on the State's assumption that the units of family directed services actually received will be equal to the number of units prior

State:	
Effective Date	

authorized.

Extended Private Duty Nursing - The State's estimate of the number of users and number of units per user is based on the actual number of waiver recipients who have lost State plan PDN benefits upon reaching the age of 21 and no longer being EPSDT eligible. The estimated units of service are based on the assumption that each recipient will receive 8 hours (32 units) of service per day.

Family Directed Support - The State's estimate of the number of users assumes that 50% of recipients/families who will elect to receive Skilled Nursing Respite Care through the Family Directed Services model will also request and receive approximately 4 hours per year of assistance and information available through Family Directed Support providers.

Financial Management Services (FMS)- The State's estimate of the number of users of FMS is based on the number of recipients/families who will elect to receive respite through the Family Directed Services model. All recipients/families who choose to self-direct their Skilled Nursing Respite Care services must enroll with a FMS provider.

Family Support Services - The State's estimate of the number of users and the number of units used per user is based on prior year utilization and claims data reported on the State's initial 372(S) for waiver renewal year 4 (SFY 07) and more current SFY 08 utilization.

In-Home Feeding Therapy - The State's estimate of the number of users and the number of units used per user is based on prior years utilization and claims data for our current Nutritional Evaluation and In-Home Treatment service, and further assumes an estimated increase in users and units resulting from the addition of individual (non-agency) providers.

- 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:

DERIVATION OF FACTOR D' is based on actual per capita Medicaid D' expenditures reported on the State's 372(S) report for Waiver Renewal Year 4 (SFY 07) with an inflation adjustment of 2% for SFY 08 to arrive at the year one D' estimate. An estimate of 2% per year inflation was calculated for Waiver Renewal Years 2, 3, 4, and 5.

There are no Medicare/Medicaid dual eligible recipients in the State's calculation of D' and therefore no costs for prescribed drugs through Medicare Part D.

- 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 for this waiver is based on actual State FY 07 (Waiver year 4) Nursing Facility (NF) expenditures for ONLY recipients whose medical conditions/technology-based service and support needs were comparable to those of the waiver "target group" described in Appendix B-1:b of this implementation plan. The State used a multi-step

State:	
Effective Date	

process to identify and isolate the costs of "waiver comparable NF recipients" from all other NF recipients' costs.

Specifically, this process required each recipient to be less than 26 years of age (representative of the age range of waiver recipients during the same time period), to have received one or months of Medicaid reimbursed NF services during State Fiscal Year 2007 (waiver renewal year 4) AND to require waiver comparable services and supports due to their medical condition and technology dependence. An inflation adjustment of 2% for SFY 08 was used to arrive at the year one G estimate. An estimate of 2% per year inflation was calculated for Waiver Renewal Years 2, 3, 4, and 5.

- 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:

DERIVATION OF FACTOR G' is based on actual per capita Medicaid G' expenditures calculated for the same individuals identified in the Derivation of G. An inflation adjustment of 2% for SFY 08 was used to arrive at the year one G' estimate. An estimate of 2% per year inflation was calculated for Waiver Renewal Years 2, 3, 4, and 5.

State:	
Effective Date	

d. **Estimate of Factor D.** *Select one:* Note: Selection below is new.

<input checked="" type="checkbox"/>	The waiver does not operate concurrently with a §1915(b) waiver. Complete Item J-2-d-i
<input type="checkbox"/>	The waiver operates concurrently with a §1915(b) waiver. Complete Item J-2-d-ii

i. **Estimate of Factor D – Non-Concurrent Waiver.** Complete the following table for each waiver year

Waiver Year: Year 1					
Waiver Service	Col. 1	Col. 2	Col. 3	Col. 4	Col. 5
	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Total Cost
Home Health Aide:	15 minute	10	530	\$4.82	\$25,546
Skilled Nursing Respite Care:					\$1,642,365
Agency	15 minute	109	1500	\$7.99	\$1,306,365
Individual	15 minute	25	2100	\$6.40	\$336,000
Extended Private Duty Nursing	15 minute	3	10080	\$7.99	\$241,618
Family Directed Support	15 minute	12	16	\$14.15	\$2,717
Financial Management Services	Monthly	25	10.5	\$48.00	\$12,600
Family Support Services	15 minute	35	168	\$17.80	\$104,664
In-Home Feeding Therapy	15 minute	5	336	\$18.50	\$31,080
GRAND TOTAL:					\$2,060,589
TOTAL ESTIMATED UNDUPLICATED PARTICIPANTS (from Table J-2-a)					140
FACTOR D (Divide grand total by number of participants)					14,718.50
AVERAGE LENGTH OF STAY ON THE WAIVER					312

Waiver Year: Year 2					
Waiver Service	Col. 1	Col. 2	Col. 3	Col. 4	Col. 5
	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Total Cost
Home Health Aide:	15 minute	10	530	\$4.92	\$26,076
Skilled Nursing Respite Care:					\$1,690,230
Agency	15 minute	99	1500	\$8.15	\$1,210,275
Individual	15 minute	35	2100	\$6.53	\$479,955
Extended Private Duty Nursing	15 minute	3	10080	\$8.15	\$246,456
Family Directed Support	15 minute	17	16	\$14.44	\$3,928
Financial Management Services	Monthly	35	10.5	\$48.96	\$17,993
Family Support Services	15 minute	35	168	\$18.16	\$106,781

State:	
Effective Date	

Waiver Year: Year 2					
Waiver Service	Col. 1	Col. 2	Col. 3	Col. 4	Col. 5
	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Total Cost
In-Home Feeding Therapy	15 minute	5	336	\$18.87	\$31,702
GRAND TOTAL:					\$2,123,165
TOTAL ESTIMATED UNDUPLICATED PARTICIPANTS (from Table J-2-a)					140
FACTOR D (Divide grand total by number of participants)					15,165.46
AVERAGE LENGTH OF STAY ON THE WAIVER					312

Waiver Year: Year 3					
Waiver Service	Col. 1	Col. 2	Col. 3	Col. 4	Col. 5
	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Total Cost
Home Health Aide:	15 minute	10	530	\$5.02	\$26,606
Skilled Nursing Respite Care:					\$1,731,150
Agency	15 minute	94	1500	\$8.31	\$1,171,710
Individual	15 minute	40	2100	\$6.66	\$559,440
Extended Private Duty Nursing	15 minute	3	10080	\$8.31	\$251,294
Family Directed Support	15 minute	20	16	\$14.73	\$4,714
Financial Management Services	Monthly	40	10.5	\$49.94	\$20,975
Family Support Services	15 minute	35	168	\$18.52	\$108,898
In-Home Feeding Therapy	15 minute	5	336	\$19.25	\$32,340
GRAND TOTAL:					\$2,175,976
TOTAL ESTIMATED UNDUPLICATED PARTICIPANTS (from Table J-2-a)					140
FACTOR D (Divide grand total by number of participants)					15,543
AVERAGE LENGTH OF STAY ON THE WAIVER					312

Waiver Year: Year 4					
Waiver Service	Col. 1	Col. 2	Col. 3	Col. 4	Col. 5
	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Total Cost
Home Health Aide: Home Health Aide:	15 minute	1040	530	\$5.12	\$27,136
	15 minute	1040	530	\$5.12	\$27,136
Skilled Nursing Respite Care	15 minute	100	1500	\$8.48	\$1,272,000

State:	
Effective Date	

Waiver Year: Year 4					
Waiver Service	Col. 1	Col. 2	Col. 3	Col. 4	Col. 5
	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Total Cost
Agency Skilled Nursing Respite Care:					\$1,773,735
Skilled Nursing Respite Care Individual Agency	15 minute+5 minute	4589	2100+500	\$6.79 \$8.48	\$641,655 \$1,132,080
Extended Private Duty Nursing Individual	15 minute+5 minute	345	10080+100	\$8.48 \$6.79	\$256,435 \$641,655
Family Directed Support Private Duty Nursing	15 minute+5 minute	223	16+0080	\$15.02 \$8.48	\$5,287 \$256,435
Financial Management Services Family Directed Support	Monthly+ 5-minute	4522	10.5+6	\$50.94 \$15.02	\$24,069 \$5,287
Family Support Services Financial Management Services	15 minute Mo nthly	3545	168+0.5	\$18.89 \$50.94	\$111,073 \$24,069
In-Home Feeding Therapy Support Services	15 minute+5 minute	335	100+68	\$19.64 \$18.89	\$5,892 \$111,073
In-Home Feeding Therapy	15-minute	5	336	\$19.64	\$32,995
GRAND TOTAL:					\$2,343,547 \$2,230,731
TOTAL ESTIMATED UNDUPLICATED PARTICIPANTS (from Table J-2-a)					140+40
FACTOR D (Divide grand total by number of participants)					\$16,740 15,933
AVERAGE LENGTH OF STAY ON THE WAIVER					312+12

Waiver Year: Year 5					
Waiver Service	Col. 1	Col. 2	Col. 3	Col. 4	Col. 5
	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Total Cost
Home Health Aide: Home Health Aide:	15 minute+5 minute	10+0	530+530	\$5.22 \$5.22	\$27,666 \$27,666
Skilled Nursing Respite Care Agency Skilled Nursing Respite Care:	15 minute	100	1500	\$8.65	\$1,297,500 \$1,809,660
Skilled Nursing Respite Care Individual Agency	15 minute+5 minute	4589	2100+500	\$6.93 \$8.65	\$654,885 \$1,154,775
Extended Private Duty Nursing Individual	15 minute+5	345	10080+100	\$8.65 \$6.93	\$261,576 \$654,885

State:	
Effective Date	

Waiver Year: Year 5					
Waiver Service	Col. 1	Col. 2	Col. 3	Col. 4	Col. 5
	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Total Cost
	minute				
Family Directed Support Private Duty Nursing	15 minute+5 minute	223	16+0080	\$15.32 \$8.65	\$5,393 \$261,576
Financial Management Services	Monthly+ 5-minute	4522	10.5+6	\$51.96 \$15.32	\$24,551 \$5,393
Family Support Services Management Services	15 minuteMo nthly	3545	168+0.5	\$19.27 \$51.96	\$113,308 \$24,551
In-Home Feeding Therapy Support Services	15 minute+5 minute	335	100+68	\$20.03 \$19.27	\$6,009 \$113,308
In-Home Feeding Therapy	15-minute	5	336	\$20.03	\$33,650
GRAND TOTAL:					\$2,390,888 \$2,275,804
TOTAL ESTIMATED UNDUPLICATED PARTICIPANTS (from Table J-2-a)					140,140
FACTOR D (Divide grand total by number of participants)					\$17,078 16,256
AVERAGE LENGTH OF STAY ON THE WAIVER					312,312

State:	
Effective Date	