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

PURPOSE OF THE HCBS WAIVER PROGRAM

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

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

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

1. Request Information

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

B. Program Title:
Family and Individual Support Waiver

C. Waiver Number:VA.0358
Original Base Waiver Number: VA.0358.

D. Amendment Number:VA.0358.R04.02

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

01/01/19

Approved Effective Date: 01/01/19
Approved Effective Date of Waiver being Amended: 07/01/18

2. Purpose(s) of Amendment

Purpose(s) of the Amendment. Describe the purpose(s) of the amendment:
This amendment is for the purpose of incorporating new eligibility rules for the Medicaid expansion population. Changes will be made to appendix B, Participant Access and Eligibility.

3. Nature of the Amendment

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

Component of the Approved Waiver	Subsection(s)
☐ Waiver Application	
☐ Appendix A Waiver Administration and Operation	
☑ Appendix B Participant Access and Eligibility	B4
☐ Appendix C Participant Services	
☐ Appendix D Participant Centered Service Planning and Delivery	
☐ Appendix E Participant Direction of Services	
☐ Appendix F Participant Rights	
☐ Appendix G Participant Safeguards	
☐ Appendix H	
☐ Appendix I Financial Accountability	
☐ Appendix J Cost-Neutrality Demonstration	

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

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

Specify:

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

1. Request Information (1 of 3)

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

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

C. Type of Request: amendment

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

○ **3 years** ◉ **5 years**

Original Base Waiver Number: VA.0358
Waiver Number:VA.0358.R04.02
Draft ID: VA.006.04.02

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

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

1. Request Information (2 of 3)

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

- [ ] **Hospital**

  Select applicable level of care

  ○ **Hospital as defined in 42 CFR §440.10**
  If applicable, specify whether the State additionally limits the waiver to subcategories of the hospital level of care:

  ○ **Inpatient psychiatric facility for individuals age 21 and under as provided in42 CFR §440.160**

- [ ] **Nursing Facility**

  Select applicable level of care

  ○ **Nursing Facility as defined in 42 CFR ►►440.40 and 42 CFR ►►440.155**
  If applicable, specify whether the State additionally limits the waiver to subcategories of the nursing facility level of care:

  ○ **Institution for Mental Disease for persons with mental illnesses aged 65 and older as provided in 42 CFR §440.140**

- [x] **Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IID) (as defined in 42 CFR §440.150)**

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

1. Request Information (3 of 3)

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

Select one:

- (●) **Not applicable**
- ( ) **Applicable**

Check the applicable authority or authorities:

- [ ] **Services furnished under the provisions of §1915(a)(1)(a) of the Act and described in Appendix I**
- [ ] **Waiver(s) authorized under §1915(b) of the Act.**

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

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

  - [ ] **§1915(b)(1) (mandated enrollment to managed care)**
  - [ ] **§1915(b)(2) (central broker)**
  - [ ] **§1915(b)(3) (employ cost savings to furnish additional services)**
  - [ ] **§1915(b)(4) (selective contracting/limit number of providers)**
- [ ] **A program operated under §1932(a) of the Act.**

  Specify the nature of the State Plan benefit and indicate whether the State Plan Amendment has been submitted or previously approved:
- [ ] **A program authorized under §1915(i) of the Act.**
- [ ] **A program authorized under §1915(j) of the Act.**
- [ ] **A program authorized under §1115 of the Act.**

  Specify the program:

H. Dual Eligiblity for Medicaid and Medicare.

Check if applicable:

- [x] **This waiver provides services for individuals who are eligible for both Medicare and Medicaid.**

2. Brief Waiver Description

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

The Family and Individual Supports waiver, is a Home and Community-Based 1915(c) waiver designed to provide support in the community for individuals with intellectual and developmental disabilities in lieu of an Intermediate Care Facility for Individuals with Intellectual Disabilities.

The goal of the Family and Individual Supports Waiver is to enable those community residents in need of supports, particularly those living with family members, to retain their community resident status through receiving those supports.

The objectives of the Family and Individual Supports Waiver are to:
1) Promote independence for individuals through high quality services and the assurance of health, safety, and welfare through a comprehensive quality management strategy; 2) Offer an alternative to institutionalization and costly comprehensive services through an array of community supports that promotes inclusion and independence by enhancing, rather than replacing, existing natural supports;
3) Support individuals and their families in sharing responsibility for their supports and services.

The daily operation of the Waiver is carried out by the Department of Behavioral Health and Developmental Services (DBHDS), the operating agency, under the supervision and authority of the Department of Medical Assistance Services (DMAS), the Medicaid agency. DMAS exercises administrative discretion in the administration and supervision of the waiver; issues policies, rules and regulations related to the waiver; and makes payment for waiver services provided through the Virginia Medicaid Management Information System (VAMMIS). An interagency agreement, on file at both agencies, ensures accountability and effective management for all waiver requirements and assurances. It is reviewed annually and updated when needed.

Individuals access services at the local level via the Community Services Board (CSB) system, as the single point of entry. There are forty CSBs throughout Virginia, with each city or county belonging to the catchment area of one CSB.

The Family and Individual Support waiver offers qualifying individuals the opportunity to obtain either agency-directed services or consumer-directed services, or both. Individuals may be supported by a CSB-employed or private support coordinator (case manager) under contract with a CSB.

3. Components of the Waiver Request

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

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

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

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

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

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

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

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

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

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

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

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

4. Waiver(s) Requested

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

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

- ( ) **Not Applicable**
- (●) **No**
- ( ) **Yes**

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

- (●) **No**
- ( ) **Yes**

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

- [ ] **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.
  Specify the areas to which this waiver applies and, as applicable, the phase-in schedule of the waiver by geographic area:
- [ ] **Limited Implementation of Participant-Direction.** A waiver of statewideness is requested in order to make *participant-direction of services* as specified in **Appendix E** available only to individuals who reside in the following geographic areas or political subdivisions of the State. Participants who reside in these areas may elect to direct their services as provided by the State or receive comparable services through the service delivery methods that are in effect elsewhere in the State.

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

5. Assurances

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

A. Health & Welfare: The State assures that necessary safeguards have been taken to protect the health and welfare of persons receiving services under this waiver. These safeguards include:

1. As specified in **Appendix C**, adequate standards for all types of providers that provide services under this waiver;
2. Assurance that the standards of any State licensure or certification requirements specified in **Appendix C** are met for services or for individuals furnishing services that are provided under the waiver. The State assures that these requirements are met on the date that the services are furnished; and,
3. Assurance that all facilities subject to §1616(e) of the Act where home and community-based waiver services are provided comply with the applicable State standards for board and care facilities as specified in **Appendix C**.

B. Financial Accountability. The State assures financial accountability for funds expended for home and community-based services and maintains and makes available to the Department of Health and Human Services (including the Office of the Inspector General), the Comptroller General, or other designees, appropriate financial records documenting the cost of services provided under the waiver. Methods of financial accountability are specified in **Appendix I**.

C. Evaluation of Need: The State assures that it provides for an initial evaluation (and periodic reevaluations, at least annually) of the need for a level of care specified for this waiver, when there is a reasonable indication that an individual might need such services in the near future (one month or less) but for the receipt of home and community-based services under this waiver. The procedures for evaluation and reevaluation of level of care are specified in **Appendix B**.

D. Choice of Alternatives: The State assures that when an individual is determined to be likely to require the level of care specified for this waiver and is in a target group specified in **Appendix B**, the individual (or, legal representative, if applicable) is:

1. Informed of any feasible alternatives under the waiver; and,
2. Given the choice of either institutional or home and community-based waiver services. **Appendix B** specifies the procedures that the State employs to ensure that individuals are informed of feasible alternatives under the waiver and given the choice of institutional or home and community-based waiver services.

E. Average Per Capita Expenditures: The State assures that, for any year that the waiver is in effect, the average per capita expenditures under the waiver will not exceed 100 percent of the average per capita expenditures that would have been made under the Medicaid State plan for the level(s) of care specified for this waiver had the waiver not been granted. Cost-neutrality is demonstrated in **Appendix J**.

F. Actual Total Expenditures: The State assures that the actual total expenditures for home and community-based waiver and other Medicaid services and its claim for FFP in expenditures for the services provided to individuals under the waiver will not, in any year of the waiver period, exceed 100 percent of the amount that would be incurred in the absence of the waiver by the State's Medicaid program for these individuals in the institutional setting(s) specified for this waiver.

G. Institutionalization Absent Waiver: The State assures that, absent the waiver, individuals served in the waiver would receive the appropriate type of Medicaid-funded institutional care for the level of care specified for this waiver.

H. Reporting: The State assures that annually it will provide CMS with information concerning the impact of the waiver on the type, amount and cost of services provided under the Medicaid State plan and on the health and welfare of waiver participants. This information will be consistent with a data collection plan designed by CMS.

I. Habilitation Services. The State assures that prevocational, educational, or supported employment services, or a combination of these services, if provided as habilitation services under the waiver are: (1) not otherwise available to the individual through a local educational agency under the Individuals with Disabilities Education Act (IDEA) or the Rehabilitation Act of 1973; and, (2) furnished as part of expanded habilitation services.

J. Services for Individuals with Chronic Mental Illness. The State assures that federal financial participation (FFP) will not be claimed in expenditures for waiver services including, but not limited to, day treatment or partial hospitalization, psychosocial rehabilitation services, and clinic services provided as home and community-based services to individuals with chronic mental illnesses if these individuals, in the absence of a waiver, would be placed in an IMD and are: (1) age 22 to 64; (2) age 65 and older and the State has not included the optional Medicaid benefit cited in 42 CFR §440.140; or (3) age 21 and under and the State has not included the optional Medicaid benefit cited in 42 CFR § 440.160.

6. Additional Requirements

Note: Item 6-I must be completed.

A. Service Plan. In accordance with 42 CFR §441.301(b)(1)(i), a participant-centered service plan (of care) is developed for each participant employing the procedures specified in **Appendix D**. All waiver services are furnished pursuant to the service plan. The service plan describes: (a) the waiver services that are furnished to the participant, their projected frequency and the type of provider that furnishes each service and (b) the other services (regardless of funding source, including State plan services) and informal supports that complement waiver services in meeting the needs of the participant. The service plan is subject to the approval of the Medicaid agency. Federal financial participation (FFP) is not claimed for waiver services furnished prior to the development of the service plan or for services that are not included in the service plan.

B. Inpatients. In accordance with 42 CFR §441.301(b)(1)(ii), waiver services are not furnished to individuals who are in-patients of a hospital, nursing facility or ICF/IID.

C. Room and Board. In accordance with 42 CFR §441.310(a)(2), FFP is not claimed for the cost of room and board except when: (a) provided as part of respite services in a facility approved by the State that is not a private residence or (b) claimed as a portion of the rent and food that may be reasonably attributed to an unrelated caregiver who resides in the same household as the participant, as provided in **Appendix I**.

D. Access to Services. The State does not limit or restrict participant access to waiver services except as provided in **Appendix C**.

E. Free Choice of Provider. In accordance with 42 CFR §431.151, a participant may select any willing and qualified provider to furnish waiver services included in the service plan unless the State has received approval to limit the number of providers under the provisions of §1915(b) or another provision of the Act.

F. FFP Limitation. In accordance with 42 CFR §433 Subpart D, FFP is not claimed for services when another third-party (e.g., another third party health insurer or other federal or state program) is legally liable and responsible for the provision and payment of the service. FFP also may not be claimed for services that are available without charge, or as free care to the community. Services will not be considered to be without charge, or free care, when (1) the provider establishes a fee schedule for each service available and (2) collects insurance information from all those served (Medicaid, and non-Medicaid), and bills other legally liable third party insurers. Alternatively, if a provider certifies that a particular legally liable third party insurer does not pay for the service(s), the provider may not generate further bills for that insurer for that annual period.

G. Fair Hearing: The State provides the opportunity to request a Fair Hearing under 42 CFR §431 Subpart E, to individuals: (a) who are not given the choice of home and community-based waiver services as an alternative to institutional level of care specified for this waiver; (b) who are denied the service(s) of their choice or the provider(s) of their choice; or (c) whose services are denied, suspended, reduced or terminated. **Appendix F** specifies the State's procedures to provide individuals the opportunity to request a Fair Hearing, including providing notice of action as required in 42 CFR §431.210.

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

I. Public Input. Describe how the State secures public input into the development of the waiver:
The formal waiver renewal application public comment period was initiated on February 16, 2018 and closed on March 19, 2018 at 5:00pm EST. The entire waiver application was open for public comment for 30 days, 2/16/18-3/19/18. Notification for the waiver renewal public comment period was sent by email to a wide array of stakeholders, advocacy organizations and other agencies on 2/16/18. Email recipients were asked to share the notification providing additional dissemination. A website notice and the full amendments were posted on the Virginia Department of Medical Assistance Services (DMAS) website on 2/16/18. On 2/25/18, a printed legal notice was placed in the Richmond-Times Dispatch, a newspaper with statewide distribution and carried at libraries throughout Virginia.

The public notice provided the following:
•Name, email, fax number, and address for submission of written and electronic comments
•A deadline for submission of comments
•The location to obtain paper and electronic versions of the waiver application.

The following recognized tribe during the time of public notification was notified via letter dated January 17, 2018 of the renewal applications public comment period: Pamunkey tribal Chief Gray. The tribes had no comments and no changes were made to the renewal application as a result.

The Commonwealth received comments from the following entities:
•Virginia Network of Private Providers, Inc.

•Virginia Board for People with Disabilities
•ServiceSource
•vaACCSES

Comments were sorted into common broad categories or similar themes with a focus on those issues that would be incorporated into the waiver. The resulting comments were summarized and organized into topical areas.

Comments directly related to specific services, service limitations, allowable activities, service definitions, and the proposed new service of benefits planning were compiled, analyzed and discussed jointly by DMAS and DBHDS. The majority of the comments pertained to recommendations regarding specific services and the new service of benefits planning. Listed below is a summarization of comments received and applicable responses.

Summary of Topic Areas Addressed
Service Specific:
There were 3 comments on Group Day Services.
*One commenter recommended changing the staff ratio of "no more than 1:7…" to "at least 1:7."
Response: The sentence will be amended to say "no more than 7 individuals supported by 1 staff person."

*One commenter recommended wording change from DBHDS "approval" or "defined procedures" to the DMAS regulations/manual.
Response: The language in the application is correct. Waiver applications do not typically reference waiver regulations or policy manuals.

*One commenter noted that the service can offer options to "fill in spaces of time" between SE hours, or for individuals who do not have the physical stamina to be active in community locations for extended periods, etc. Also, the service description does not describe the role this service can play in the larger set of day services.
Response: The policy manual is the appropriate place to elaborate on the interplay of various day services.

There were 4 comments on In-Home Support Services:
*One commenter noted that the statement of "supplement the primary care provided by the individual…" seemed "odd."
Response: This has been a long-time understanding: that some individuals are their own primary caregivers. The wording will be changed to "supplement an individual's ability to meet his own needs."

*One commenter recommended that the title of staff should be DSP rather than personal assistant.
Response: DSP is the appropriate title.

*One commenter noted that recognition must be given to the fact that the agency is responsible for providing "back-up" in the case of a resignation without prior notice Response: The agency is expected to meet its obligation to the individual under the plan. Back-up plan refers to steps to be implemented in the absence of paid supports.

*One commenter recommended wording change from DBHDS "approval" or "defined procedures" to the DMAS regulations/manual. Response: The language in the application is correct. Waiver applications do not typically reference waiver regulations or policy manuals.

There were 2 comments on Respite Services:
*One commenter recommended adding sponsored residential home as a location where respite can be provided and under Provider Qualifications as an option for the license required for respite services.
Response: Sponsored residential home will be added to respite services.

*One commenter inquired of whether a services facilitator was required for CD services to be implemented and, if not, recommended further clarification in the description. Response: While it is true that an individual may opt not to have a paid services facilitator, there must be someone who fills that role (family member, etc.).

There was one comment on the Community Coaching Service.
*The commenter recommended wording changes from DBHDS "approval" or "defined procedures" to the DMAS regulations/Manual which will have controlling language.
Response: The language in the application is correct. Waiver applications do not typically reference waiver regulations or policy manuals.

See the "Optional" section of the application for the remainder of the public comments and responses.

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

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

7. Contact Person(s)

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

Last Name: Bevan

First Name: Ann

Title: Director, Division of Developmental Disabilities and Behavioral Health

Agency: Virginia Department Medical Assistance Services

Address: 600 East Broad Street

Address 2:

City: Richmond

State: **Virginia**

Zip: 23219

Phone: (804) 588-4887 **Ext:** ☐ **TTY**

Fax: (804) 371-4986

E-mail: ann.bevan@dmas.virginia.gov

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

Last Name: Traver

First Name: Dawn

Title: Director, Waiver Operations

Agency: Virginia Department of Behavioral Health and Developmental Services

Address: 1220 Bank Street

Address 2:

City: Richmond

State: **Virginia**

Zip: 23218

Phone: (804) 382-7055 **Ext:** ☐ **TTY**

Fax: (804) 692-0077

E-mail: dawn.traver@dbhds.virginia.gov

8. Authorizing Signature

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

Signature: Jennifer Lee

State Medicaid Director or Designee

Submission Date: Aug 28, 2018

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

Last Name: Lee

First Name: Jennifer

Title: State Medicaid Director

Agency: Department of Medical Assistance Services

Address: 600 East Broad Street

Address 2:

City: Richmond

State: **Virginia**

Zip: 23219

Phone: (804) 786-8099 **Ext:** ☐ **TTY**

Fax: (804) 452-5468

E-mail: jennifer.lee@dmas.virginia.gov

Attachments

Attachment #1: Transition Plan
Check the box next to any of the following changes from the current approved waiver. Check all boxes that apply.

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

Specify the transition plan for the waiver:

Attachment #2: Home and Community-Based Settings Waiver Transition Plan
Specify the state's process to bring this waiver into compliance with federal home and community-based (HCB) settings requirements at 42 CFR 441.301(c)(4)-(5), and associated CMS guidance.
Consult with CMS for instructions before completing this item. This field describes the status of a transition process at the point in time of submission. Relevant information in the planning phase will differ from information required to describe attainment of milestones.
To the extent that the state has submitted a statewide HCB settings transition plan to CMS, the description in this field may reference that statewide plan. The narrative in this field must include enough information to demonstrate that this waiver complies with federal HCB settings requirements, including the compliance and transition requirements at 42 CFR 441.301(c)(6), and that this submission is consistent with the portions of the statewide HCB settings transition plan that are germane to this waiver. Quote or summarize germane portions of the statewide HCB settings transition plan as required.
Note that Appendix C-5 HCB Settings describes settings that do not require transition; the settings listed there meet federal HCB setting requirements as of the date of submission. Do not duplicate that information here.
Update this field and Appendix C-5 when submitting a renewal or amendment to this waiver for other purposes. It is not necessary for the state to amend the waiver solely for the purpose of updating this field and Appendix C-5. At the end of the state's HCB settings transition process for this waiver, when all waiver settings meet federal HCB setting requirements, enter "Completed" in this field, and include in Section C-5 the information on all HCB settings in the waiver.

INTRODUCTION
Virginia's transition plan for the Developmental Disability Waivers includes the following information:
A. Assessment of Characteristics of waiver settings across the state
B. Assessment of DD waiver regulations, licensing regulations and related policies
C. Technical Assistance & Compliance & Sanction
D. Public/Stakeholder Engagement

A. ASSESSMENT
The state assures that the transition plan included with this waiver amendment will be subject to any provisions or requirements included in the State's approved Statewide Transition Plan. The State will implement any required changes upon approval of the Statewide Transition Plan and will make conforming changes to its waivers (as appropriate) when it submits the next amendment or renewal.

The Virginia Department of Medical Assistance Services (DMAS), the state Medicaid authority, and Department of Behavioral Health and Developmental Services (DBHDS), the operating agency for the waiver, have worked together to develop a Statewide Transition Plan (STP). The STP outlines the status and needed actions to bring waiver services and providers into compliance with CMS's HCBS settings requirements by March of 2022. Virginia received initial approval from CMS for its STP in December 2016. This plan includes assessments and proposed actions for both agencies, as well as all affected providers. Virginia is in the process of updating its STP based on feedback and guidance from CMS to address outstanding questions, needed clarifications and provide an updated timeline. Following initial approval of the STP, activities supporting the state's effort to transition to compliance include:
1) proposed permanent waiver regulations inclusive of HCBS compliance are at the Office Attorney General for review;
2) mandatory provider self-assessment of compliance completed by 98% of providers and over 3,000 settings;
3) validation of provider organizational compliance underway;
4) new providers reviewed for HCBS compliance prior to enrollment with DMAS as a Medicaid provider;
5) a series of weekly statewide calls with providers; and
6) development of compliance resources & tools for stakeholders, individuals and families.

Virginia is intent on fully meeting CMS transition expectations through its comprehensive assessment of compliance status of current settings, robust and meaningful remediation strategies and transparent and interactive public comment and stakeholder involvement. Virginia's current DD waiver system is experiencing significant transition in response to a Department of Justice Settlement Agreement. The extended assessment timeframe has enabled Virginia to conduct its comprehensive assessment and align remediation strategies with new service definitions, rules, regulations, policy and systems re-design.

Residential services & supports: It has been determined that there are both settings that fully comply with the HCBS settings requirements and that do not comply and will require modifications. It is expected that remediation strategies will bring the majority/all settings into compliance.
Consistent with CMS guidance, Virginia is presuming that individuals own home/family home complies with the HCBS settings requirements and therefore these settings are not being assessed. Each setting is integrated with full access to the community, is chosen by the individual, ensures an individual's right to privacy, dignity, respect, and freedom from coercion and restraint, optimizes individual initiative, and facilitates individual choice. Group home, sponsored residential and supported living settings are being assessed and compliance status validated.

Group Day Services: It has been determined that there are both settings that fully comply with the requirements and settings that do not comply and will require modifications. It is expected that remediation strategies will bring the majority/all settings into compliance.

Group Supported Employment/Community-based work crew or enclave: It has been determined that there are both settings that fully comply with the requirements and settings that do not comply and will require modifications. It is expected that remediation strategies will bring the majority/all settings into compliance.

DBHDS developed a settings checklist that was distributed to all DBHDS-licensed providers of IDD waiver residential and day support services, as well as IDD waiver providers of group supported employment. The checklist was accompanied by an overview of the CMS Final Rule, including a link to the CMS toolkit website, and guidance information to assist the provider with understanding the intent of the requirements being evaluated in order to accurately complete of the checklist. The checklist was designed to help providers determine areas in which their setting(s) meet or require improvement in order to comply with the settings provision of the Final Rule. This checklist and accompanying guidance document incorporate all of the elements pertinent to settings, elements of the "Guidance on Settings that Have the Effect of Isolating Individuals Receiving HCBS from the Broader Community," as well as referring providers to the questions in the "Exploratory Questions to Assist States in Assessment of Residential Settings." Additional provider education webinars and materials were developed and distributed. A companion guide was developed to be used with as a side by side tool with the completion of the provider self-assessment in the fall of 2017. This self-assessment was completed by 98% of current providers and over 3,000 settings. A database with provider self-assessment responses and evidence is being maintained by the state for self-assessment validation.

Monitoring activities will help to ensure the provider self-assessment is accurate and settings do ultimately fully comply. Those providers found not to be in compliance with elements of the HCBS regulations will receive technical assistance from DHBDS staff. In addition, providers were sent a detailed break-down of the elements of the settings regulations in a planning tool format in order to encourage further initiation of the activities that will bring all into compliance and highlight the need for technical assistance.

A self-assessment findings summary report will be included in the updated STP under development.

B. Assessment of DD Waiver Regulations, Licensing Regulations and Related Policies:
Based on review and analysis of DD waiver regulations, Virginia acknowledges that the current regulations do not fully support the new CMS HCBS Final Rule settings requirements. A review indicates that the following elements are not present:
•Reference to options for a private unit in a residential setting.
•The expectation that a lease, residency agreement or other written agreement is in place to provide the individual protections from eviction.
•An emphasis on privacy in individuals' sleeping/living units, including lockable entrance doors and choice of roommates in shared units.
•Freedom and support to control their schedules and activities.
•Access to food and visitors at any time. • Required processes for modifications in the event that there are individual-specific restrictions.
DMAS IDD waiver regulations will require revision to place a greater emphasis on ensuring that individuals receiving HCBS have the same degree of access to an integrated community life as individuals not receiving Medicaid HCBS. Needed revisions to regulations will help to ensure that all HCBS, including day services, are integrated and meet settings requirements.

Most settings impacted by the Final Rule (particularly those settings involving provider-owned or controlled residential settings) are licensed by DBHDS. The DBHDS has reviewed and assessed its Licensing regulations. Changes to the regulations have been proposed in order to implement additional provider requirements to comport with the Final Rule. The review indicated that the following elements are not present in the current regulations:
• The expectation that a lease, residency agreement or other written agreement is in place to provide the individual protections from eviction.
• The expectation of privacy in individuals' sleeping/living units, including lockable entrance doors and choice of roommates in shared units.
• Access to food and visitors at any time.
• The expectation that individuals have freedom and support to control their schedules and activities.
• Required processes for modifications in the event that there are individual-specific restrictions.

The review of DBHDS Licensing regulations is occurring with an internal (DBHDS) process of review and proposal of edits and changes. This effort will be expanded to incorporate ongoing input from a stakeholder workgroup (comprised of representatives of other state agencies, providers, Community Services Boards, advocacy organizations and individuals/family members). DBHDS, through its internal workgroup and with stakeholder input, will ensure integration of all related agency regulations to eliminate inconsistencies, subjectivity, and conflicts in interpretation and application. The following chart details the proposed timeline beyond the assessment phase and incorporates remediation actions inclusive of the state regulatory process.

As this amendment is being reviewed by CMS, state Medicaid regulations necessary for their implementation, as well as subsequent policy manuals, will be developed and made ready for implementation. These will include all new HCBS settings requirements, inclusive of those

services/settings not licensed by DBHDS (such as group supported employment). The draft permanent proposed regulations for the DD waivers are being reviewed by the Virginia Office of the Attorney General and should be out for public comment in the next 3 months prior to moving to promulgation and final regulations.

Additionally, all providers licensed by DBHDS must comply with DBHDS Office of Human Rights regulations. DBHDS completed a cross-walk assessment of its current Human Rights regulations to the Final Rule in the spring of 2014. The current Human Rights regulations were found to be consistent with and supportive of the Final Rule elements.

C. Technical Assistance & Compliance Monitoring
The compliance & monitoring team was convened in June 2015 to:

• Reference to options for a private unit in a residential setting.
• The expectation that a lease, residency agreement or other written agreement is in place to provide the individual protections from eviction.
• An emphasis on privacy in individuals' sleeping/living units, including lockable entrance doors and choice of roommates in shared units.
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DBHDS staff have been reaching out to providers, support coordinators/case managers and advocacy organizations to inform them of the Final Rule requirements. Presentations at numerous venues, several webinars, and DMAS communications have all been utilized to educate providers about the need to comply with and the nuances of the Final Rule. Additional training and technical assistance will be ongoing throughout the transition period.
DBHDS Licensing Specialists, Human Rights Advocates, Community Resource Consultants, Community Integration Managers, Community Services Board support coordinators/case managers, and DMAS Quality Management Review staff have frequent entrées to provider settings as they conduct inspections, provide technical assistance and engage in monitoring of individuals receiving waiver services. Ensuring consistency of interpretation and application of settings requirements will greatly improve the process of supporting compliance. To assist with this goal there will be broad representation of the above entities on a multi-agency, provider and stakeholder Compliance & Monitoring Team charged with the following:

The state is currently working to:
*Develop cross agency subject matter expertise on the final rule and the transition plan;
*Ensure a collective understanding and consistent interpretation of requirements, transition plan milestones and guidance documents;
*Advise and support the education and training of professionals, providers and stakeholders;
*Ensure a cohesive and broadly represented approach toward compliance, monitoring and capacity issues; and,
*Ensure successful achievement of desired outcomes and full compliance with the HCBS final rule settings requirements by March of 2022.

State staff efforts:

Provider Sanctions and Disenrollment
Provider Enrollment & Licensing

The development of the compliance & monitoring team represents the state's intention to oversee, support and monitor full compliance with the settings requirements of the HCBS regulations. The team will be empowered to:

• Provide technical assistance on the final rule including documentation for exceptions;
• Review and comment on developed materials and resources;
• Provide recommendations and assist with the development of solutions and implementation of strategies aimed at achieving desired outcomes;
• Oversee development and implementation of a communications strategy for providers, individuals and families regarding needed changes; and,
• Report to state leadership on the status of compliance.
• DBHDS Community Resource Consultants will be available to provide consultation to those providers that wish to comply, but are struggling with implementation.
• DMAS Long-Term Care Quality Management Review (QMR) staff will provide additional technical assistance and guidance to providers. QMR staff will provide technical assistance and guidance related to ensuring that the setting as a whole is complying and that the quality of Medicaid waiver participants' experiences with receipt of services are comparable to those not receiving Medicaid funded HCBS. This will occur primarily through review of provider records for waiver participants and documentation to support any individually assessed restrictions that may be in place per the individual's person-centered service plan.
• Office of Licensing staff will be able to assess and ensure that the provider implements and complies with the settings requirements also offering technical assistance, guidance and resources.

Provider Sanctions and Disenrollment

Providers not currently meeting the settings requirements will be asked to regularly report on the status of their compliance with the requirements through the completion of follow-up self-assessments. Those provider agencies that do not comply by March of 2021 will receive a letter notifying them that they will likely forfeit their Medicaid Waiver provider status and be disenrolled by March of 2022. Providers will then have several choices. Providers may exercise the option to voluntarily terminate their Medicaid provider agreements. Providers whose self-assessment reveals issues that are not resolvable, may choose to relocate to settings that will enable them to more easily comply. In such instances, support coordinators/case managers working with individuals whose providers status is anticipated to change, will notify individuals receiving services and their families, as appropriate, of the provider's status and anticipated disenrollment/relocation date. The case manager and or support coordinator will work with the provider, individual, and family as appropriate, to ensure smooth transition to a setting that complies with the Final Rule. For providers who wish to maintain their Medicaid agreements, DBHDS will make every effort to assist them in coming into full compliance with the final rule, with mandatory disenrollment as an action of last resort.

Support coordinators/case managers for individuals receiving supports in those settings will begin to work with the individuals needing to transition to alternate settings in June of 2021. Support coordinators/case managers will ensure a person-centered process and informed choice of alternate providers and locations for persons who wish to continue to receive waiver services. The process will include the following:
• Participants will be provided with reasonable notice of the need to transition and relocate to another setting.
• Participants will be actively engaged and involved in the development of their person-centered transition/relocation plan to include a relocation timeline and information and supports to make an informed choice for an alternate setting that complies with the settings requirements.
• Transition activities and assurances that services and supports are planned for and will be in place when an individual transitions.

Provider Enrollment & Licensing

As the new regulations are promulgated, Virginia has developed and operationalize procedures to validate conformance with settings requirements into existing processes for provider enrollment and licensing. The developed and implemented changes have been designed to ensure that, as new providers enroll and are licensed, they fully meet the settings requirements. Efforts occurring within the state to increase provider capacity, although not part of this Transition Plan, will continue throughout the transition period.

D. Public/Stakeholder Engagement
Public Input Process
Public Engagement & Stakeholder Involvement
• A presentation about the Final Rule was made at the 6/20/14 meeting of The Advisory Consortium on Intellectual and Developmental Disabilities, at which approximately 80 stakeholders (representing CSBs, private providers, family members, individuals, advocacy organizations and other state agency staff) were present. Input was gathered following the presentation.

The Public Comment period for this Transition Plan resulted in the following general categories of comments and responses from DMAS/DBHDS:
General Comments Expressions of appreciation for the paradigm shift and support for the content of the Final Rule. Response/Action: None required.

The IDD Waiver Transition Plan was released for public comment for 30 days, from December 18, 2014 – January 17, 2015. The public input process was been designed to allow individuals receiving waiver services, individuals likely to receive services, providers, stakeholders and advocacy and other organizations an opportunity to provide input and recommendations into the plan. All public comments and dates of public notice for the IDD waiver transition plan will be retained on record and available for review.
Opportunities for public comment will continue at various stages throughout this Transition Plan. Virginia will seek public comment through the DBHDS "My Life, My Community" webpage, DMAS and other specific state agency websites, print articles in newsletters

disseminated by advocacy groups and trade organizations, electronic newsletters, list serves, social media and a print advertisement placed in a large Virginia newspaper carried in libraries throughout Virginia.
An email address, physical address, and fax number will be available for individuals, family members, and other advocates to comment on this draft transition plan. A telephone voice mail line will also be available for confidential reporting on provider segregated settings or segregated conduct. Provider identification will be necessary so that DBHDS and DMAS can target those providers for training or technical assistance.

Public Engagement & Stakeholder Involvement

Previous public engagement and stakeholder involvement activities resulted in public input, recommendations and guidance that have been considered and incorporated into this plan, as appropriate. A summary of activities follows:
• A presentation about the Final Rule was made at the 6/20/14 meeting of The Advisory Consortium on Intellectual and Developmental Disabilities, at which approximately 80 stakeholders (representing CSBs, private providers, family members, individuals, advocacy organizations and other state agency staff) were present. Input was gathered following the presentation.

•A preliminary draft Transition Plan was posted on the DBHDS website on August 5, 2014 [http://www.dbhds.virginia.gov/individuals-and-families/developmental-disabilities]. Comments were received via an accompanying email address for 30 days, ending September 6, 2014. Notification of this posting was sent to representatives of Community Services Boards, private provider associations, and advocacy groups, who were requested to distribute the information widely to their members and constituents. This posting did not serve as Virginia's formal notice of public input; however, information and comments gleaned from input on the posted draft and stakeholder/provider engagement activities did inform the development of this plan.

• Statewide "town hall style" webinars, sponsored by DMAS and DBHDS staff, were held on August 12, 2014 and August 26th (two separate webinars were held on that day) regarding the Final Rule elements and the Virginia draft Transition Plan, during which questions and input were also received from participants. These webinars were announced in the preliminary draft Transition Plan posted on the DBHDS website and via emails to representatives of Community Services Boards, private provider associations, advocacy groups, and other state agencies, which were requested to distribute the information widely to their members and constituents. In total, these three webinars accommodated the participation of approximately 300 individuals.

The state assures that the settings transition plan included with this waiver amendment will be subject to any provisions or requirements included in the State's approved Statewide Transition Plan. The State will implement any required changes upon approval of the Statewide Transition Plan and will make conforming changes to its waiver when it submits the next amendment or renewal.

The state is updating its STP for submission for final approval. The updated STP will require 30 days public comment. The Public Comment period for the initial Transition Plan resulted in the following general categories of comments and responses from DMAS/DBHDS:

General Comments Expressions of appreciation for the paradigm shift and support for the content of the Final Rule. Response/Action: None required.

Update Waiver Regulations Comments noting that waiver regulations changes will be required regarding day services meeting setting requirements around integration, clear definition of provider qualifications, language to address physical support needs, etc.
Response/Action: Recommendations will be incorporated into updated regulatory language.

Integrate all Virginia Agency Regulations Integrate all DBHDS Licensing and DMAS waiver regulations to eliminate inconsistencies and conflicts. Ensure that Final Rule requirements are incorporated into Medicaid audit methodology. Response/Action: Acknowledgement that some differences in licensing and waiver regulations exist, as they have different foci. However, every effort will be made (as reflected in the transition plan) to make these two bodies of regulations as congruent as possible regarding the Final Rule. Efforts are already underway for this.

Concerns Related to Licensing
Concerns about how waiver services (e.g., supported employment) that are not licensed by DBHDS will come into compliance with the Final Rule. Response/Action: Other DBHDS & DMAS staff will work with these non-licensed providers to ensure compliance.

Individual Choice vs. Health & Safety Concerns
Concerns that individuals should be able to opt out of community integration for health and safety reasons or that there should be a "justifiable exceptions process."
Response/Action: DBHDS & DMAS do not support opting out of community integration and will not modify the transition plan to reflect that.

Public Input into Provider Self Assessment
Expression that there was no public input to the checklist or provider assessment process and that there should be a means of obtaining individual/family member input.
Response/Action: DBHDS & DMAS did obtain input through a variety of means. The transition plan now includes reference to a telephone line for reporting provider status. The state is also establishing a Compliance and Monitoring Team (referenced in the Statewide Transition Plan) in order to obtain ongoing stakeholder input and review of the transition process.

Lack of Details in the Transition Plan

Several commenters felt that the plan should have more details/actionable items.
Response/Action: The Commonwealth included elements of regulatory change, provider self-assessment, state agency involvement with assessment/technical assistance/training (including site visits) and added stakeholder feedback, all of which are considered to be important elements of the plan. The Commonwealth acknowledges that the transition plan will continue to be modified and refined over time as more information is obtained from stakeholders and providers.

Lease Requirement
Request was made that leases allow flexibility and the ability of a provider to terminate a lease to avoid an inappropriate long-term situation.
Response/Action: DBHDS &DMAS are not supportive of measures that would circumvent an individual's protection against arbitrary eviction as specifically defined in the CMS final rule. An individual's most appropriate residential setting should be determined during the person-centered process, which shall include assessment of individual support needs and individual choice and preference in the setting most suitable to the individual's needs.

Grievance Process
Comments that a grievance procedure should be available for an individual to report being placed in a segregated setting. An appeal of determination of a provider's HCBS compliance should be available.
Response/Action: The state has developed and added to the transition plan a confidential telephone line for reporting provider non-compliance not for punitive reasons, per se, but for targeted training and technical assistance.

Technical Assistance & Training Needed
Comments that providers require Final Rule training &TA. Suggestion that the state provide funding to offset the costs of staff training.
Response/Action: More details on provider training and technical assistance, including a revised timeline were incorporated into the transition plan. The state is not able to provide funding for provider staff training at this time, but will make state staff resources available.

Provider Sanctions
Comment that sanctions and disenrollment of providers from the ranks of waiver providers will limit individuals' choices.
Response/Action: Provider sanctions will address only those providers unwilling or unable to come into full compliance with the final rule following training and technical support. The state acknowledges that not all current service models will be able to be supported under the final rule. The transition time is intended to give providers adequate time to adjust their existing service models or open the landscape in VA for new providers with more integrated service delivery models.

Cost/Resource Issues
Comments about "unfunded mandate" and no mention in the transition plan about where the funding will come from to implement.
Response/Action: Virginia acknowledged that some of the requirements of the Final Rule will require adjustments to the operational processes, practices, and procedures of provider agencies and may not be without financial impact. These impacts are also being absorbed by the state as compliance with federal regulations is mandatory and must be implemented.

Virginia Capacity to Support the Expectations of the Final Rule
Comments that the Transition Plan does not address capacity Issues Response/Action: The state acknowledges that some of the requirements of the Final Rule are not supported by the current capacity and infrastructure existing in Virginia. Separate from the work to implement the Final Rule expectations, system transformation efforts/ID/DD waiver redesign are underway in the Commonwealth. These, along with the results of the provider self-assessment, will help improve the capacity and infrastructure of the Commonwealth to support the setting and integration requirements of the Final Rule, making it possible to attract providers embodying these philosophies.

Transition Plan Timeline

Comments that the timeframe for compliance with the settings rule is too short, does not comport with the VA Legislative calendar and fails to take into account all of the other demands on providers.
Response/Action: The Transition Plan timeline was developed in accordance with the timeline for implementation imposed by CMS which does not necessarily correlate to our legislative budget process. The state recognizes the multiple systems transformation efforts underway but notes that this is not a DBHDS/DMAS developed requirement but regulatory requirement, which is mandatory.

Recommended Collaboration between Virginia Partners
Comment that the successful promotion of the Final Rule must occur through purposeful, ongoing collaboration among stakeholders
Response/Action: All system transformation efforts have and will continue to include substantial input from and collaboration with all stakeholders and partner organizations, including agency and organizational stakeholders. Implementation of the Final Rule will also continue to include all VA partners throughout the implementation process. The transition plan notes the specific activities and dates of all stakeholder public input and communications throughout the past year, on the CMS final rule changes. The activities included multiple means of soliciting feedback, including webinars, advertisement in news media, dedicated phone line and email addresses.

Concern that Virginia's Existing Service Structure (as Included in the Waiver Amendment) will not Conform to Final Rule Expectations
Comments regarding maximum licensed group home size being too large, day support programs and group supported employment not promoting full integration. Response/Action: Apart from the transition plan and in its waiver redesign, VA will adopt a definition of day settings in accordance with the Final Rule and in association with the system transformation described in previous comments. CMS acknowledged that while size can be an important factor in deciding whether a setting meets the requirements, it has stopped short of stating that size by itself is a determinative factor in whether or not a setting is compliant. While it cannot force the closure of congregate sites, DBHDS & DMAS, through the I/DD system transformation, hopes to structure reimbursement rates so that providers delivering supports and

services in smaller sized setting will be compensated at a higher rate, to encourage more providers to move toward the smaller size model of service delivery.

Displacement of HCBS Waiver Participants
Comment that there is no mention of measures to minimize impact on individuals with significant disabilities who are likely to be displaced or relocated from current center-based programs.

Response/Action: The original transition plan included a process whereby case managers will review the compliance status of providers serving individuals on their rolls, and will be responsible for working with the individuals, family members and providers to ensure that the individuals impacted are transitioned smoothly to a new service provider. However, additional language was added describing the joint responsibility of the case manager and transitioning provider to ensure that the individual 1) has adequate notice of relocation, 2) assistance during the relocation process, and 3) timely follow-along to ensure a smooth transition.

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

The following information below consists of additional information from public comments in the Main section.

There were 2 comments on the Community Engagement Service.
*One commenter recommended removing references to DBHDS “approval” or “defined procedures” and refer instead to the DMAS regulations/Manual which will have controlling language.
Response: The language in the application is correct. Waiver applications do not typically reference waiver regulations or policy manuals.

*One commenter shared that the staff ratio of “no more than 1 staff per 3 individuals” implies that the provider is limited to no more than 1 staff per 3 individuals. A revision to say “at least 1:3” was recommended.
Response: The sentence will be changed to “no more than 3 individuals supported by 1 staff person.”

There was one comment on the Employment and Community Transportation Service
*The commenter noted that without addressing the details of the “satisfactory driving record” the administrative provider would be obligated to minimally add every driver to their own umbrella policy as protection against liability for the provider who is “responsible for screening.” If that is the case, the requirements of that policy will prevail in setting the standards for the driving record, insurance coverages and monitoring.
Response: It is not the intent of this service that providers add every driver under this service to their agency umbrella policy.

There was one comments on the Shared Living Service.
*The commenter noted that the role of the administrative provider is difficult to balance among the level of responsibility, the requirement to "coordinate" the services, and the absence of administrative control.
Response: DMAS and DBHDS will continue to monitor this service closely and propose changes as needed to ensure the service is effective and efficient.

There were 2 comments on the Supported Living Service
*One provider noted that for supported living service, the first and second sentences were not consistent and questioned why the service must only be in provider operated/secured apartments.
Response: At this time, changes will not be made. Further discussion is needed between DMAS and DBHDS.

*One commenter suggested that the limitations of services above and beyond room and board, or exceeding supports provided by family suggests a group home, not an apartment setting with “drop in services.”
Response: The sentence will be replaced with “Supported Living services shall be authorized for Medicaid reimbursement in the person-centered plan only when the individual requires these services. Room and board shall not be components of this service.”

One commenter shared that there were no service limitations nor provider qualifications listed.
Response: These fields will be entered to include the following additions: 1. The unit of service shall be one day and billing shall not exceed 344 days per ISP year. 2. Supported living residential services shall not be provided to any individual enrolled in the waiver who receives personal assistance services or other residential services under this waiver, such as group home residential services, shared living, in-home support services, or sponsored residential services, that provide a comparable level of care. 3. Supported living residential shall be a tiered service for reimbursement purposes. Providers shall only be reimbursed for the individual's assigned level and tier. 4. Supported living residential services shall be provided to the individual in the form of around-the-clock availability of paid provider staff who have the ability to respond in a timely manner. These services may be provided individually or simultaneously to more than one individual living in the apartment or home, depending on the required support or supports.

There were numerous comments on the newly proposed Benefits Planning Service.
*One commenter expressed support for the inclusion of this service and another shared support for attempts to clarify the benefits process via ongoing open dialogue.

*One commenter noted that for the chart listing the activities and procedure codes, there were total fees and a number of hours identified for

each activity which appeared to be based on the current DARS structure. When divided by the number of hours, the resultant "hourly rate" would correlate with the proposed ROVA rate. Since the NOVA rate is about $10 greater per hour, the commenter questioned how this discrepancy would be resolved when posting a total fee and "allowable" hours per activity and also noted that it is critical to adequately compensate northern VA providers.
Response: The relevant information is the total hours and the rate established by Burns & Associates for each part of the state (NOVA/ROS). There is a NOVA rate for the service

*One commenter proposed that DMAS provide training on these rules prior to service initiation, specifically on the effects of work and details such as patient pay since these are very State-specific.
Response: DBHDS will collaborate with DMAS to ensure that training regarding new services is provided.

*One commenter noted that for IRWEs, Blind Work Expenses and Subsidies, the service may be rendered for development of a work incentive but there may not be an "outcome" if Social Security does not process the work incentive as successful. Also proposed compensation for services rendered regardless of the outcome determination by Social Security.
Response: The completed documents, letter of submission and response from SSA are the proof of service delivery not the "successful outcome."

*One commenter proposed that if a provider provides a Financial Health Assessment, there should be a logical commitment by DMAS to fund the subsequent needs of the participant that are identified during the assessment—a commitment beyond just completing a written assessment. This is critical since this is a relatively new service and each assessment may vary in length of time. In addition to the written assessment, which is very person-centered, support needs may be identified as part of the assessment, such as money management, budgeting, credit report reading, and other financial services, which the benefits counselors will subsequently need to offer to help the individual navigate the benefits system.
Response: These needs can be addressed in the person-centered ISP and tasks assigned to the appropriate parties (i.e., family members, services providers, etc.) based on priority to the individual.

*One commenter suggested revisions to "Work Incentive Plan (WIP), adding a billable activity, and noted that a WIP provides a brief summary of the employment situation and an implementation plan including a check-list of reminders and action steps, personal responsible, target dates and completion dates. A WIP shall be developed based on established SSA guidelines.
Response: This is the purpose and expectation of the person-centered ISP; therefore, this will not be added as a billable activity.

*One commenter recommended that the actual Work Incentives (i.e. PASS, IRWE, BWE, IDA, SEIE, 1619b, Medicaid Works – should be listed under a category of Work Incentives. They are work incentives not the Work Incentives Plan (WIP) which is a separate planning document.
Response: We will remove "plan" from the "Work Incentives Development and Revisions" category.

*One commenter noted that ABLEnow accounts and the Financial Health Assessment definitions are much too long and out of sync with the other summaries.
Response: We will modify in the application and elaborate more in the regulations/policy manual.

*One commenter recommended adding (1) Special Continuation Groups under Medicaid Work with the individual and family/legal representative to reconcile issues relating to Qualified Medicare Benefits (QMB), Specified Low-Income Medicare Benefits (SLMB) Program, Qualified Individual (QI) Program and Qualified Disabled, Working (QDWI) Program and the Title II COLA (Pickle Amendment) and (2) Work Activity Reports – SSA Forms 820/821 – Assist the individual and family/legal representative in filling out and returning forms to the Social Security Administration (SSA).
Response: Financial Health Assessment will not be eliminated, but a category will be added under "Resolution of SSA Benefits Issues" titled "Work Activity Reports."

*One commenter suggested that a regular Benefits Summary & Analysis should be listed as the service to include Benefits Summary & Analysis (either DARS WorkWorld Summary and Analysis or Social Security Administration BS&A format).
Response: Benefits Summary & Analysis is best positioned to be offered for pre- employment and benefits changes, vs. just a generally offered product.

*One commenter noted that the list of Services and Rates do not line-up with hourly rates.
Response: The list of services and rates has been double-checked against the hourly rates and they do line up.

*One commenter suggested that caps for each service should be based on total estimated hours listed using the new hourly rate proposed by Burns & Associates using the waiver rate methodology and BLS wage information.
Response: Caps for services do have this as their basis.

There were 5 comments on the Community Guide Service.
*One commenter noted concerns that Peer Mentoring assigns undue risk and vulnerability on licensed providers and there is no opportunity for reimbursement to the administering agency for these time consuming activities.
Response: The Community Guide and Peer Mentoring services have been significantly changed since being posted in these waiver applications due to CMS comments about them in the amendments that initially introduced them. The administering agency for Peer

Mentors does receive an administrative fee.

*One commenter inquired about the specific responsibility the administering agency would assume for the background checks, training and scheduling of the peer mentor.
Response: The administering agency would ensure that the Peer Mentor receives a background check and has completed the training curriculum.

*One commenter inquired whether the peer mentor be governed by the same provider requirements that pertain to all DSPs and would basic and advanced competencies training apply.
Response: The Peer mentor does not have to meet DSP requirements nor pass competencies. Peer mentors are not classified as DSPs.

*One commenter inquired whether the QDDP supervisory requirements apply to this peer mentor.
Response: QDDP supervisory requirements only apply if the peer mentor is considered an employee of the administering agency, but not if the peer mentor is considered a subcontractor.

*One commenter questioned how the peer mentor would receive the Learning Community's Person-Centered Thinking and Community Connections training, who would assist with accommodations needed for the peer mentor to develop competencies in the curriculum and is there curricula available for administering agencies and providers to review?
Response: As part of the changes as a result of conversations with CMS, there will be a different training requirement. The training will be made available by DBHDS in regional locations through the Office of Recovery Services.

Appendix G
There were 4 comments on language in sections of Appendix G
*One commenter noted that "APS does not "found or unfound" cases – they determine that the individual is or is not in need of protective services."
Response: The terms "founded" and "unfounded" are not intended as technical terms, but those used in common practice to describe the results of APS's work. The sentence in Appendix G.1.d.will be revised to "The complainant is informed of the investigation disposition (in need or not in need of protective services) at case closure."

*One commenter expressed not being aware that Human Rights advocates provide investigator training and shared that training is required, but it is not done by the advocates upon initial visit to a site.
Response: The Human Rights Advocates do not conduct provider training, OHR does have investigation training modules online and hopes to have training available. 12 VAC35-115-175 (F)(4)(5), states, "4. The program director shall ensure that the investigation is conducted by a person trained to do investigations and who is not involved in the issues under investigation. 5. The investigator shall provide a written report of the results of the investigation of abuse or neglect to the director and to the human rights advocate within 10 working days from the date the investigation began unless an extension has been granted." Further, during the initial visit, OHR: • reviews human rights policies; • provides information and guidance on the human rights process; • reviews program rules, if applicable; • provides training on CHRIS reporting; and • provides guidance on investigating allegations of abuse and neglect as well human rights complaints. (THIS IS NOT INVESTIGATION TRAINING) • validates Home and Community-based waiver services self-assessment. For clarity, the sentence in question (in Appendix G.2) will be changed to read: "Whenever abuse or neglect are reported: (1) advocate, monitor, review, consult and investigate, as appropriate. A trained investigator, investigates the allegation and makes a recommendations to the provider."

*One commenter asked why references to the "rights" in the HCBS Final Rule were not included in Appendix G.
Response: At this time, the state is transitioning to HCBS compliance and provider compliance with HCBS rights, including the states policies and regulations. It would be pre-mature to include these rights at this time.

*One commenter noted that the code reference for the definitions of abuse etc. are in §18.2 which is the criminal section of the code rather than in §63.2 which is the Social Services section of the code (APS/CPS) – this may be what you intend, but it seems extreme.
Response: Appendix G contains terms and definitions not found in § 63.2 of the Code of Virginia. Since some of the terms are only listed in §18.2 of the Code of Virginia, it is necessary to reference both sections of the Code.

Quality Improvement Strategies
*One commenter recommended including data collection and analysis related to rates of usage of new waiver services within its Quality Improvement Strategies for each Wavier.
Response: Agreed that data collection and analysis related to rates of usage of new waiver services is needed and DMAS and DBHDS will collect the data and conduct such analysis. This sort of effort is not typically included in the QIS, however.

General
*One commenter noted a technical issue that each service was identified as being "in the approved waiver," "in the approved waiver - specifications have been modified" or "not included in the approved waiver."
Response: This will be corrected.

The following information below consists of additional information for Appendix H.

Appendix H: Quality Improvement Strategy (2 of 2)
H-1: Systems Improvement
a. System Improvements
i. Describe the process(es) for trending, prioritizing, and implementing system improvements (i.e., design changes) prompted as a result of an analysis of discovery and remediation information

The RMRC is composed of DBHDS staff with clinical training and experience in the areas of behavioral health, developmental disabilities, forensics, quality improvement, nursing, behavior analysis, and medicine, as well as data analytics. Offices represented on the RMRC are:
•Quality and Risk Management
•Integrated Health Services
•Case Management
•Community Integration
•Licensing
•Human Rights
•Others as recommended by the Office of Quality and Risk Management.

The committee meets monthly to review data and discuss cases. Committee members act as liaisons to other parts of the service system for gathering information as well as initiating improvements in the systems of care. The RMRC reviews facility and community risk data to identify trends in areas of risk and to identify potential actions toward improvement. The RMRC reports the results of its reviews and recommendations to the QIC.

Quality Service Reviews - evaluate the quality of services at an individual, provider and system-wide level to ensure:
•Individuals' needs are met, including health and safety.
•Person-centered thinking is applied and individuals are given choices and are supported in self-direction and in managing individual health and safety.
•Services and supports are provided in the most integrated settings appropriate to individuals' needs and consistent with their informed choice.
•Individuals are provided opportunities for community engagement and inclusion in all aspects of their lives
A statistically valid sample of individuals receiving services is surveyed on an annual basis. All services, including case management, are included in the review process. Thus the Quality Assurance Reviewer (QAR) gathers information needed to assess the overall supports being provided to the person and identify recommendations to support the person's team in improving the quality of supports. The data collected are used to evaluate the quality of services being provided across the state and to identify areas needing improvement.

An alert is defined as any circumstance, situation, or observation identifying a person to be in imminent or potential risk for harm. If at any point during the Person Centered Review, the QAR uncovers any indication of abuse, neglect, exploitation, or has any concerns related to medical, behavioral, rights, health, or safety issues or mistreatment, the appropriate entity is contacted immediately. This may include any protection agency, as well as identified DBHDS staff. Every effort is made to safeguard the person should such a situation arise. If immediate risk is identified, a QAR remains onsite until the appropriate authorities arrive.

Recommendations from the QSR process are presented to the QIC, RQCs, and other stakeholders. Recommendations are prioritized to determine specific actions to be taken. Implementation of actions and their results are
monitored by the QIC.

Added on 6/12/18
Quality improvement reports and data are organized and reviewed under four key performance areas: Health and well-being; community integration/community inclusion; provider capacity; and person-centeredness. Quality improvement data includes performance measures that are collected as part of the waiver assurances, as well as additional measures that are identified as significant by DBHDS. Additional reports that have been compiled and reviewed by the Quality Improvement Committee and the Regional Quality Councils include: annual mortality review report; semi-annual and annual employment report; semi-annual and annual crisis report; an annual housing report; report on the outcomes of the regional support teams; semi-annual report of licensing citations and timeliness of incident reporting; semi-annual report of human rights allegations and substantiated cases of abuse, neglect, and exploitation. DBHDS is in the process of developing an annual quality improvement report; the first report will assess activities during SFY 19.

The Quality Improvement Committee meets on a monthly basis and reviews data and reports in each key performance area on a quarterly basis. The frequency of specific reports varies and may be quarterly, semi-annual, or annual, as noted above.

Results and activities are reviewed with representatives of providers, agencies, participants, and families, on a quarterly basis through the DBHDS Regional Quality Councils (RQC). Participants on the councils review quality improvement data each quarter. The data is aggregated at a state and regional level (when possible). RQC members make recommendations to the Quality Improvement Committee and a designated member from each region serves on the committee. Once DBHDS begins collecting data on approved performance measures, this data will be made available on a quarterly basis to the public through the agency website.

Note: The control numbers for the waivers are VA.372 for Community Living and VA.430. for Building Independence.

Continued from I2A

Rates for Community Guide and Employment and Community Transportation services followed a similar process as the overall rate setting methodology as described above except that there was not a provider survey (because the services are new, there was nothing to survey). Similar to other DD services, Virginia developed the Community Guide, Peer Mentoring Supports, and Community Transportation using independent rate models. These models reflect the costs that provider face in delivering these services. The models account for various costs, including:
• The wage of the direct support professional
• Benefits for the direct support professional
• The productivity of the direct support professional (to account for non-billable responsibilities)
• Other direct care costs, such as transportation and program supplies
• Agency overhead costs
• Programmatic factors that affect per-person costs, such as staffing ratios
For Employment and Community Transportation, the state researched public and private transportation costs for various regions throughout the state. Transportation options included: bus, "Dial A Ride", Metrorail (Northern Virginia), taxi, and Uber. The research analyzed peak and non-peak fares for senior/disabled individuals, along with regular fares. The findings from this research were incorporated into this rate model.
The rate models for Community Guide, Peer Mentoring Supports, and Community Transportation are fully funded.

For Benefits Planning services, the waiver has adopted the rates paid by the Commonwealth's vocational rehabilitation program for the same services.

Benefits Planning consists of four categories: Pre-employment benefits review, Work Incentives Development or Revision, Resolution of SSA benefits issues, and Other services. There are a total of 17 allowable activities that are encompassed within the overall four categories. A person-centered plan is developed and based on the individual's needs and hours for each activity authorized. The service is reimbursed based on a single hourly rate.

1. The State intends to utilize hourly units of service. All service areas have the same hourly rate. The annual limit for services is $3,000 per year. The services will be authorized and reimbursed based on the person-centered planning process used to determine the activities needed and corresponding service hours.

2. Reimbursement may occur upon completion of each unit hourly unit of service.

CUSTOMIZED RATE:
For Supported Living, In-Home Support services, Community Coaching, and Group Day, DBHDS has established a framework for the establishment of customized rates for individuals requiring more support than assumed in the rate model to which they would otherwise be assigned. In particular, the standard fee-for-service rate models for these services are predicated on specific assumptions regarding the qualifications of direct care staff, the level of staffing, and programmatic oversight. If an individual requires a greater level of support than assumed in order to prevent placement in an institutional setting or out-of-state or due to documented behavioral or medical needs, that individual may request a customized rate. The customized rates rely on the same framework as the standard rates, but are customized to meet the individual's needs. For example, for an individual who requires more intensive staffing, the greater number of hours are substituted for the standard assumption in the rate model and priced at the same hourly cost of direct support professional wages and benefits. A similar approach is employed for individuals who need staff with greater training or greater programmatic oversight.

There is a small cohort of individuals (particularly individuals being discharged from the Training Center who are extremely medically fragile and/or behaviorally challenged), for whom customized rates for this service will be necessary.
These extremely medically fragile and/or behaviorally challenged individuals are those whose support needs place them in levels six or seven but who have a higher level of need than will be accommodated by the tier four rates, as well as any individual for whom it is determined that the only other resource is to be served out of state, in a state operated mental health or DD facility, or in a more restrictive environment. They are identified as those who require greater support in order to find in-state providers willing to serve them. These individuals' needs outweigh the resources provided within the current waiver rate structure. Their needs may warrant:
•More intensive staffing than assumed in the standard rate (this could be more one-to-one oversight in a residential setting, one-to-one support in a day habilitation program, or two-to-one staffing in home-based and community settings)

•More highly qualified staff (termed 'specialized' staff) that has more training, a higher level of certification (such as a certified nursing assistant), etc.

•More 'program support' funding (specifically designed to meet the needs of the individual) than assumed in the rate models for residential services only; this funding could include more oversight from a nurse or behaviorist, or other supports necessary to maintain the placement.

Individuals with extraordinary behavioral needs are defined as individuals who threaten the safety of staff and others around them, require increased staffing to immediately address behavioral incidents, require direct 1:1 or 2:1 intervention to mitigate harm to themselves, others, property, or prevent serious incidents in the community to preclude police involvement and/or arrest. Often, these individuals' challenging behaviors are triggered spontaneously, necessitating providers to staff individuals at 1:1 or 2:1 (depending on the severity of the behavior) for some or all of the day. Other individuals require constant supervision to mitigate the frequency of these very challenging behaviors. Individuals who have a high frequency of such behaviors will routinely require additional hours of 1:1 or 2:1 supports. This level of staff intervention allows for appropriate supervision both in the home, as well as in the community to prevent and/or reduce social isolation. Shared staffing ratios in these more unique cases (as typically occur in group homes and day services) often do not provide

adequate oversight as staff is required to work directly with such individuals to prevent, mitigate, or respond immediately to behavioral incidents, while another staff protects others in the area to ensure all individuals in the setting are safe. In addition, the supervision and oversight required by more experienced/highly trained direct support staff requires clinical professionals who are themselves more highly trained and experienced than is routinely expected/present in these service settings.

Medically, an individual may require 1:1 or 2:1 staff support when he has a health history or recent health complication that puts him at risk for acute medical complications resulting in hospitalization or death. For example, an individual may require 1:1 during meal time due to severe risk of aspiration; another may require 2:1 during transfers due to a combination of illnesses such as dementia and osteoporosis, resulting in an increased risk of falling that is so high that he may sustain a fracture or head injury. In an effort to fully integrate individuals with severe medical conditions into the community, increased staff are provided during transition periods to prevent emergency medical activities. Staff may require more frequent or intensive training to have the skills needed to perform more challenging health supports such as total personal care and the implementation of nursing delegated tasks. Licensed professionals may need to provide additional supports outside of waiver funding to protect a person's health and safety such as facilitating hospital admissions and discharges, interfacing with the hospital team and providing generalized staff training on skills not covered by typical staff training programs.

SERVICES THAT MAY QUALIFY FOR A CUSTOMIZED RATE:
A. Supported Living - completed
B. In-Home Support services - completed
C. Community Coaching - completed
D. Group Day – completed

CUSTOMIZED RATE DETERMINATION:
DBHDS will review an application for each individual for whom a provider requests a customized rate to determine if:
a. The individual has exceptional medical support needs that outweigh the resources provided within the current waiver rate structure and/or
b. The individual has exceptional behavioral support needs that outweigh the resources provided within the current waiver rate structure AND
c. The individual requires higher level staffing ratios of 1:1 or 2:1 to ensure the safety of the individual and others around them and/or
d. The individual requires higher credentialed staff to ensure proper supports are given and/or
e. The program budget reflects a need for increased programmatic costs based on submitted budget template.

As part of the review process, DBHDS will determine any and all providers/resources that are available in the state to support the individual. If it is determined that the individual cannot be served by other providers within the state or is being required to move to a more restrictive setting such as an institution to secure a service that could be provided within an individual's current community setting given sufficient funding, this information will be reviewed to further validate the need for a customized rate.
DBHDS has developed a customized rate review team comprised of developmental disability subject matter experts to include a registered nurse and behavioral specialist. The team will review applications to determine if a customized rate is appropriate based on the below listed criteria:

Provider adequately proves through documented protocols, Individualized Support Plans, quarterly reports, and application submission that:

1. The individual has exceptional support needs that outweigh the current waiver rate structure in either medical, behavioral or both and requires a staffing ratio of 1:1 or higher for all or some of their daily support needs
Or
2. The individual requires more highly qualified staff to safely and effectively provide direct supports
Or
3. The individual requires increased programmatic oversight defined as oversight that is provided by highly qualified staff (Bachelors level or higher) that requires a higher level of expertise than routinely required.

For individuals in levels 6-7:
The DBHDS customized rate review committee will meet upon application submission to review the submitted criteria. Subject matter experts in both medical and behavioral will determine if the need for a customized rate exists. After the determination is made, the rate model will be used to determine the rate approved.

For some services (In home residential, community coaching, group day) the customized rate team only needs to determine if the individual is approved for a customized rate and the model will output a standard rate applicable to all individuals approved.

While other services (Supported living) the customized rate review team must determine the number of hours of additional 1:1, 2:1, specialized staffing requirements or programmatic oversight approved, then input into the rate model at which point the model will output a rate specific to the individual.

Once approved, DBHDS will make all necessary notifications of either approval or denial, enter the approved rate into WaMS, and notify the individual/provider of their appeal rights.

For individuals in level 1-5:
If the individual for whom the provider is requesting a customized rate falls within levels 1-5, a second level review will occur in which a community resource consultant (CRC) will contact the provider to conduct site visit/review. The purpose of this review is to assure that current services are being maximized, and that all community resources and supports have been explored.

Following the site visit, the CRC can:

(1) Move the individual's application to the Customized Rate Review Committee (CRRC)
The CRC will move the application directly to the CRRC when it is determined that all waiver and community services are being maximized and it is determined that a customized rate may be appropriate.

Or

(2) Move the individual's application to the Regional Support Team (RST) process
If the individual is referred to the RST, the RST will review the individual to determine if other providers and/or resources are available to adequately support the individual under the current rate structure. This is considered as a second level verification based on the information collected at the site visit.

Or
(3) Deny the individual(s) a customized rate.
If the CRC determines that services are not being maximized, the CRC will work with the provider to better utilize current services; however, the individual will not move forward to the CRRC

For specialized staff, DBHDS has specified wage levels that are to be used when approving customized rates. In particular, the wage assumption for these staff is set at 115 percent of the wage assumption for the 'standard' assumed wage for the applicable service. Other assumptions (benefits and productivity for direct care staff, agency overhead – except when a variable program support is negotiated for residential services, etc.) are the same as in the standard rate model for the applicable service.

A provider requests a customized rate to deliver more intensive staffing, more highly qualified staff, and additional program support. For residential services, the amounts that are agreed to by DBHDS are input into an Excel-based workbook that calculates the resultant rate for the individual. In particular, DBHDS can specify additional staffing levels, the use of 'specialized' staff (the wages for whom are priced at 115 percent of the wage for 'standard' staff), and the total amount of program support specifically designed to meet the unique needs of the individual. Other costs in the rate – such as mileage and administration – are fixed at the same amounts in the underlying rate model for the applicable service.

Customized rates for In-Home Residential, Community Coaching, and Group Day are actually fixed based on region (Northern Virginia/ Rest of State), staffing ratio (one-to-one or two-to-one), and staff qualifications ('standard' or 'specialized'). These rates were constructed by making relevant adjustment to the underlying rate model for the applicable service.

All individuals approved for a customized rate, regardless of service type will be reviewed at least annually. Providers will be required to complete a new customized rate application and submit updated/recent supporting documentation at the time of the review.

Amendment effective January 1, 2019
Tribal representatives were notified by DMAS on June 7, 2018 of the Department's intention to submit proposed waiver changes associated with Medicaid Expansion and provided an opportunity for comment. The following tribes were notified: Pamunkey Indian Tribe, Chickahominy Indian Tribe, Monacan Indian Nation Inc., Nansemond Indian Tribe, Rappahannock Tribe, and Upper Mattaponi Tribe.

Appendix A: Waiver Administration and Operation

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

   ○ **The waiver is operated by the State Medicaid agency.**

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

   ○ **The Medical Assistance Unit.**

   Specify the unit name:

   (Do not complete item A-2)

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

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

   (Complete item A-2-a).

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

   Specify the division/unit name:

Department of Behavioral Health and Developmental Services, Division of Developmental Services

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

Appendix A: Waiver Administration and Operation

2. **Oversight of Performance.**

   a. **Medicaid Director Oversight of Performance When the Waiver is Operated by another Division/Unit within the State Medicaid Agency.** When the waiver is operated by another division/administration within the umbrella agency designated as the Single State Medicaid Agency. Specify (a) the functions performed by that division/administration (i.e., the Developmental Disabilities Administration within the Single State Medicaid Agency), (b) the document utilized to outline the roles and responsibilities related to waiver operation, and (c) the methods that are employed by the designated State Medicaid Director (in some instances, the head of umbrella agency) in the oversight of these activities:
   As indicated in section 1 of this appendix, the waiver is not operated by another division/unit within the State Medicaid agency. Thus this section does not need to be completed.

   b. **Medicaid Agency Oversight of Operating Agency Performance.** When the waiver is not operated by the Medicaid agency, specify the functions that are expressly delegated through a memorandum of understanding (MOU) or other written document, and indicate the frequency of review and update for that document. Specify the methods that the Medicaid agency uses to ensure that the operating agency performs its assigned waiver operational and administrative functions in accordance with waiver requirements. Also specify the frequency of Medicaid agency assessment of operating agency performance:
   DMAS is responsible for appeals, conducting quality management reviews, contract monitoring of service authorization, paying provider claims and completing federal reports, including the demonstration of cost effectiveness. DMAS and DBHDS work together to develop provider rates and ensure budget monitoring and accountability. DBHDS has an active role in the development and recent redesigning of the waiver, development of provider (policy) manuals and regulations, development of state plan amendments, leadership of advisory groups of stakeholders, development of provider communications and official memoranda and responses to the public and legislators about concerns regarding the waiver, slot distribution and service authorization procedures and functions. DBHDS also manages the related waiting list and distributes slots to CSBs, performs service authorization activities for the waiver and provides training, technical assistance and consultation.

   The DMAS-DBHDS Interagency Agreement further describes and emphasizes the roles and responsibilities of the two agencies. It is reviewed annually and updated to ensure it reflects the current arrangement and is modified if changes or additions are needed.

   DBHDS, the operating agency, is the Commonwealth's single state agency for public mental health, developmental and substance abuse services. As the agency responsible for the daily policy development and management of the Family and Individual Support Waiver, the Interagency Agreement lists DBHDS's responsibilities as:

   1) DBHDS will certify to DMAS for purposes of provider enrollment the licensing status of programs and services licensed by DBHDS, as needed.

   2) DBHDS will actively participate in and advise DMAS as DMAS develops new managed care projects that include or affect any Medicaid-reimbursed mental health, intellectual disability, or substance use disorders services.

   3) Subject to review and approval by DMAS, DBHDS may subcontract services to other qualified organizations.

   4) The DBHDS Licensing Office will inform DMAS when negative action, such as sanctions or license revocations, have been initiated.

   5) DBHDS will serve as an expert witness, as needed, in provider and client appeal cases.
   6) DBHDS will provide data on a routine basis and as needed to respond to reporting requirements of CMS.

   7) DBHDS shall maintain a listing of providers licensed by DBHDS on their website.

   8) DBHDS will coordinate with the CSBs to obtain information as needed by DMAS for approval or denial of all out-of-state placements recommended by DBHDS.

   9) DBHDS shall manage daily operations and recommend design changes to the waiver for individuals with I/DD, with review and final approval by DMAS.

   10) DBHDS shall develop regulations, policy, procedures, provider memoranda, State Plan Amendments, and CMS Waiver

applications and subsequent amendments for the waivers for individuals with I/DD, with the input, review and final approval and submission by DMAS to the appropriate federal and state authorities.

11) DBHDS shall manage the waiver waiting lists and distribute slots to the Community Services Boards/Behavioral Health Authorities (CSBs) according to established criteria, procedures and CMS approved waiver applications. DBHDS shall develop a consistent set of guidelines to be applied statewide for slot assignment by the CSBs. DBHDS will monitor the assignment of slots by the CSBs necessary to comply with CMS requirements defined in the waiver.

12) DBHDS shall address questions and concerns from the public or legislators regarding waivers and slot distribution.

13) DBHDS will convene and serve as lead of advisory committees that pertain to these waivers.

14) DBHDS shall conduct the training, and provide the technical assistance, and consultation on these waivers and waiver-related services, and participate in training with DMAS.

15) DBHDS shall collaborate with DMAS in the development of the budget and agency funding priorities. DMAS shall provide data as needed to support this function and actively participate in the development process.

16) DBHDS shall include in its budget priorities and budget proposals funding for Waiver slots and Waiver program services.

17) DBHDS and DMAS shall perform quality management review functions to assure compliance with CMS waiver requirements and jointly meet as mutually agreed to review findings and recommend program enhancements.

18) DMAS shall provide for payment of claims that meet all necessary criteria for payment of services.

19) DMAS shall conduct reviews of waiver operations consistent with waiver application and Medicaid regulations. Review may include Quality Management Reviews, Utilization Review and monitoring of the agreement.

20) The State-designated agency or its contractor shall perform prior authorization for the waivers for individuals with I/DD.

21) The two agencies will meet the performance measures and assurances as set forth by CMS for waiver applications that are operated by DBHDS.

According to the same Interagency Agreement, DMAS, the single state agency maintains the following responsibilities for the administration of Medicaid-funded programs:

1) DMAS will develop and maintain the State Medical Assistance Plan, which is approved by the Centers for Medicare and Medicaid Services (CMS).

2) DMAS shall complete federal quarterly and other reports, including the demonstration of cost effectiveness and outcome measure reporting, for CMS. DMAS shall provide DBHDS sufficient notice of its need for information, provide review and comment by DBHDS and supply to DBHDS copies of reports made pursuant to this section.

3) DMAS will submit approved waiver documents and State Plan Amendments relating to waivers to CMS, following review and comment by DBHDS, with a final copy to DBHDS.

4) DMAS will participate in the development and review of and have final approval authority for all revisions made to policies, provider manuals, regulatory packages, State Plan Amendments, or amendments to the Code of Virginia.

5) DMAS shall review, sign, and send Medicaid memoranda to DBHDS to assure individuals and providers are informed as needed.

6) DMAS will pay valid provider claims submitted by qualified providers for covered services.

7) DMAS will collaborate with DBHDS in developing budget proposals and submissions and requests for funding in the Governor's budget for covered services.

8) DMAS has the right to terminate or retract payment to a provider due to licensing, health and safety issues or quality management or utilization review findings.

9) DMAS will respond to the public and legislators regarding claims processing and any other functions that are carried out solely by DMAS and over which DMAS has final authority.

10) DMAS will maintain provider agreements with community services boards and other providers and ensure that all providers meet applicable qualifications and render covered services to Medicaid-enrolled individuals. DMAS will notify DBHDS of providers of the services.

11) DMAS will notify the DBHDS, Office of Developmental Services and Office of Licensing for providers licensed by DBHDS, when significant quality of care issues are identified or when DMAS has a reasonable basis for believing that a provider is experiencing significant financial difficulties.

12) DMAS will receive and manage provider and client appeals and provide DBHDS copies of appeal decisions.

13) DMAS will keep DBHDS informed of changes in missions and policies of DMAS and CMS, forward related communications with CMS to DBHDS and facilitate regular collaborative discussions with DBHDS and CMS to ensure compliance with state and federal statutory and regulatory requirements.

14) DMAS will participate as requested in advisory groups of stakeholders.

15) DMAS shall serve as the lead for all of out-of-state waiver placements, in accordance with approved regulations, policies and procedures.

16) DMAS and DBHDS shall place on their respective web sites provider manuals, links to the other agency's website and any other information and documents needed by Medicaid providers.

17) DMAS shall provide information and data to DBHDS as needed to ensure the ability of DBHDS to carry out its responsibilities as outlined below.

18) DMAS will be responsible for provider rate-setting in consultation with DBHDS for rates under the DD waivers. DMAS will provide notice to providers about DD waivers rate changes. Final determination of all DD waivers rates paid remains with DMAS.

19) On a quarterly basis, DMAS shall, in collaboration with DBHDS, monitor the costs associated with the DD Waivers to ensure that the services provided remain cost effective.

20) DMAS will monitor prior-authorizations conducted by the State-designated agency or its contractor for criteria application, entry into Virginia Medicaid Medical Management System (VaMMIS) and processing time. DMAS will provide DBHDS a summary of findings and collaboratively work with DBHDS to correct any identified issues.

The two agencies work collaboratively to resolve issues that arise and require final approval by DMAS. DMAS provides guidance and oversight of DBHDS activities via joint quarterly operations meetings where issues are discussed and resolved. These meetings include collaborative efforts to develop performance measures, monitor progress toward those meeting those measures and identify barriers to completion. This group also identifies issues that may need to be addressed through the waiver, regulations or policy and procedure manuals.

DMAS' and DBHDS' staff also meet quarterly as a Quality Review Team (QRT) to review data, survey results and information used to monitor progress toward meeting CMS assurances and take steps to conduct remediation where it is indicated. The QRT also identifies trends and areas where systemic changes are needed to collect new data and information or improve its quality.

Appendix A: Waiver Administration and Operation

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

   ◉ **Yes. Contracted entities perform waiver operational and administrative functions on behalf of the Medicaid agency and/or operating agency (if applicable).**
   Specify the types of contracted entities and briefly describe the functions that they perform. *Complete Items A-5 and A-6.:*
   Virginia DMAS contracts with other entities to perform the following roles:

   1) Provider Enrollment Services for completion of provider enrollment, execution of provider agreements and management of the Virginia MMIS. Information on their services can be found at www.virginiamedicaid.dmas.virginia.gov.

   2) Fiscal/Employer Agent (FEA) for fiscal management services (FMS) for consumer-directed services. Additional information can be found at www.virginiamedicaid.dmas.virginia.gov.

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

Appendix A: Waiver Administration and Operation

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

○ **Not applicable**

◉ **Applicable** - Local/regional non-state agencies perform waiver operational and administrative functions.
Check each that applies:

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

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

The three main functions of the waiver administration and operation performed in part by the local Community Services Boards/Behavioral Health Authorities (CSBs) include:
1) Facilitating individual waiver enrollment;
2) Conducting the level of care evaluation; and
3) Coordinating the development of Individual Support Plans prior to service delivery.

These functions are completed by case managers employed or contracted by the CSBs as part of their Virginia statute dictated role as the single point of entry into the publicly-funded mental health, developmental, and substance abuse service system. In addition, these three functions are validated by DBHDS staff, who receive and review summaries of these elements from the CSBs/BHAs as part of the individual enrollment and service authorization processes, according to the DMAS-DBHDS Interagency Agreement. All of these functions are subject to review by the state Medicaid Agency through routine Quality Management Reviews.

CSBs are single or multiple jurisdictional entities established by local governments pursuant to section 37.2-500 or 37.2-600 of the Code of Virginia and are under the control of local elected officials (city council and board of supervisors' members who establish the CSB, approve its annual "performance contract" with DBHDS and appoint CSB board members.) The performance contract with which each CSB enters with DBHDS is for the purpose of funding services provided directly or contractually by the CSB in a manner that ensures accountability to DBHDS. It also ensures quality of services for individuals and implements the vision (articulated in DBHDS State Board Policy 1036, the DBHDS Vision Statement) of an individual-driven system of services and supports. This contract defines requirements and responsibilities for the CSB and DBHDS such as the scope of services to be provided, the population to be served, resource management, board responsibilities, state Department responsibilities, reporting requirements and dispute resolution.

DMAS additionally maintains a provider agreement with each CSB to support the provision of the above listed (and other) case management functions.

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

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

Appendix A: Waiver Administration and Operation

5. **Responsibility for Assessment of Performance of Contracted and/or Local/Regional Non-State Entities.** Specify the state agency or agencies responsible for assessing the performance of contracted and/or local/regional non-state entities in conducting waiver operational and administrative functions:
The Virginia Department of Medical Assistance Services (DMAS) maintains responsibility for assessing the performance of contracted entities for the Fiscal/Employer Agent (fiscal management services) and provider enrollment. DMAS also provides oversight of the MMIS. DMAS employs contract monitors to oversee the daily administrative operations of these contracted entities and to provide periodic evaluation of the outcomes and deliverables (described in the next section.)

As outlined in the Code of Virginia, the DBHDS functions as the state authority for the public mental health, developmental, and substance abuse services system; and Community Services Boards and the Behavioral Health Authorities (CSBs) function as the local authorities for that system. The relationship between and the roles and responsibilities of the Department and CSBs are described in applicable provisions of the Code of Virginia, State Board of Behavioral Health and Developmental Services policies, and the community services performance contract negotiated annually by the DBHDS with each CSB. DBHDS and CSBs enter into the performance contract to fund services provided directly or contractually by the CSBs in a manner that ensures accountability to DBHDS and quality of care for individuals receiving services and implements the DBHDS vision of a system of services and supports driven by individuals receiving services that promote self-determination, empowerment, recovery, resilience, health, and the highest possible level participation by individuals receiving services in all aspects of community life, including work, school, family, and other meaningful relationships.
The performance contract requires that the CSB address and report on performance expectations and goals as part of the Continuous

Quality Improvement Process supported by the Department. The CSB must report required data to the DBHDS about the demographic characteristics of individuals receiving services and the types and amounts of services it provides. The contract requires the CSB to account for all services, revenues, expenses, and costs accurately and submit reports to the Department in a timely manner. The performance contract is available on the DBHDS web site at http://www.dbhds.virginia.gov/behavioral-health/office-of-support-services.

For its part, the DBHDS disburses state general funds to each CSB subject to the CSB's compliance with the provisions of the performance contract. The DBHDS provides guidance, direction, and technical assistance to CSBs, licenses and monitors CSBs and other providers, and has the authority under the contract to utilize a variety of remedies, including requiring a corrective action plan, delaying payments, and terminating all or part of the contract, to assure CSB compliance with the contract.

Appendix A: Waiver Administration and Operation

6. **Assessment Methods and Frequency.** Describe the methods that are used to assess the performance of contracted and/or local/regional non-state entities to ensure that they perform assigned waiver operational and administrative functions in accordance with waiver requirements. Also specify how frequently the performance of contracted and/or local/regional non-state entities is assessed:
DMAS is responsible for the assessment of performance of all contracted entities and interagency agreements that perform waiver operational and/or administrative functions. Medicaid agency employees are assigned the duties of contract monitor to oversee and ensure the performance of the contracted entities and complete an evaluation every six months. Contract monitors are responsible for:

1) Coordinating and overseeing the day-to-day delivery of services under the contract, including assurance that information about the waiver is given to potential enrollees; that individuals are assisted with waiver enrollment; that level of care evaluations are completed; that waiver requirements are met according to the individual support plan; and that prior authorization is conducted in accordance with review criteria and approved procedures;
2) Ensuring that services are delivered in accordance with the contract and that deliverables are in fact delivered;
3) Approving invoices for payment in accordance with the terms of the contract;
4) Completing and submitting a semi-annual report to the DMAS Contract Officer;
5) Reporting any delivery failures or performance problems to the DMAS Contract Officer; and
6) Ensuring that the contract terms and conditions are not extended, increased, or modified without proper authorization.

The evaluation measures include:
1) Has the contractor/agency complied with all terms and conditions of the contract/agreement during the period of this evaluation?
2) Have deliverables required by the contract/interagency agreement been delivered on a timely basis?
3) Has the quality of services required by the contract/interagency agreement been satisfactory during the evaluation period?
4) Are there any issues or problems you wish to bring to management's attention at this time?
5) Do you need assistance in handling any issues or problems associated with the contract/interagency agreement?
6) From an overall standpoint, are you satisfied with the contractors/agency's performance?

In addition, DMAS oversees DBHDS as the operating agency, through annual monitoring of the interagency agreement, program and financial audits, ongoing quality management reviews and quarterly meetings of agency staff in the form of operational monitoring. In addition the DMAS-DBHDS Quality Review Team (QRT) meets quarterly to review data on the performance of providers, performance deficiencies, select remediation strategies, and determine the impact of implementing such strategies on individual issues and the overall system. The functions of the QRT are described fully in Appendix H.

DMAS reviews audit findings and corrective action plans to ensure that any deficiencies identified are remediated.

Appendix A: Waiver Administration and Operation

7. **Distribution of Waiver Operational and Administrative Functions.** In the following table, specify the entity or entities that have responsibility for conducting each of the waiver operational and administrative functions listed (*check each that applies*):
In accordance with 42 CFR §431.10, when the Medicaid agency does not directly conduct a function, it supervises the performance of the function and establishes and/or approves policies that affect the function. All functions not performed directly by the Medicaid agency must be delegated in writing and monitored by the Medicaid Agency. *Note: More than one box may be checked per item. Ensure that Medicaid is checked when the Single State Medicaid Agency (1) conducts the function directly; (2) supervises the delegated function; and/or (3) establishes and/or approves policies related to the function.*

Function	Medicaid Agency	Other State Operating Agency	Contracted Entity	Local Non-State Entity
Participant waiver enrollment	☑	☑	☑	☑
Waiver enrollment managed against approved limits	☑	☑	☐	☐
Waiver expenditures managed against approved levels	☑	☐	☐	☐
Level of care evaluation	☑	☑	☐	☑
Review of Participant service plans	☑	☑	☐	☑

Function	Medicaid Agency	Other State Operating Agency	Contracted Entity	Local Non-State Entity
Prior authorization of waiver services	☑	☑	☐	☑
Utilization management	☑	☐	☐	☐
Qualified provider enrollment	☑	☐	☑	☐
Execution of Medicaid provider agreements	☑	☐	☑	☐
Establishment of a statewide rate methodology	☑	☑	☐	☐
Rules, policies, procedures and information development governing the waiver program	☑	☑	☐	☐
Quality assurance and quality improvement activities	☑	☑	☐	☐

Appendix A: Waiver Administration and Operation

Quality Improvement: Administrative Authority of the Single State Medicaid Agency

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

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

i. **Performance Measures**

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

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

Where possible, include numerator/denominator.

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

Performance Measure:
1. Number and percent of satisfactory Medicaid-initiated operating agency and contractor evaluations. N: # of satisfactory Medicaid-initiated operating agency and contractor evaluations. D: Total # of Medicaid-initiated operating agency and contractor evaluations.

Data Source (Select one):
Provider performance monitoring
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:

	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☑ **Other** Specify: every 6 months	

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 Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number and percent of DBHDS provider memorandums pertaining the waiver approved by DMAS prior to being issued by DBHDS. N: # waiver provider memorandums issued by DBHDS that were approved by DMAS prior to being issued D: Total # of waiver provider memorandums issued by DBHDS.

Data Source (Select one):
Operating agency performance monitoring
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
3. Number and percent of slots allocated to CSBs in accordance with the standard, statewide slot allocation process. N: # of slots allocated statewide according to the standardized process D: # of slots allocated statewide.

Data Source (Select one):
Other
If 'Other' is selected, specify:
DBHDS reports for slot allocation

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 Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

b. Methods for Remediation/Fixing Individual Problems

i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
DMAS meets with the operating agency (DBHDS) quarterly (in the context of the Quality Review Team meeting) and as needed to review performance and discuss how problems identified will be remediated. Follow-up letters are sent by DMAS and reports are requested on the status of remediation and individual problems. DMAS may provide training and technical assistance to ensure problems that have identified are resolved.

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):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **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 Administrative Authority that are currently non-operational.

◉ **No**
○ **Yes**
Please provide a detailed strategy for assuring Administrative Authority, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix B: Participant Access and Eligibility

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

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

Target Group	Included	Target SubGroup	Minimum Age	Maximum Age	
				Maximum Age Limit	No Maximum Age Limit
☐ Aged or Disabled, or Both - General					
	☐	Aged			☐
	☐	Disabled (Physical)			
	☐	Disabled (Other)			
☐ Aged or Disabled, or Both - Specific Recognized Subgroups					
	☐	Brain Injury			☐
	☐	HIV/AIDS			☐
	☐	Medically Fragile			☐
	☐	Technology Dependent			☐
☑ Intellectual Disability or Developmental Disability, or Both					
	☑	Autism	0		☑
	☑	Developmental Disability	0		☑
	☑	Intellectual Disability	0		☑
☐ Mental Illness					
	☐	Mental Illness			☐
	☐	Serious Emotional Disturbance			

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

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

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

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

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

Specify the percentage:

○ **Other**

Specify:

○ **Institutional Cost Limit.** Pursuant to 42 CFR 441.301(a)(3), the State refuses entrance to the waiver to any otherwise eligible individual when the State reasonably expects that the cost of the home and community-based services furnished to that individual would exceed 100% of the cost of the level of care specified for the waiver. *Complete Items B-2-b and B-2-c.*

○ **Cost Limit Lower Than Institutional Costs.** The State refuses entrance to the waiver to any otherwise qualified individual when the State reasonably expects that the cost of home and community-based services furnished to that individual would exceed the following amount specified by the State that is less than the cost of a level of care specified for the waiver.

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

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

○ **The following dollar amount:**

Specify dollar amount:

The dollar amount *(select one)*

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

Specify the formula:

○ **May be adjusted during the period the waiver is in effect. The State will submit a waiver amendment to CMS to adjust the dollar amount.**

○ **The following percentage that is less than 100% of the institutional average:**

Specify percent:

○ **Other:**

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

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

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

- [ ] **Other safeguard(s)**

Specify:

Appendix B: Participant Access and Eligibility

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

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

Table: B-3-a

Waiver Year	Unduplicated Number of Participants
Year 1	2176
Year 2	2983
Year 3	3033
Year 4	3082
Year 5	3132

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

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

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

Table: B-3-b

Waiver Year	Maximum Number of Participants Served At Any Point During the Year
Year 1	2176
Year 2	2983
Year 3	2983
Year 4	2983
Year 5	2983

Appendix B: Participant Access and Eligibility

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

e. **Allocation of Waiver Capacity.**

Select one:

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

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

Virginia currently has a waiting list for waiver services for individuals with DD. With the initiation of its three amended waivers, this statewide, needs-based waiting list will consist of individuals grouped according to priority of needs. The overall, statewide waiting list is managed by the Virginia DBHDS.
When at least 40 new waiver slots are funded by the General Assembly, one slot will be allocated to each CSB. Additional slots, up to the total number of available slots for a given waiver, will be allocated to CSBs for individuals living within that CSB's catchment area based upon a weighted formula which will factor the following objective factors and criteria:

-the region's population,
-the percentage of Medicaid eligible individuals in the catchment area, and
-each CSB's percentage of individuals on the "Priority One" portion of the statewide waiting list.

When the General Assembly has approved less than 40 slots for a given waiver, the available slots will be divided between regions/sub-regions for distribution to the individual(s) in that region/sub-region who are determined to have the most urgent needs.
Individuals have comparable access to waiver services across the geographic areas served by the waiver due to the fact that slots are distributed in the above manner. This ensures that individuals in all areas of the state have an opportunity to receive waiver services, based on the urgency of their need, and areas with a high concentration of individuals with urgent need receive a greater share of slots in order to meet those needs. Individuals may receive waiver services in any area of the state.

Once allocated to a CSB or a regional/sub-regional group of CSBs, slots are assigned to individuals based on priority of need by a group of DBHDS trained, impartial volunteers from the area/region. These committees, known as Waiver Slot Advisory Committees (WSACs), review the needs of the highest scoring individuals within that region/sub-region. The entity which places the individual on the waiting list (i.e., CSB) may not determine who receives the next available slot.

When more than 40 newly funded slots are available in both the CL and FIS waivers at the same time, those slots will be allocated to the individual CSB according to the above methodology. Committee members will determine those in most need of a slot within the CSB based upon the total slots available between the CL and FIS waiver without knowledge of how many slots per referenced waiver. Once the WSAC has made the selection of individuals, DBHDS staff will then pair those individuals with the type of waiver slot that will best meet each individual's need (e.g., individuals with documented needs for a residential service only available in the CL waiver, such as group home residential, will be assigned a CL slot, while individuals seeking supports in the family or individuals' own home will be assigned a FIS slot).

When a waiver slot becomes available through attrition, that slot must be assigned by the CSB's WSAC to the individual who is determined to have the highest priority of need at that time in that CSB's catchment area.

If vacated slots cannot be assigned to an individual from the same CSB within 90 days, the slot is released to the CSBs within that region for distribution to individual in that region with the highest priority of need. If there should be no one on the "Priority One" portion of the statewide waiting list within the region, DBHDS will reallocate the slot to another region or CSB where there is unmet Priority One need.
Just as individuals retain their waiver slot when they move from one part of the state to another, individuals remain on the statewide waiting list regardless of movement from area to area within the state.

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

Waiver slot assignment is the pairing of an available (funded) waiver slot with the individual in most urgent need at the time. The slot assignment process is designed to ensure that the individual with the most urgent need in a particular locality receives a slot ahead of those with less urgent needs. Only individuals who need waiver services within 30 days and are at imminent risk of institutionalization will be assigned a waiver slot per 42 CFR 441.302.C.1-3.

Due to the fact that Virginia currently has a waiting list for individuals seeking DD waiver services, individuals who meet the diagnostic, level of care and financial criteria must also be found to meet criteria for priority of need in order to receive a slot. This must be documented in the individual's record and a sample of individuals on the waiting list is reviewed by DMAS Quality Management Review staff during their onsite reviews to assure that the criteria is being applied correctly.

There will be one waiting list from which individuals are selected for all three waivers. The waiting list will be divided into three categories: Priority One, Priority Two and Priority Three. Only when all individuals across the state in the Priority One category have been served may Priority Two (and then Priority Three) individuals access an DD slot. Individuals who are in the Priority 1 category who are determined to be most in need of supports at the time a slot is available are reviewed by the independent Waiver Slot Assignment Committee for the area in which the slot is available. The individual whose score indicates the highest need as designated by the committee, is offered the available slot. The committee reviews twice the number of people as available slots.

1. Priority One: individuals determined to meet one of the following criteria and require a waiver service within one year.
a. An immediate jeopardy exists to the health and safety of the individual due to the unpaid primary caregiver having a chronic or long-term physical or psychiatric condition or conditions that significantly limit the ability of the primary caregiver or caregivers to care for the individual; there are no other unpaid caregivers available to provide supports.
b. There is immediate risk to the health or safety of the applicant, primary caregiver, or other person living in the home due to either of the following conditions:
(1) The individual's behavior or behaviors, presenting a risk to himself or others, cannot be effectively managed by the primary caregiver or unpaid provider even with services coordinator/case manager-arranged generic or specialized supports; or
(2) There are physical care needs, such as lifting or bathing, or medical needs that cannot be managed by the primary caregiver even with services coordinator/case manager-arranged generic or specialized supports;
c. The individual lives in an institutional setting and has a viable discharge plan; OR
d. The individual is a young adult transitioning who is no longer eligible for IDEA services. After age 27, this criterion will no longer apply.

2. Priority Two: individuals meet one of the following criteria and a service is needed in one to five years.
a. The health and safety of the individual is likely to be in future jeopardy due to
i. The unpaid primary caregiver or caregivers having a declining chronic or long-term physical or psychiatric condition or conditions that significantly limit his ability to care for the individual;
ii. There are no other unpaid caregivers available to provide supports; and
iii. The individual's skills are declining as a result of lack of supports;
b. The individual is at risk of losing employment supports;
c. The individual is at risk of losing current housing due to a lack of adequate supports and services; or
d. The individual has needs or desired outcomes that with adequate supports will result in a significantly improved quality of life.

3. Priority Three: the individual may not need to access a waiver slot for more than five years as long as the current supports and services remain.
a. The individual is receiving a service through another funding source that meets current needs;
b. The individual is not currently receiving a service but is likely to need a service in five or more years; or
c. The individual has needs or desired outcomes that adequate supports will result in a significantly improved quality of life.

Between the three DD waivers, assignment to a slot in the Family and Individual Supports (FIS) waiver will typically take precedence. Individuals may be considered for a slot in one of the other two IDD waivers based upon the following:
• The individual's needs cannot be met within the FIS Waiver due to the level and intensity of supports required,
• The individual is requesting and has a demonstrated need for services which are not available within in the FIS Waiver, nor can be coordinated with EPSDT (for children), or
• The individual is in an emergency status or found to have the highest priority of need at the time a slot is available and, while the FIS waiver can meet his/her need, the only available slot is in another waiver.

Individuals may request a reserve slot in order to transfer to another waiver based upon the following:

• The individual desires to live more independently and shift to a different waiver (i.e., movement from the Community Living waiver to the FIS Waiver or from either of those to waivers to the Building Independence waiver), or
• The individual is confirmed to have imminent increasing support needs and requires more intense services available in another waiver.

Appendix B: Participant Access and Eligibility

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

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

Appendix B: Participant Access and Eligibility

B-4: Eligibility Groups Served in the Waiver

a.

1. **State Classification.** The State is a *(select one)*:
   - ○ **§1634 State**
   - ○ **SSI Criteria State**
   - ◉ **209(b) State**

2. **Miller Trust State.**
   Indicate whether the State is a Miller Trust State *(select one)*:
   - ◉ **No**
   - ○ **Yes**

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

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

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

  Select one:

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

  Specify percentage: 80

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

  Specify:

  Caretaker relatives specified at 435.110, pregnant women specified at 435.116, and children specified at 435.118.

  Coverage for individuals age 19 or older and under age 65 in accordance with 435.119

Special home and community-based waiver group under 42 CFR §435.217) *Note: When the special home and community-based waiver group under 42 CFR §435.217 is included, Appendix B-5 must be completed*

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

Select one and complete Appendix B-5.

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

Check each that applies:

- ☐ **A special income level equal to:**

  Select one:

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

    Specify percentage: ☐
  - ○ **A dollar amount which is lower than 300%.**

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

  Select one:

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

    Specify percentage amount: ☐
- ☐ **Other specified groups (include only statutory/regulatory reference to reflect the additional groups in the State plan that may receive services under this waiver)**

  Specify:

Appendix B: Participant Access and Eligibility

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

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

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

Note: For the five-year period beginning January 1, 2014, the following instructions are mandatory. The following box should be checked for all waivers that furnish waiver services to the 42 CFR §435.217 group effective at any point during this time period.

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

Complete Items B-5-e (if the selection for B-4-a-i is SSI State or §1634) or B-5-f (if the selection for B-4-a-i is 209b State) and Item B-5-g unless the state indicates that it also uses spousal post-eligibility rules for the time periods before January 1, 2014 or after December 31, 2018.

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

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

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

(●) **Use spousal post-eligibility rules under §1924 of the Act.**
(Complete Item B-5-c (209b State) and Item B-5-d)

( ) **Use regular post-eligibility rules under 42 CFR §435.726 (SSI State) or under §435.735 (209b State)**
(Complete Item B-5-c (209b State). Do not complete Item B-5-d)

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

Appendix B: Participant Access and Eligibility

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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*):

( ) **The following standard included under the State plan**

(*select one*):

( ) **The following standard under 42 CFR §435.121**

Specify:

( ) **Optional State supplement standard**

( ) **Medically needy income standard**

( ) **The special income level for institutionalized persons**

(*select one*):

( ) **300% of the SSI Federal Benefit Rate (FBR)**

( ) **A percentage of the FBR, which is less than 300%**

Specify percentage:

( ) **A dollar amount which is less than 300%.**

Specify dollar amount:

○ **A percentage of the Federal poverty level**

Specify percentage:

○ **Other standard included under the State Plan**

Specify:

○ **The following dollar amount**

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

◉ **The following formula is used to determine the needs allowance:**

Specify:

The basic maintenance needs for an individual are equal to 165% of the SSI payment for one person. Due to expenses of employment, a working individual shall have an additional income allowance. For an individual employed 20 hours or more per week, earned income shall be disregarded up to a maximum of 300% of SSI; for an individual employed at least 8 hours but less than 20 hours per week, earned income shall be disregarded up to a maximum of 200% SSI. If the individual requires a guardian or conservator who charges a fee, the fee, not to exceed an amount greater than 5% of the individual's total monthly income, is added to the maintenance needs allowance. However, in no case shall the total amount of the maintenance needs allowance (basic allowance plus earned income allowance plus guardianship fees) for the individual exceed 300% of SSI.

○ **Other**

Specify:

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

◉ **Not Applicable**

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

Specify:

Specify the amount of the allowance (*select one*):

○ **The following standard under 42 CFR §435.121**

Specify:

○ **Optional State supplement standard**

○ **Medically needy income standard**

○ **The following dollar amount:**

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

○ **The amount is determined using the following formula:**

Specify:

iii. Allowance for the family (*select one*):

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

  Specify dollar amount: [ ] The amount specified cannot exceed the higher of the need standard for a family of the same size used to determine eligibility under the State's approved AFDC plan or the medically needy income standard established under 42 CFR §435.811 for a family of the same size. If this amount changes, this item will be revised.
- ○ **The amount is determined using the following formula:**

  Specify:

- ○ **Other**
  Specify:

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

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

Select one:

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

  Specify:

Appendix B: Participant Access and Eligibility

B-5: Post-Eligibility Treatment of Income (4 of 7)

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

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

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

i. Allowance for the personal needs of the waiver participant

(*select one*):

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

  Specify percentage: [ ]
- ○ **The following dollar amount:**

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

◉ **The following formula is used to determine the needs allowance:**

Specify formula:

The basic maintenance needs for an individual are equal to 165% of the SSI payment for one person. Due to expenses of employment, a working individual shall have an additional income allowance. For an individual employed 20 hours or more per week, earned income shall be disregarded up to a maximum of 300% of SSI; for an individual employed at least 8 hours but less than 20 hours per week, earned income shall be disregarded up to a maximum of 200% SSI. If the individual requires a guardian or conservator who charges a fee, the fee, not to exceed an amount greater than 5% of the individual's total monthly income, is added to the maintenance needs allowance. However, in no case shall the total amount of the maintenance needs allowance (basic allowance plus earned income allowance plus guardianship fees) for the individual exceed 300% of SSI.

○ **Other**

Specify:

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

Select one:

◉ **Allowance is the same**

○ **Allowance is different.**

Explanation of difference:

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

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

Select one:

○ **Not Applicable (see instructions)***Note: If the State protects the maximum amount for the waiver participant, not applicable must be selected.*

◉ **The State does not establish reasonable limits.**

○ **The State uses the same reasonable limits as are used for regular (non-spousal) post-eligibility.**

Appendix B: Participant Access and Eligibility

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

Answers provided in Appendix B-5-a indicate the selections in B-5-c also apply to B-5-f.

Appendix B: Participant Access and Eligibility

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

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

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

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

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

Appendix B: Participant Access and Eligibility

B-6: Evaluation/Reevaluation of Level of Care

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

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

i. Minimum number of services.

The minimum number of waiver services (one or more) that an individual must require in order to be determined to need waiver services is: 1

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

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

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

Services must be furnished at least quarterly. Case managers will continue to monitor all individuals enrolled in the waiver at least monthly. Monthly activity with the enrolled waiver individual is conducted by the Case Manager, to include a quarterly face to face interaction. Monthly activity includes a contact or collateral contact such as a visit or phone call to the individual, a family member, provider, physician etc. The face-to-face contacts must be completed at least quarterly.

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

- ○ **Directly by the Medicaid agency**
- ○ **By the operating agency specified in Appendix A**
- ◉ **By an entity under contract with the Medicaid agency.**

Specify the entity:

The CSB case manager (employed by or contracted with a CSB under contract with DMAS) performs the level of care evaluation. The selected case manager (CSB or private) performs the level of care reevaluation. The results of the evaluation/reevaluation are transmitted to DBHDS for review and confirmation of eligibility.

- ○ **Other**

Specify:

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

For case management services to receive Medicaid reimbursement, the individual employed as a case manager must have, at entry level, qualifications that are documented or observable to include:

Knowledge of
1. Services and systems available in the community including primary health care, support services, eligibility criteria and intake processes and generic community resources;
2. The nature of developmental disabilities, mental illness, substance abuse (substance use disorders), or co-occurring disorders depending on the individuals served, including clinical and developmental issues;
3. Different types of assessments, including functional assessment, and their uses in service planning;
4. Treatment modalities and intervention techniques, such as behavior management, independent living skills training, supportive counseling, family education, crisis intervention, discharge planning, and service coordination;
5. Types of developmental disability, mental health, and substance abuse programs available in the locality;
6. The person-centered service planning process and major components of a person-centered support plan;
7. The use of medications in the care or treatment of the population served; and
8. All applicable federal and state laws and regulations and local ordinances.

Skills in
1. Identifying and documenting an individual's need for resources, services, and other supports;
2. Using information from assessments, evaluations, observation, and interviews to develop person-centered service plans;
3. Identifying and documenting how resources, services, and natural supports such as family can be utilized to promote achievement of an individual's personal life goals; and
4. Coordinating the provision of services by diverse public and private providers.

Abilities to
1. Work as team members, maintaining effective inter- and intra-agency working relationships;
2. Work independently performing position duties under general supervision; and
3. Engage in and sustain ongoing relationships with individuals receiving services.

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.

To ensure that Virginia's home and community-based waiver programs serve only individuals who would otherwise be placed in an ICF/IID, home and community-based waiver services shall be considered only for individuals who are eligible for admission to an ICF/IID. For the case manager to make a recommendation for waiver services, waiver services must be determined to be an appropriate service alternative to delay or avoid placement in an ICF/IID, or promote exiting from either an ICF/IID placement or other institutional placement.

The “Virginia Individual Developmental Disabilities Eligibility Survey” or “VIDES” is based on the Level of Functioning Survey and maintains the categories in that tool. Therefore, it is comparable to the LOF. The LOF is currently used for institutional eligibility. The state administrative code is in the process of being modified in order to adopt the VIDES for institutional use. There is a version of the VIDES for infants (birth through 2 years of age) and a version for children (three years through 17 years). The adult version is for those aged 18 and older. The adult and children’s versions of the VIDES assess individuals in the areas of health status, communication, task learning, personal/self-care, behavior, community living, and self-direction skills. The infants’ version assesses those birth through 2 years in the areas of health status, communication, task learning, motor, and social/emotional skills.

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

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

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

The instrument used to determine the waiver’s level of care (the “Virginia Individual Developmental Disabilities Eligibility Survey” or “VIDES”) was directly derived from the institutional level of care tool (the “Level of Functioning Survey” or “LOF”). The LOF was developed approximately 30 years ago and contained institutional language. The language was updated to be community-centric and person-centered. Nearly all young children (even those without disabilities) would meet the criteria under the LOF; therefore, age appropriate versions were created for children 3 through 17 (“Children’s VIDES”) as well as for infants birth to 3 (Infants’ VIDES). Because of the age of the LOF and the fact that it was originally designed to assess individuals with ID only, elements of self-determination, which are particularly relevant for persons with non-ID developmental disabilities were not a component of the instrument. An additional category was added to the adult and children’s versions of the VIDES regarding self-determination. The overall scoring was adjusted to ensure consistency of results between the VIDES and LOF. The Commonwealth is currently in the process of promulgating regulations to extend the use of the VIDES to those in ICF/IID settings so that, once again, there will be a single LOC tool for both waiver and institutional populations.

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 comprehensive assessment process must be completed by the case manager to support the waiver level of care and determine the individual's need for services and supports provided by the waiver, as well as the individual's desired outcomes. This involves the case manager gathering relevant social, psychological, medical and level of care information and serves as the basis for the development of the individual support plan.

The case manager shall initially recommend the individual for waiver services after completion of a comprehensive assessment of the individual's needs and available supports. The comprehensive assessment includes:

a) Relevant medical information based on a medical examination completed no earlier than 12 months prior to the initiation of waiver services;
b) The assessment that demonstrates the individual's needs for specific services. The assessment must be a DBHDS approved assessment (currently the Supports Intensity Scale® completed by an independent contractor or other developmentally appropriate assessment for children) completed no earlier than 12 months prior to enrollment;
c) The VIDES (level of care instrument) completed no more than six months prior to enrollment. The CSB determines whether the individual meets the ICF/IID criteria with input from the individual, his family/caregiver, as appropriate, and service/support providers involved in the individual's support in the community; and
d) The appropriate diagnostic evaluation that confirms DD. For individuals with an intellectual disability, this is a psychological evaluation that reflects the current psychological status (diagnosis), current cognitive abilities, and current adaptive level of functioning of the individual. For an individual with a non-ID developmental disability, this may take the form of an evaluation by a physician or other professional licensed to make the determination of developmental disability as defined by Virginia Code (§ 37.2-100).

The case manager shall complete a reassessment annually in coordination with the individual and his family/caregiver, as appropriate, and service/support providers. The reassessment shall include an update of the level of care and other assessment as needed. If warranted, the case manager shall coordinate a medical examination and a psychological evaluation for the individual. The individual support plan shall be revised as appropriate.

The medical examination must be completed for adults based on need identified by the individual and his family/caregiver, as appropriate, provider, case manager, or DBHDS staff. Medical examinations and screenings for children must be completed according to the recommended frequency and periodicity of the EPSDT program.

A new diagnostic evaluation shall be required whenever the individual's functioning has undergone significant change and is no longer reflective of the past evaluation.

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

- ○ **Every three months**
- ○ **Every six months**
- ◉ **Every twelve months**
- ○ **Other schedule**
  Specify the other schedule:

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

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

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

The State will employ the following procedures to ensure timely reevaluations of level of care:

1. Annual reevaluation is a component part of case management;
2. Case managers must annually report to DBHDS the date each level of care reevaluation is completed and the categories met; and
3. DMAS Quality Management Review staff will include monitoring of the completion of level of care reevaluations as a component of their on-site case management service reviews.

Case managers are required to re-evaluate the level of care no more than 365 days beyond the date of the last evaluation.

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

Records of evaluations and reevaluations of level of care will be maintained in the following locations for a period of at least six years:

1. By the case manager (initial evaluations and reevaluations), and
2. By DBHDS (summaries of the results and dates completed for both initial levels of care and reevaluations are maintained in the electronic waiver management system).

Appendix B: Evaluation/Reevaluation of Level of Care

Quality Improvement: Level of Care

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

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

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

i. **Sub-Assurances:**

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

Performance Measures

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

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

Performance Measure:
1. Number and percent of all new enrollees who have a level of care evaluation prior to receiving waiver services. N: # of new enrollees who have level of care evaluation prior to receiving waiver services D: total # of new enrollees

Data Source (Select one):
Other
If 'Other' is selected, specify:
Waiver Management System

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:

	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. The number and percent of VIDES (LOC) completed within 60 days of application for those for whom there is a reasonable indication that services may be needed in the future. N: # of VIDES completed within 60 days for new applicants D: total # of new applicants for whom there is a reasonable indication that services may be needed in the future.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Waiver Management System

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:

	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

Performance Measures

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

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

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

Performance Measures

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

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

Performance Measure:
1. Number and percent of VIDES determinations that followed the required process, defined as completed by a qualified CM, conducted face-to-face with individual and those who know him (if needed). N: # of VIDES determinations that followed the required process D: total # of VIDES forms reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number and percent of VIDES determinations for which the appropriate number of criterial were met to enroll or maintain a person in the waiver N: # of VIDES determinations that use criteria appropriately to enroll or maintain a person in the waiver D: total # VIDES forms reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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.
CSB staff are given a certain number of records for each waiver (representative sample based on the number of individuals they support on each waiver) to review annually. The form that they must use includes questions from the performance measures and is located on Survey Monkey. Each quarter, these staff review approximately one quarter of their total assigned number of records and respond to the questions regarding each record. DBHDS staff reviews and summarizes the information for inclusion in the quarterly report regarding performance measures reviewed by DMAS and DBHDS staff.
DMAS and DBHDS have found that this is an effective means to ensure that CSB supervisors/QA staff are examining individuals' records with an eye to waiver performance measures expectations and providing feedback/remediation to their staff as needed. For each of the measures reviewed by CSB staff, there is typically another source of data (e.g., Quality Management Reviews).

b. Methods for Remediation/Fixing Individual Problems

i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
For those performance measures initially reviewed by case managers, it is the responsibility of the case management supervisor or quality assurance staff to address problems related to the VIDES and report their resolution to the Quality Review Team (QRT) through DBHDS on a quarterly basis. The results of the record reviews, as well as the actions taken by these staff persons, are reviewed by the QRT for appropriateness. Inappropriate actions or failure to take action will be referred to DBHDS technical assistance staff to address with the offender. DBHDS technical assistance staff will contact CSBs demonstrating significant problems complying with the intent of these assurances. Another possible action is for DMAS to target agencies with deficiencies for Quality Management Reviews (QMRs).

DMAS QMR staff who identify problems with VIDES through record reviews will require the case management provider to submit and follow a corrective action plan. Serious violations (such as missing VIDES) may be referred to the DMAS Provider Integrity unit for payment retraction.

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):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **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.

◉ **No**
○ **Yes**
Please provide a detailed strategy for assuring Level of Care, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix B: Participant Access and Eligibility

B-7: Freedom of Choice

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

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

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

Once the case manager has determined that the individual meets functional and diagnostic criteria for the waiver (i.e., confirmed respectively by the VIDES and a psychological evaluation or other evaluation by a physician or other professional licensed to make the determination of developmental disability as defined by Virginia Code (§ 37.2-100, he or she:

1. Offers the individual (and legal guardian or family member/caregiver, as applicable) the choice of waiver or ICF/IID services. At this same juncture, the case manager informs the individual of the full array of services offered in this waiver for which he or she is eligible (including both consumer and agency-directed services). The case manager documents the individual's choice of waiver services or institutional care, as well as the review of all waiver services by obtaining signatures on the "Documentation of Individual Choice between Institutional Care or Home and Community-Based Services" form (DMAS 459-C).

If the individual (and family member/caregiver, as applicable) selects waiver services, confirmation of the completion of the "Documentation of Individual Choice between Institutional Care or Home and Community-Based Services" form is submitted to DBHDS for enrollment or placement on the statewide waiting list via the waiver management system. If the individual (and family member/caregiver, as applicable) selects ICF/IID placement, the case manager assists the individual with this option.

2. Once a slot has been identified for the individual and he or she has been enrolled into the waiver, the case manager meets with the individual (and family/caregiver, as applicable), to determine the individual's needs and supports necessary to provide appropriate services to the individual. At this point, the case manager provides a list to the individual (and family/caregiver, as appropriate) of the names of all available service providers in the applicable area of the state, arranges for visits or interviews with the providers, as desired, confirms that any interested provider has a current DMAS participation agreement to provide the desired service and then documents in writing the individual's choice of waiver providers on the "Virginia Home and Community-Based Waiver Choice of Providers" form (DMAS 460). While individuals always have the option to change providers if desired, this form is only required to be completed again when new waiver services are initiated or when the individual is dissatisfied with the current provider and the issues cannot be resolved. Individuals who choose to receive services within an ICF/IID are provided these services in-state if available through private ICF/IID providers. If ICF/IID services are not available in-state, the individual has the opportunity to receive services in an ICF/IID located out of state.

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.

Both the "Documentation of Individual Choice between Institutional Care or Home and Community-Based Services" and "Virginia Informed Choice" forms are retained by the case manager for at least six years after the individual's final receipt of service for adults; forms are kept for children until 18 years of age plus six years. These are maintained in the case managers' records/EHR.

Appendix B: Participant Access and Eligibility

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

Access to Services by Limited English Proficient Persons. Specify the methods that the State uses to provide meaningful access to the waiver by Limited English Proficient persons in accordance with the Department of Health and Human Services "Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons" (68 FR 47311 - August 8, 2003):
Language translation services are available through a contracted entity, providing interpretation services for 150 different languages. All forms are available in alternative formats upon request.

Virginia offers any prospective or current Medicaid participants Language Line Solutions services to provide over the phone interpretation services when communicating with DMAS or contracting entities. Applications for benefits ask what language is spoken so that staff at the Virginia Department of Social Services are aware this language line may be needed. In addition, applications for birth certificates to verify identity and citizenship as part of the application for Medicaid benefits, are available in Spanish from the Virginia Department of Health (VDH) at http://www.vdh.virginia.gov/vital Records/vtlapp.htm. Additionally, VDH serves as the state clearinghouse for information on laws, policies, reports, training, conferences and other facets of linguistic services. Most of the training and services offered are available to providers serving Medicaid applicants and participants. Please see their web site for details. http://www.vdh.virginia.gov/ohpp/CLASact/default.aspx.

CSBs, the entities responsible for receiving waiver applications, enrolling individuals and communicating with individuals during the supports planning process are bound by a State Behavioral Health and Developmental Services Board policy which states:

"It is the policy of the Board that the Department, state facilities, and CSBs shall provide services to individuals in the public behavioral health and developmental services system in a manner that is sensitive to their beliefs, norms, values, traditions, customs, and language regardless of their racial, ethnic, or cultural backgrounds. Consistent with this policy, the Department, state facilities, and CSBs shall develop mechanisms to facilitate the involvement of the community and individuals receiving services in the design and implementation of culturally

and linguistically appropriate behavioral health and developmental services."

See http://www.dbhds.virginia.gov/library/document-library/adm-sbpolicies1023.pdf for the full policy statement. DBHDS has an Office of Cultural and Linguistic Competency, which works with the CSBs to provide technical support for the development of further resources for cultural and linguistic competency at a regional level.

Appendix C: Participant Services

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

a. **Waiver Services Summary.** *List the services that are furnished under the waiver in the following table. If case management is not a service under the waiver, complete items C-1-b and C-1-c:*

Service Type	Service		
Statutory Service	Group Day Services		
Statutory Service	In-Home Support Services		
Statutory Service	Individual Supported Employment		
Statutory Service	Personal Assistance Services		
Statutory Service	Respite Services		
Supports for Participant Direction	Services Facilitation		
Other Service	Assistive Technology		
Other Service	Benefits Planning		
Other Service	Center-based Crisis Supports		
Other Service	Community Coaching		
Other Service	Community Engagement		
Other Service	Community Guide		
Other Service	Community-based Crisis Supports		
Other Service	Companion Services		
Other Service	Crisis Support Services		
Other Service	Electronic Home-Based Supports		
Other Service	Employment and Community Transportation		
Other Service	Environmental Modifications		
Other Service	Group Supported Employment		
Other Service	Individual and Family/Caregiver Training		
Other Service	Peer Mentor Supports		
Other Service	Personal Emergency Response System (PERS)		
Other Service	Private Duty Nursing		
Other Service	Shared Living		
Other Service	Skilled Nursing		
Other Service	Supported Living Residential		
Other Service	Therapeutic Consultation		
Other Service	Transition Services		
Other Service	Workplace Assistance		

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Day Habilitation

Alternate Service Title (if any):

Group Day Services

HCBS Taxonomy:

Category 1: 04 Day Services

Sub-Category 1: 04020 day habilitation

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

Service Definition *(Scope):*
Group Day Services include skill building or supports for the acquisition, retention, or improvement of self-help, socialization, community integration, employability and adaptive skills. These services take place in nonresidential settings, separate from the individual's home. They provide opportunities for peer interactions, community integration, and enhancement of social networks. Supports may be provided to ensure an individual's health and safety. Skill building is a required component of this service unless the individual has a documented degenerative condition, in which case day support may focus on maintaining skills and functioning and preventing or slowing regression rather than acquiring new skills or improving existing skills. Group Day Services should be coordinated with any physical, occupational, behavioral, or speech/language therapies listed in the person-centered plan.

The allowable group day support services are
:
a. Developing problem-solving, sensory, gross and fine motor, communication and personal care skills;

b. Developing self, social, and environmental awareness skills;

c. Developing skills as needed in positive behavior, using community resources, community safety and positive peer interactions, volunteering and educational programs in integrated settings, forming community connections or relationships;

d. Supporting older adults in participating in meaningful retirement activities in their communities, i.e., clubs and hobbies; and

e. Career planning and resume developing based on career goals, personal interests, and community experiences.

f. Group day services shall be coordinated with the therapeutic consultation plan, as applicable.

Transportation is included as part of the service. The provider may be reimbursed for the time spent transporting the individual to community locations as part of waiver billing.

CUSTOMIZED RATE:
There is a small cohort of individuals (particularly individuals being discharged from the Training Center who are extremely medically fragile and/or behaviorally challenged), for whom customized rates for this service will be necessary.
These extremely medically fragile and/or behaviorally challenged individuals are those whose support needs place them in levels six or seven but who have a higher level of need than will be accommodated by the tier four rates, as well as any individual for whom it is determined that the only other resource is to be served out of state, in a state operated mental health or DD facility, or in a more restrictive environment. They are identified as those who require greater support in order to find in-state providers willing to serve them. These individuals' needs outweigh the resources provided within the current waiver rate structure. Their needs may warrant:
• Increased staffing ratios, and/or
• Higher credentialed staff, and/or
• Increased programmatic oversight.

Individuals with extraordinary behavioral needs are defined as individuals who threaten the safety of staff and others around them, require increased staffing to immediately address behavioral incidents, require direct 1:1 or 2:1 intervention to mitigate harm to themselves, others, property, or prevent serious incidents in the community to preclude police involvement and/or arrest. Often, these individuals' challenging behaviors are triggered spontaneously, necessitating providers to staff individuals at 1:1 or 2:1 (depending on the severity of the behavior) for some or all of the day. Other individuals require constant supervision to mitigate the frequency of these very challenging behaviors. Individuals who have a high frequency of such behaviors will routinely require additional hours of 1:1 or 2:1 supports. This level of staff intervention allows for appropriate supervision both

in the home, as well as in the community to prevent and/or reduce social isolation. Shared staffing ratios in these more unique cases (as typically occur in group homes and day services) often do not provide adequate oversight as staff is required to work directly with such individuals to prevent, mitigate, or respond immediately to behavioral incidents, while another staff protects others in the area to ensure all individuals in the setting are safe. In addition, the supervision and oversight required by more experienced/highly trained direct support staff requires clinical professionals who are themselves more highly trained and experienced than is routinely expected/present in these service settings.

Medically, an individual may require 1:1 or 2:1 staff support when he has a health history or recent health complication that puts him at risk for acute medical complications resulting in hospitalization or death. For example, an individual may require 1:1 during meal time due to severe risk of aspiration; another may require 2:1 during transfers due to a combination of illnesses such as dementia and osteoporosis, resulting in an increased risk of falling that is so high that he may sustain a fracture or head injury. In an effort to fully integrate individuals with severe medical conditions into the community, increased staff are provided during transition periods to prevent emergency medical activities. Staff may require more frequent or intensive training to have the skills needed to perform more challenging health supports such as total personal care and the implementation of nursing delegated tasks. Licensed professionals may need to provide additional supports outside of waiver funding to protect a person's health and safety such as facilitating hospital admissions and discharges, interfacing with the hospital team and providing generalized staff training on skills not covered by typical staff training programs.

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

The service unit is an hour. Group day services, alone or in combination with Community Engagement, Community Coaching, Workplace Assistance, and/or Supported Employment services are limited to no more than 66 hours per week.

Support ratios should be based on the activity and the individual's needs as determined by the person-centered plan and limited to a ratio of no more than 7 individuals supported by 1 staff person.

Reimbursements for Group Day services shall not be used to provide Meals as part of this service. Group Day Services occur one or more hours per day on a regularly scheduled basis for one or more days per week.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Group Day Services Provider

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Group Day Services

Provider Category:
Agency

Provider Type:
Group Day Services Provider

Provider Qualifications

License *(specify)*:
Group day service providers must be licensed by DBHDS as a provider of
- center-based day support services OR
- non-center-based day support services

Certificate *(specify)*:

Other Standard *(specify)*:
Providers must have a current DMAS Participation Agreement to provide Day Support services. The provider designated in the Participation Agreement must directly provide the services and bill DMAS for reimbursement.

Providers must also assure that persons providing group day services have received training in the characteristics of

developmental disabilities and appropriate interventions, training strategies and other methods of supporting individuals with functional limitations prior to providing waiver services and pass an objective standardized test of skills, knowledge, and abilities approved by DBHDS that must be administered according to DBHDS' defined procedures.

Verification of Provider Qualifications

Entity Responsible for Verification:

DMAS's Provider Enrollment Unit verifies that the requirements set forth in regulations are met by service providers.

DBHDS Office of Licensing verifies that providers of group day services meet DBHDS licensing standards.

DMAS Quality Management Review (QMR) staff verifies that staff has received the required training.

Frequency of Verification:

Initially and periodically every two years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Residential Habilitation

Alternate Service Title (if any):

In-Home Support Services

HCBS Taxonomy:

Category 1:	Sub-Category 1:
08 Home-Based Services	08010 home-based habilitation
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope)*:

In-Home Support services are residential services that take place in the individual's home, family home, or community settings and typically supplement an individual's ability to meet his own needs. In-Home Support services are designed to ensure the health, safety and welfare of the individual. These services shall consist of skill-building, routine supports, general supports, and safety supports, that enable an individual to acquire, retain, or improve the self-help, socialization, and adaptive skills necessary to reside successfully in home and community-based settings. Payment is not to be made for the cost of room and board, including the cost of building maintenance, upkeep and improvement.

Each individual and family/caregiver, family, or caregiver shall have a back-up plan for the individual's needed supports in case the DSP does not report for work as expected or terminates employment without prior notice.

The allowable activities are:

1) Skill-building related to personal care activities (toileting, bathing, and grooming; dressing; eating; mobility; communication; household chores; food preparation; money management; shopping, etc.);

2) Skill-building related to the use of community resources (transportation, shopping, dining at restaurants, participating in social and recreational activities, etc.);

3) Supporting the individual in developing the ability to replace challenging behavior with positive, accepted behavior for home and community environments, for example (not all inclusive):

- Developing a circle of friends;

- Handling social encounters with others; or

- Redirecting challenging behavior.

4) Monitoring health and physical conditions and providing supports with medication or other medical needs;

5) Providing supports with personal care, ADLs, and use of community resources, for example (not all-inclusive):

- Completing personal care or mealtime tasks when physically unable to do so; or

- Completing daily tasks, such as laundry, meal preparation, using the bank, or other tasks essential to the individual's health and welfare.

6) Supporting with transportation to and from community resources; and

7) Providing safety supports to ensure the individual's health and safety.

In-home Support services include the expectation of the presence of a skills development (formerly called training) component, along with the provision of supports, as needed.

CUSTOMIZED RATE:
There is a small cohort of individuals (particularly individuals being discharged from the Training Center who are extremely medically fragile and/or behaviorally challenged), for whom customized rates for this service will be necessary.

These extremely medically fragile and/or behaviorally challenged individuals are those whose support needs place them in levels six or seven but who have a higher level of need than will be accommodated by the tier four rates, as well as any individual for whom it is determined that the only other resource is to be served out of state, in a state operated mental health or DD facility, or in a more restrictive environment. They are identified as those who require greater support in order to find in-state providers willing to serve them. These individuals' needs outweigh the resources provided within the current waiver rate structure. Their needs may warrant:
• Increased staffing ratios, and/or
• Higher credentialed staff, and/or
• Increased programmatic oversight.

Individuals with extraordinary behavioral needs are defined as individuals who threaten the safety of staff and others around them, require increased staffing to immediately address behavioral incidents, require direct 1:1 or 2:1 intervention to mitigate harm to themselves, others, property, or prevent serious incidents in the community to preclude police involvement and/or arrest. Often, these individuals' challenging behaviors are triggered spontaneously, necessitating providers to staff individuals at 1:1 or 2:1 (depending on the severity of the behavior) for some or all of the day. Other individuals require constant supervision to mitigate the frequency of these very challenging behaviors. Individuals who have a high frequency of such behaviors will routinely require additional hours of 1:1 or 2:1 supports. This level of staff intervention allows for appropriate supervision both in the home, as well as in the community to prevent and/or reduce social isolation. Shared staffing ratios in these more unique cases (as typically occur in group homes and day services) often do not provide adequate oversight as staff is required to work directly with such individuals to prevent, mitigate, or respond immediately to behavioral incidents, while another staff protects others in the area to ensure all individuals in the setting are safe. In addition, the supervision and oversight required by more experienced/highly trained direct support staff requires clinical professionals who are themselves more highly trained and experienced than is routinely expected/present in these service settings.

Medically, an individual may require 1:1 or 2:1 staff support when he has a health history or recent health complication that puts him at risk for acute medical complications resulting in hospitalization or death. For example, an individual may require 1:1 during meal time due to severe risk of aspiration; another may require 2:1 during transfers due to a combination of illnesses such as dementia and osteoporosis, resulting in an increased risk of falling that is so high that he may sustain a fracture or head injury. In an effort to fully integrate individuals with severe medical conditions into the community, increased staff are provided during transition periods to prevent emergency medical activities. Staff may require more frequent or intensive training to have the skills needed to perform more challenging health supports such as total personal care and the implementation of nursing delegated tasks. Licensed professionals may need to provide additional supports outside of waiver funding to protect a person's health and safety such as facilitating hospital admissions and discharges, interfacing with the hospital team and providing generalized staff training on skills not covered by typical staff training programs.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
The unit of service is an hour. The hours to be authorized shall be based on the individual's assessed need.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	In-Home Residential Support Staff

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: In-Home Support Services

Provider Category:
Agency
Provider Type:
In-Home Residential Support Staff
Provider Qualifications
License *(specify)*:
An agency licensed by DBHDS as a provider of supportive in-home residential services.
Certificate *(specify)*:

Other Standard *(specify)*:
In-home Supports providers must have a signed provider participation agreement with DMAS in order to provide residential services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

Providers must also assure that persons providing In-home Supports have received training in the characteristics of IDD and appropriate interventions, training strategies and other methods of supporting individuals with functional limitations prior to providing waiver services and pass an objective standardized test of skills, knowledge, and abilities approved by DBHDS that must be administered according to DBHDS' defined procedures.
Verification of Provider Qualifications
Entity Responsible for Verification:
DBHDS Office of Licensing verifies that providers of In-home Supports meet DBHDS licensing standards.
Frequency of Verification:
The Virginia Department of Medical Assistance Services will verify provider qualifications every two years

Appendix C: Participant Services

C-1/C-3: Service Specification

State laws, regulations and policies referenced in the specification are readily available to CMS upon request through the Medicaid agency or the operating agency (if applicable).
Service Type:
Statutory Service
Service:
Supported Employment
Alternate Service Title (if any):

Individual Supported Employment

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
03 Supported Employment	03010 job development
Category 2:	**Sub-Category 2:**
03 Supported Employment	03021 ongoing supported employment, individual
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*
Individual Supported Employment services consist of one on one ongoing supports that enable individuals, for whom competitive employment at or above the minimum wage is unlikely, absent the provision of supports, and who, because of their disabilities, need supports to work in an integrated setting. Supported employment may include assisting the individual to locate a job or develop a job on behalf of the individual. Supported employment is conducted in a variety of settings where persons without disabilities are employed. Supported employment includes activities needed to sustain paid work by individuals, including supports and training. Personal assistance is not a part of individual supported employment.

Supported employment services include ongoing supports to obtain and maintain a job in competitive, customized employment, or self employment (including home-based self employment) for which an individual is compensated at or above the minimum wage, but not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities. The outcome of this service is sustained paid employment at or above minimum wage in an integrated setting in the general workforce, in a job that meets personal and career goals.

The allowable activities include:

1. Vocational/job-related discovery or assessment;

2. Person-centered employment planning which results in employment related outcomes;

3. Individualized job development, with or without the individual present, that produces an appropriate job match for the individual and the employer to include job analysis and/or job carving;

4. Negotiation with prospective employers;

5. On-the-job training in work skills required to perform the job;

6. Ongoing evaluation, supervision, and monitoring of the individual's performance on the job but which do not include supervisory activities rendered as a normal part of the business setting;

7. Ongoing support services necessary to assure job retention;

8. Supports to ensure the individual's health and safety;

9. Development of work-related skills essential to obtaining and retaining employment, such as the effective use of community resources and break/lunch areas and transportation systems; and

10. Staff coverage for transportation between the individual's place of residence and the workplace when other forms of transportation are unavailable or inaccessible (i.e., time spent transporting).

The individual's assessment and individual support plan must clearly reflect the individual's need for employment-related skill building.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
The service unit for individual supported employment is an hour, not to exceed 40 hours per week. Supported Employment, alone or in combination with Community Engagement, Community Coaching, Workplace Assistance, and/or Group day services are limited to no more than 66 hours per week.

Providers for persons eligible for or receiving supported employment services funded under §110 of the Rehabilitation Act of 1973 (through DARS) or §§ 602(16)(17) of the Individuals with Disabilities Education Act (IDEA) (through special education services) cannot receive payment for this service through waiver services. The case manager must assure that supported employment services are not available through these sources and document the finding in the individual's case management record. When services are provided through these sources, the individual support plan will not include them as a requested waiver service.

Providers shall not submit for reimbursement from DMAS for incentive payments, subsidies, or unrelated vocational training expenses.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Individual Supported Employment

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Individual Supported Employment

Provider Category:
Agency

Provider Type:
Individual Supported Employment

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
Supported employment providers must be a vendor of supported employment services with the Department of Aging and Rehabilitative Services (DARS).

Supported employment providers must have a signed provider participation agreement with DMAS in order to provide supported employment services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

All supported employment providers must be CARF accredited. CARF requires that providers have staff training plans related to the service. For supported employment, this means staff must receive training in best practice of supported employment practices. The Commonwealth also recognizes certifications offered by the Association of Community Rehabilitation Educators (ACRE) as well as Certified Employment Support Professional (CESP) designation.

Verification of Provider Qualifications

Entity Responsible for Verification:
DARS verifies that providers of supported employment services meet criteria to be a vendor through a recognized accrediting body.

Frequency of Verification:
The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DMAS QMR staff review a sample of supported employment providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Personal Care

Alternate Service Title (if any):

Personal Assistance Services

HCBS Taxonomy:

Category 1:	Sub-Category 1:
08 Home-Based Services	08030 personal care
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*

Personal assistance services mean direct support with activities of daily living, instrumental activities of daily living, access to the community, monitoring of self-administered medications or other medical needs, monitoring of health status and physical condition, and work-related personal assistance. These services may be provided in home and community settings to enable an individual to maintain the health status and functional skills necessary to live in the community or participate in community activities.

Each individual and family/caregiver, family, or caregiver shall have a back-up plan for the individual's needed supports in case the personal assistant does not report for work as expected or terminates employment without prior notice.

Allowable activities include:

1. Support with activities of daily living (ADLs), such as: bathing or showering, toileting, routine personal hygiene skills, dressing, transferring, etc.;
2. Support with monitoring health status and physical condition;
3. Support with medication and other medical needs;
4. Supporting the individual with preparation and eating of meals;
5. Support with housekeeping activities, such as bed making, dusting, and vacuuming, laundry, grocery shopping, etc.;
6. Support to assure the safety of the individual;
7. Support needed by the individual to participate in social, recreational and community activities;
8. Assistance with bowel/bladder programs, range of motion exercises, routine wound care that does not include sterile technique, and external catheter care when properly trained and supervised by an RN;
9. Accompanying the individual to appointments or meetings.

The personal assistant may help prepare and accompany the individual to work or post-secondary school and assist him or her with ADLs while the individual is at work or school and upon return home. DBHDS will review the individual's needs when determining the services that will be provided to the individual in the workplace or school. The assistant may not perform any functions related to the individual completing his or her job or school functions or for supervision time during work or school.

Individuals are afforded the opportunity to act as the employer in the consumer-direction of personal assistance services for the

waiver. This involves hiring, training, supervision, and termination of consumer-directed supports assistants. Individuals choosing to receive services through the consumer-directed model may do so by choosing a services facilitator to provide the training and guidance needed to be an employer. If the individual is unable to independently manage his/her own consumer-directed services, a family member/caregiver or other chosen person must serve as the employer of record (EOR) on behalf of the individual.

The services facilitator coordinates support activities for those individuals electing consumer-direction of services.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
The unit of service is an hour. The hours to be authorized shall be based on the individual's assessed need.

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

- [x] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Consumer-Directed Attendant Care
Agency	Personal Care Provider

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Assistance Services

Provider Category:
Individual

Provider Type:
Consumer-Directed Attendant Care

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
For consumer-directed personal assistance services (CD-PA) individuals will hire their own personal assistants and manage and supervise the assistant's performance. If an individual is unable to direct his or her own services, an adult family member/caregiver may act on behalf of the individual as the employer of record for the assistant.

Personal assistants do not need to be enrolled with DMAS (i.e., have a participation agreement) to provide consumer-directed PA services.

Personal assistant qualifications include the following requirements. The assistants must:

a. Be 18 years of age or older and possess a valid Social Security number that has been issued by the Social Security Administration to the person who is to function as the assistant;
b. Be able to read and write English to the degree necessary to perform the tasks expected and possess basic math skills;
c. Have the required skills and physical abilities to perform the services as specified in the individual's Plan for Supports;
d. Be willing to attend training at the individual's and the family/caregiver's, and EOR's, as appropriate, request;
e. Understand and agree to comply with the DMAS' Waiver requirements; and
f. Receive a tuberculosis screening according to VDH guidelines.

The CD Personal Assistant must submit to a criminal history record checks for barrier crimes, as defined in

12VAC30-120-1000, within 15 days from the date of employment. If the individual to be served is a minor child, consent to a search of the VDSS Child Protective Services Central Registry.

The assistant will not be compensated for services provided to the individual subsequent to the receipt of a records check verifying that the assistant has been convicted of crimes described in the Code of Virginia, §37.2-314, Subsection B, or if the assistant has a founded complaint confirmed by the DSS Child Protective Services Central Registry.

Verification of Provider Qualifications

Entity Responsible for Verification:

The individual/employer of record is responsible for the verification of
- the employee's skill set,
- the employee's willingness to attend training upon request,
- possession of basic math, reading & writing skills,
- compliance with waiver requirements, and
- receipt of verification of a TB screening according to Virginia Department of Health guidelines.

The Fiscal Management Service (FMS) is responsible for verifying that
- the employee meets the minimum age requirement,
- the employee possesses a valid SSN,
- the criminal records check/CPS registry check has been completed.

Frequency of Verification:

Initially upon hire.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Assistance Services

Provider Category:

Agency

Provider Type:

Personal Care Provider

Provider Qualifications

License *(specify)*:

The following types of providers can deliver personal assistance services:

1. Providers licensed by DBHDS as a provider of group home residential services or supportive in-home residential services.

OR

2. Personal care agencies licensed by the Virginia Department of Health or that have accreditation from any organization recognized by the CMS for the purposes of Medicare certification.

Licensing requirements for RNs and LPNs are outlined in Chapter 30 of title 54.1 of the Code of Virginia.

Certificate *(specify)*:

Other Standard *(specify)*:

Personal assistance providers must have a signed provider participation agreement with DMAS in order to provide personal assistance services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

Providers licensed by DBHDS as a provider of residential services or supportive residential services must employ a program (residential services) supervisor who will provide ongoing supervision of all personal assistants and conduct the initial assessment and subsequent reassessments.

Personal care providers who are licensed by the Virginia Department of Health or have an accreditation from an organization recognized by CMS for the purposes of Medicare certification must:

a. Employ or subcontract with and directly supervise a RN or a LPN who will provide ongoing supervision of all personal assistants. RNs must conduct the initial assessment and subsequent reassessments;
b. The supervising RN or LPN must be currently licensed to practice nursing in the Commonwealth and have at least one year of related clinical nursing experience which may include work in an acute care hospital, public health

clinic, home health agency, ICF/IID or nursing facility;
c. Employ and directly supervise personal assistants who will provide direct support to individuals. Each assistant hired by the provider shall be evaluated by the provider agency to ensure compliance with minimum qualifications as required by the DMAS. Each assistant must:
1) Be able to read and write English to the degree necessary to perform the tasks expected;
2) Complete a training curriculum consistent with DMAS requirements. Prior to assigning an assistant to an individual, the provider agency must obtain documentation that the assistant has satisfactorily completed this training program. DMAS requirements may be met in one of three ways:
a) Registration as a certified nurse aide;
b) Graduation from an approved educational curriculum which offers certificates qualifying the student as a nursing assistant, geriatric assistant, or home health aide; or
c) Completion of provider-offered training, which is subject to approval from DMAS.
3) Be physically able to do the work; and
4) Have a satisfactory work record, as evidenced by two references from prior job experiences (if applicable), including no evidence of possible abuse, neglect, or exploitation of aged or incapacitated adults or children.

Providers must also assure that persons providing personal assistance services have received training in the characteristics of DD and appropriate interventions, training strategies and other methods of supporting individuals with functional limitations prior to providing waiver services and pass an objective standardized test of skills, knowledge, and abilities approved by DBHDS that must be administered according to DBHDS' defined procedures.

Verification of Provider Qualifications

Entity Responsible for Verification:

The Virginia Department of Medical Assistance Services is responsible for the verification of personal care agency provider qualifications.

DBHDS Office of Licensing verifies that providers of DBHDS licensed residential or supportive residential services meet DBHDS licensing standards.

VDH verifies that VDH licensed providers meet VDH licensing standards.

DMAS Quality Management Review (QMR) staff verifies that staff has received the required training.

Frequency of Verification:

The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Statutory Service

Service:

Respite

Alternate Service Title (if any):

Respite Services

HCBS Taxonomy:

Category 1:	Sub-Category 1:
09 Caregiver Support	09011 respite, out-of-home
Category 2:	**Sub-Category 2:**
09 Caregiver Support	09012 respite, in-home
Category 3:	**Sub-Category 3:**

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

Service Definition *(Scope):*
Respite services are specifically designed to provide temporary, substitute care for that which is normally provided by the family or other unpaid, primary caregiver of an individual. Services are provided on a short-term basis because of the emergency absence or need for routine or periodic relief of the primary caregiver. Such services may be provided in home and community settings to enable an individual to maintain the health status and functional skills necessary to live in the community or participate in community activities. When specified, such supportive services may include assistance with IADLs.

The allowable activities include:
1) Support with activities of daily living such as: bathing or showering, toileting, routine personal hygiene skills, dressing, transferring, etc.;
2) Support with monitoring health status and physical condition;
3) Support with medication;
4) Support with medical needs;
5) Support with preparation and eating of meals;
6) Support with housekeeping activities, such as bed-making, dusting and vacuuming, laundry, grocery shopping, etc.;
7) Support to ensure the safety of the individual;
8) Support needed by the individual to participate in social, recreational, or community activities;
9) Assistance with bowel/bladder programs, range of motion exercises, routine wound care that does not include sterile technique, and external catheter care when properly trained and supervised by an RN;
10) Accompanying the individual to appointments or meetings.

Respite is allowed in a family home, a respite center, or in a group home for an individual who lives with his family but is receiving respite in that group home setting. It is not allowed in a group home for a resident of that group home, an ICF/IID, or a nursing home.

Individuals are afforded the opportunity to act as the employer in the consumer-direction of respite services. This involves hiring, training, supervision, and termination of consumer-directed supports assistants. Individuals choosing to receive services through the consumer-directed model may do so by choosing a services facilitator to provide the training and guidance needed to be an employer. If the individual is unable to independently manage his/her own consumer-directed services, or if the individual is under 18 years of age, he/she must an adult family member/caregiver or other chosen person serve as the employer of record (EOR) on behalf of the individual.

The services facilitator coordinates support activities for those individuals electing consumer-direction of services.

FFP is not claimed for the cost of room and board.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Respite is limited to 480 hours per individual per year.

Respite assistance shall not include either practical or professional nursing services or those practices regulated in the Nurse Practice Act. This service shall not include skilled nursing services with the exception of skilled nursing tasks that may be delegated.

Respite is allowed in a family home, a respite center, or in a group home for an individual who lives with his family but is receiving respite in that group home setting. It is not allowed in a group home for a resident of that group home, an ICF/IID, or a nursing home.

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

- [x] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Respite Provider
Individual	Consumer-Directed Respite Care Assistant

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Respite Services

Provider Category:
Agency
Provider Type:
Respite Provider
Provider Qualifications
License *(specify):*
Any of the following types of providers can provide respite services:

1. A provider licensed by DBHDS as a provider of:

a. Supportive in-home residential services, which may provide respite services based in and from the individual's home;

b. Center-based respite services, which may provide respite services based in and from the approved respite center (licensed facility);

c. In-home respite services, which may provide respite services based in and from the individual's home;

d. Out-of-home respite services, which may provide respite services based in and from the provider's home;

e. Residential services, which may provide respite services based in and from the currently licensed group home, as long as DBHDS Office of Licensing approves the residential respite services; or

f. Sponsored residential home, as long as DBHDS Office of Licensing approves the residential respite services.

2. A provider approved by DSS as a foster care home for children, which may provide respite services based from the provider's home to children only;

3. A provider approved by DSS as an adult foster care home, which may provide respite services based from the provider's home to adults not currently residing in the home only; or

4. Personal care agencies licensed by the Virginia Department of Health or that have accreditation from any organization recognized by the CMS for the purposes of Medicare certification which may provide respite services based in and from the home of the individual.

Licensing requirements for RNs and LPNs are outlined in Chapter 30 of title 54.1 of the Code of Virginia.
Certificate *(specify):*

Other Standard *(specify):*
Respite providers must have a signed provider participation agreement with DMAS in order to provide respite services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement. Providers that have a personal care/respite care provider participation agreement with DMAS may provide respite under that agreement.

Individuals employed by a personal care agency licensed by VDH (i.e., other than DBHDS licensed or DSS approved providers) who provide care must meet the requirements of DMAS personal/respite assistant. Basic qualifications for respite assistants include:

* Physical ability to do the work;
* Ability to read and write English to the degree necessary to perform the tasks expected; and
* Completion of a training curriculum consistent with DMAS requirements. Prior to assigning an assistant to an individual, the provider must obtain documentation that the assistant has satisfactorily completed a training program consistent with DMAS requirements. DMAS requirements may be met in one of three ways:

1) Registration as a certified nurse aide;
2) Graduation from an approved educational curriculum which offers certificates qualifying the student as a nursing assistant, geriatric assistant, or home health aide; or
3) Completion of provider-offered training.

If the provider is licensed by VDH, the respite provider must employ or subcontract with and directly supervise an RN or an LPN who will provide ongoing supervision of all respite assistants:

1) The RN or LPN must be currently licensed to practice in the Commonwealth or hold multi-state licensure privilege pursuant to Chapter 30 (§ 54.1-3000 et seq.) of Title 54.1 of the Code of Virginia to practice nursing and have at least one year of related clinical nursing experience, which may include work in an acute care hospital, public health clinic, home health agency, or nursing facility.

2) Based on continuing evaluations of the assistant's performance and individual's needs, the RN or LPN supervisor shall identify any gaps in the assistant's ability to function competently and shall provide training as indicated.

If the provider is a DBHDS-licensed or DSS-approved provider, a (residential) supervisor will provide ongoing supervision of all respite assistants.

Verification of Provider Qualifications

Entity Responsible for Verification:

The Virginia Department of Medical Assistance Services is responsible for the verification of respite agency provider qualifications.

Frequency of Verification:

The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Respite Services

Provider Category:

Individual

Provider Type:

Consumer-Directed Respite Care Assistant

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:

Respite assistants do not need to be enrolled with DMAS (i.e., have a participation agreement) to provide consumer-directed respite services.

Respite assistant qualifications include the following requirements. The assistants must:

a. Be 18 years of age or older and possess a valid Social Security number that has been issued by the Social Security Administration to the person who is to function as the assistant;
b. Be able to read and write English to the degree necessary to perform the tasks expected and possess basic math skills;
c. Have the required skills and physical abilities to perform the services as specified in the individual's Plan for Supports;
d. Be willing to attend training at the individual's and the family/caregiver's, and EOR's, as appropriate, request;
e. Understand and agree to comply with the DMAS' requirements; and
f. Receive a tuberculosis screening according to VDH guidelines.

The CD respite assistant must submit to a criminal history record checks for barrier crimes, as defined in 12 VAC 30-120-1000, within 15 days from the date of employment. If the individual to be served is a minor child, consent to a search of the VDSS Child Protective Services Central Registry.

The assistant will not be compensated for services provided to the individual subsequent to the receipt of a records check verifying that the assistant has been convicted of crimes described in the Code of Virginia, §37.2-314, Subsection B, or if the assistant has a founded complaint confirmed by the DSS Child Protective Services Central Registry.

Verification of Provider Qualifications

Entity Responsible for Verification:

The individual/employer of record is responsible for the verification of
- the employee's skill set,
- the employee's willingness to attend training upon request,
- possession of basic math, reading & writing skills,
- compliance with waiver requirements, and
- receipt of verification of a TB screening according to Virginia Department of Health guidelines.

The Fiscal Management Service is responsible for verifying that

- the employee meets the minimum age requirement,
- the employee possesses a valid SSN,
- the criminal records check/CPS registry check is completed.

Frequency of Verification:
Initially upon hire.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:
Supports for Participant Direction

The waiver provides for participant direction of services as specified in Appendix E. Indicate whether the waiver includes the following supports or other supports for participant direction.

Support for Participant Direction:
Information and Assistance in Support of Participant Direction

Alternate Service Title (if any):
Services Facilitation

HCBS Taxonomy:

Category 1:	Sub-Category 1:
12 Services Supporting Self-Direction	12020 information and assistance in support of self-direction
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*
Services facilitation assists the individual or the individual's family/caregiver, or Employer of Record (EOR), as appropriate, in arranging for, directing, and managing services provided through the consumer-directed model of service delivery.

The services facilitator is responsible for supporting the individual or the individual's family/caregiver, or EOR, as appropriate, by collaborating with the case manager to ensure the development and monitoring of the CD services plan for supports, providing employee management training, and completing ongoing review activities as required by DMAS for consumer-directed companion, personal assistance, and respite services.

The SF is responsible for conducting an initial comprehensive visit during which an assessment of the individual's particular needs for a requested consumer-directed service is completed. This is followed by assisting in the development of the support plan for consumer-directed services. The services facilitator provides "employee management training" to the individual or EOR, as appropriate, to educate him on his responsibilities as an employer. This includes training on advertising for, screening,

hiring, retaining and firing an employee, as well as how to complete the necessary employment-related paperwork regarding taxes, criminal background checks, etc. and must be completed before the CD employee is hired.

Once the individual has hired a CD employee, the SF may assist the individual with securing needed training for the employee. The SF is required to make "routine on-site" visits periodically to monitor and ensure the quality and appropriateness of the services being provided. In addition, the SF should be available to the individual by telephone during business hours and attend meetings, as requested by the individual. Annually, the SF conducts an update (or reassessment) visit to review the individual's current status as related to CD services and develop a new annual support plan.

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

Services facilitation is a separate waiver service to be used in conjunction with CD personal assistance, respite, or companion services and shall not be covered for an individual absent one of these consumer directed services.

The SF must make an initial comprehensive home visit to collaborate with the individual and family/caregiver as appropriate in the development of the ISP. This may be done only once for consumer-directed services. Subsequent visits, or the start of a new SF, are handled as update (or reassessment) visits, which are generally shorter in duration and reimbursed at a lower level, as the initial information has already been gathered from the individual and should be available.

The "employee management training" occurs only once at the initiation of CD services. If additional training is required for the individual, EOR or employee, this is billed under "management training," which is limited to up to four hours per six month period.

At least one face-to-face meeting with the individual is required at least every six months to reassess needs and ensure appropriateness of services. During these visits with the individual, the services facilitator shall observe, evaluate, and consult with the individual, EOR, and the individual's family/caregiver, as appropriate, for the purpose of documenting the adequacy and appropriateness of CD services with regard to the individual's current functioning and cognitive status, medical needs, and social needs. These are billed as "routine on-site" visits.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Services Facilitation Provider

Appendix C: Participant Services

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

Service Type: Supports for Participant Direction
Service Name: Services Facilitation

Provider Category:
Agency

Provider Type:
Services Facilitation Provider

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:

Services facilitation providers must have a signed provider participation agreement with DMAS in order to provide services facilitation services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

To be enrolled as a Medicaid CD services facilitator and maintain provider status, the services facilitator shall have

sufficient resources to perform the required activities, including the ability to maintain and retain business and professional records sufficient to document fully and accurately the nature, scope, and details of the services provided. To be enrolled, the services facilitator shall also meet the combination of work experience and relevant education that indicate the possession of the specific knowledge, skills, and abilities as set out in DMAS' guidance documents to perform this function.

It is preferred that the CD services facilitator possess a minimum of an undergraduate degree in a human services field or be a registered nurse currently licensed to practice in the Commonwealth or hold multi-state licensure privilege. In addition, it is preferable that the CD services facilitator have two years of satisfactory experience in a human service field working with individuals with intellectual disability or individuals with other developmental disabilities.

The Medicaid reimbursed CD services facilitator shall not be the individual enrolled in the waiver, the individual's case manager, a direct service provider, the individual's spouse, a parent of the individual who is a minor child, or the EOR who is employing the assistant/companion.

Verification of Provider Qualifications

Entity Responsible for Verification:

The Virginia Department of Medical Assistance Services verifies provider qualifications.

Frequency of Verification:

The Virginia Department of Medical Assistance Services verifies provider qualifications initially and subsequently every two years

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Assistive Technology

HCBS Taxonomy:

Category	Sub-Category
Category 1: 14 Equipment, Technology, and Modifications	**Sub-Category 1:** 14031 equipment and technology
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope)*:

Assistive technology is specialized medical equipment, supplies, devices, controls, and appliances, not available under the State Plan for Medical Assistance, which enable individuals to increase their abilities to perform activities of daily living (ADLs), or to perceive, control, or communicate with the environment in which they live, or which are necessary for life support, including the ancillary supplies and equipment necessary to the proper functioning of such technology.

In order to qualify for these services, the individual shall have a demonstrated need for equipment or modification for remedial or direct medical benefit primarily in the individual's home, vehicle, community activity setting, or day program to specifically

improve the individual's personal functioning. AT shall be covered in the least expensive, most cost-effective manner.

Equipment or supplies already covered by the State Plan may not be purchased under the waiver. The case manager is required to ascertain whether an item is covered through the State Plan before requesting it through the waiver.

Assistive technology items must be recommended and determined appropriate to meet the individual's needs by the applicable professional (e.g., physical therapist, occupational therapist, speech and language therapist), prior to preauthorization of the service.

The equipment and activities include:

1. Specialized medical equipment, ancillary equipment, and supplies necessary for life support not available under the State Plan for Medical Assistance;

2. Durable or nondurable medical equipment and supplies not available under the State Plan for Medical Assistance;

3. Adaptive devices, appliances, and controls not available under the State Plan for Medical Assistance which enable an individual to be more independent in areas of personal care and ADLs; and

4. Equipment and devices not available under the State Plan for Medical Assistance, which enable an individual to communicate more effectively.

The case manager submits service plan information to the operating agency, DBHDS, for service authorization. DBHDS employs Qualified Developmental Disability Professionals (QDDPs) to complete the approval/service authorization process. DMAS reviews a sample of DBHDS service authorizations as part of its monitoring process.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
The maximum Medicaid-funded expenditue for assistive technology is $5,000 per service plan year.

AT shall be available to individuals who are receiving at least one other waiver service and may be provided in a residential or nonresidential setting.

In accordance with the CMS Informational Bulletin issued on July 7, 2014, assistive technology for individuals under age 21 shall be accessed though the state plan pursuant to EPSDT. Assistive technology through this waiver shall not be available to individuals under age 21.

Assurance: The services under the Family and Independence Waiver, VA.0358.R04.00, are limited to additional services not otherwise covered under the state plan, including EPSDT, but consistent with waiver objectives of avoiding institutionalization.

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Assistive Technology

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Assistive Technology

Provider Category:
Agency
Provider Type:
Assistive Technology
Provider Qualifications
License *(specify):*

Certificate *(specify)*:

Other Standard *(specify)*:
Assistive technology shall be provided by DMAS-enrolled durable medical equipment (DME) providers or DMAS-enrolled CSBs with a DMAS provider agreement to provide AT. Providers may also go through the CSBs' OHCDS as a provider.

DMAS contracts directly with durable medical equipment providers, which routinely provide specialized medical equipment and supplies in accordance with the Virginia State Plan for Medical Assistance. Equipment or supplies not covered by the State Plan may be purchased under Assistive Technology.

A rehabilitation engineer or certified rehabilitation specialist (CRS) may be utilized if, for example:

- The assistive technology will be initiated in combination with environmental modifications involving systems which are not designed to go together; or

- An existing device must be modified or a specialized device must be designed and fabricated.

Verification of Provider Qualifications

Entity Responsible for Verification:
The Virginia Department of Medical Assistance Services

Frequency of Verification:
The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:
Other Service

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

Service Title:
Benefits Planning

HCBS Taxonomy:

Category	Sub-Category
Category 1: 17 Other Services	**Sub-Category 1:** 17990 other
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope)*:
Benefits planning is an individualized analysis and consultation service provided to assist individuals receiving waiver services and social security benefits (SSI, SSDI, SSI/SSDI) to understand their benefits and explore the possibility of work, to start work,

and the effect of work on local, state, and federal benefits. This service includes education and analysis about current benefits status and implementation and management of state and federal work incentives as appropriate.

This service results in the development of guidance and documents to assist individuals and their families/legal representatives to overcome fear and ambivalence about losing necessary supports and benefits if they choose to work or stay on the job. This service enables individuals to make an informed choice about the initiation of work. This service also provides assistance, education, and training to working individuals to make successful transition to financial independence.

Allowable Activities
Each of the allowable activities are available dependent upon the individual meeting criteria for receipt of the service activity. Allowable activities include the following:

1. Pre-employment Benefits Review which may include:
•Benefits Planning Query (BPQY from SSA)

Description: A BPQY provides information about an individual's disability cash benefits, health insurance, scheduled continuing disability reviews, representative payee, and work history, as stored in SSA's electronic records. The BPQY is an important planning tool for the individual or other person who may be developing customized services for an individual who wants to start working or stay on the job.

•Pre-employment Benefits Summary and Analysis (BS&A)

Description: Work with the individual to develop a benefits analysis and net income analysis report with both a current situation and at least two other potential situations involving Social Security work incentives.

•Employment Change Benefits Summary and Analysis

Description: Work with the individual when he experiences a change in employment situation to develop a benefits analysis and net income analysis report with both a "current situation" and at least two other potential situations involving Social Security work incentives.

2. Work Incentives Development or Revisions (PASS, IRWE, BWE, IDA): Work with the individual and family/legal representative to develop:

•Plan to Achieve Self-Support (PASS):
(Part 1)
Description: Develop, in collaboration with the individual and provider, a Plan to Achieve Self-Support (PASS) and ensure that it is submitted to the Social Security Administration (SSA).

(Part 2)
Description: Ensure the approval of the PASS plan from the SSA PASS CADRE through modifications or other appropriate services.

•Impairment Related Work Expenses (IRWE):
Description: IRWEs reduce the amount of income that Social Security counts against an individual's benefits by deducting the amount of an expense from their total countable wages. In order to qualify for the IRWE, the expense must be related to the individual's disability, work, and be an expense without which he cannot work. This service involves working with the individual to develop and submit appropriate forms and supporting documents to SSA, as needed, to successfully obtain the IRWE work incentive.

•Blind Work Expenses (BWE):
Description: Work with an individual confirmed to be blind to develop and submit appropriate forms and supporting documents to SSA, as needed, to successfully obtain the BWE work incentive, which is that SSI will not count any earned income when the primary diagnosis is blindness when the expense is reasonably attributed to earning the income, i.e., guide dog, transportation to and from work, etc.

•Individual Development Accounts (IDA):
Description: Work with the individual to develop matched savings accounts to assist him in saving towards the purchase of a lifelong asset such as a home.

•Student Earned Income Exclusion (SEIE):
Description: Work with the individual to develop and submit appropriate documents to SSA to receive benefits under the SEIE work incentive. Student earned income exclusion allows individuals under the age of 22 who regularly attend school or are involved in a vocational education program to exclude earned income up to a certain amount per a month.

•Medicaid While Working – Section 1619(b)
Description: Work with the individual to develop and submit an appropriate letter and supporting documents to SSA and the

Virginia Department of Social Services (VDSS), and Medicaid, as needed, to receive benefits under 1619(b), provides for the continuation of Medicaid when a beneficiary loses his SSI due to earning wages above the SSI threshold.

•Medicaid Works (Virginia's Medicaid Buy-In Program)
Description: Work with the individual who is currently eligible for and/or receiving Medicaid to complete and submit the MEDICAID WORKS agreement and supporting documents to the Virginia Department of Social Services (VDSS), as needed, to enroll in the Medicaid Buy-In program (may include Medicaid application or updating the resource section of the Medicaid application). This enables workers with disabilities to earn higher income and retain more in savings or resources than is usually allowed by Medicaid.

•Work Incentive Revisions
Description: Work with the individual to revise one of the work incentives plans above as determined needed by a significant change in status.

3. Resolution of SSA benefits issues (e.g., Overpayments, Subsidies, Student Earned Income Exclusion, Medicaid While Working)

•Overpayments:
Description: Work with the individual to address Social Security overpayments that arise.

•Subsidies:
Description: Work with the individual to develop and submit appropriate documents to SSA to receive the Subsidy work incentive.

•Work Activity Reports:
Description: Assist the individual family/legal representative in filling out and returning forms to SSA.

4. Other Services
•ABLEnow
Description: Work with the individual and family, if applicable, to open an ABLEnow account.

•Financial health Assessment
Description: The Financial Health Assessment (FHA) is a tool used to gauge an individual's understanding of his current financial situation.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Receipt of this service shall not be tied to the receipt of any other covered waiver or Medicaid service. This service may be authorized one time per allowable activity per individual per calendar year. However, a service may be reauthorized within a calendar year if the individual's situation has changed in terms of disability conditions, benefit type, or employment status.

No vendor shall bill for waiver Benefits Planning services while the eligible individual has an open employment services case with DARS and is eligible for this through DARS.

The annual year limit for this service shall be $3,000. No unspent funds from one plan year shall be accumulated and carried over to subsequent plan years.

Plan for Achieving Self-Support-Part 1 7.0 hours
Plan for Achieving Self Support-Part 2 12.5 hours
Impairment Related Work Expense 9.0 hours
Blind Work Expense 9.0 hours
1619(b) Medicaid 4.5 hours
Student Earned Income Exclusion 9.0 hours
Subsidy 9.0 hours
Work Activity Reports: 6.0 hours
Medicaid Works 5.5 hours
Overpayment 3.5 hours
Benefits Planning Query 1.0 hours
Pre-Employment BSA 7.0 hours
WorkWORLD Summary and Analysis 7.0 hours
Individual Development Accounts 7.0 hours
Section 301/Able Now 4.5 hours
Financial Health Assessment 3.5 hours
WI Revisions 7.0 hours

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

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

Provider Specifications:

Provider Category	Provider Type Title
Individual	

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Benefits Planning

Provider Category:
Individual

Provider Type:

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:
1. An eligible provider for this service shall be one of the following:
a. A nationally certified Social Security Administration (SSA) Community Work Incentive Coordinators (CWIC); or
b. A Department for Aging and Rehabilitative Services (DARS) certified Work Incentive Specialist Advocate (WISA) approved vendor.

2. The Department for Aging and Rehabilitative Services (DARS) shall provide written verification for certified Work Incentive Specialist Advocates (WISA). SSA certification shall be provided by Community Work Incentives Coordinators (CWIC).

Other Standard *(specify)*:
Benefits Planning Services providers must have a signed Provider Participation agreement with DMAS in order to provide these services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

Verification of Provider Qualifications

Entity Responsible for Verification:
The Virginia Department of Aging and Rehabilitative Services and Department of Medical Assistance Services ensure that providers meet the above qualifications

Frequency of Verification:
DMAS QMR staff review a sample of providers annually. Staff may conduct announced and unannounced onsite reviews or desk audits of the records at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:
Other Service

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

Service Title:
Center-based Crisis Supports

HCBS Taxonomy:

Category 1:	Sub-Category 1:
10 Other Mental Health and Behavioral Services	10030 crisis intervention
Category 2:	**Sub-Category 2:**
10 Other Mental Health and Behavioral Services	10070 psychosocial rehabilitation
Category 3:	**Sub-Category 3:**
10 Other Mental Health and Behavioral Services	10090 other mental health and behavioral services
Category 4:	**Sub-Category 4:**
11 Other Health and Therapeutic Services	11030 medication assessment and/or management

Service Definition *(Scope):*
Center-based Crisis Supports provide crisis prevention and stabilization in a residential setting (Crisis Therapeutic Home) through utilization of assessments, close monitoring, and a therapeutic milieu. Services are provided through planned and emergency admissions. Planned admissions will be provided to individuals who are receiving ongoing crisis services and need temporary, therapeutic interventions outside of their home setting in order to maintain stability. All supports and interventions provided are individualized, follow person-centered service planning process, and meet HCBS regulations requirements (441.301(c)(4)(1) and 441.301(c)(4)(f).

Center based crisis admissions will be provided to individuals who are experiencing an identified behavioral health need and/or a behavioral challenge that is preventing them from experiencing stability within their home setting. In order to receive center based crisis services, the individual shall:
a. Meet at least one of the following:
(i) the individual shall be experiencing a marked reduction in psychiatric, adaptive, or behavioral functioning;
(ii) the individual shall be experiencing an increase in extreme emotional distress;
(iii) the individual shall need continuous intervention to maintain stability; or
(iv) the individual shall be causing harm to himself or others; and
b. Be at risk of at least one of the following:
(i) psychiatric hospitalization;
(ii) emergency ICF/IID placement;
(iii) immediate threat of loss of a community service due to a severe situational reaction; or
(iv) causing harm to self or others.

The allowable activities include but are not limited to:
1. Psychiatric, neuropsychiatry, and psychological assessment, and other assessments and stabilization techniques;

2. Medication management and monitoring;

3. Behavior assessment and positive behavior support;

4. Intensive care coordination with other agencies and providers to assist the planning and delivery of services and supports to maintain community placement of the individual;

5. Training of family members and other caregivers and service providers in positive behavioral supports to maintain the individual in the community

6. Assisting with skill building in the Crisis Therapeutic Home as related to the behavior creating the crisis in areas such as self-care/ADLs, independent living skills, self-esteem building activities, appropriate self-expression, coping skills, and medication compliance.

7. Supervision of the individual in crisis to ensure his or her safety and that of others in the environment.

Center-based crisis supports is only provided to individuals age 21 and over. All medically necessary center-based crisis supports for children under age 21 are covered in the state plan pursuant to the EPSDT benefit."
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Service provision is limited to six months per year to be authorized in 30 day increments.

The unit of service for center-based crisis supports is hourly.

Intensive care coordination shall only be applicable to those individuals who do not have an active case manager until such time as they are connected to one.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

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

Provider Specifications:

Provider Category	Provider Type Title
Individual	Center-based Crisis Supports Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Center-based Crisis Supports

Provider Category:
Individual

Provider Type:
Center-based Crisis Supports Provider

Provider Qualifications

License *(specify)*:
Center-based crisis support providers for adults shall be licensed by DBHDS as providers of Group Home Service-REACH.

Certificate *(specify)*:

Other Standard *(specify)*:
Providers must have a signed provider participation agreement with DMAS in order to provide Center-based crisis services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

Crisis intervention shall be provided by a Licensed Mental Health Professional (LMHP), LMHP-supervisee, LMHP-resident, LMHP-RP, a certified pre-screener, or QDDP.

The QDDP providing crisis intervention services must have:
1. At least one year of documented experience working directly with individuals who have developmental disabilities.
2. A bachelor's degree in a human services field including, but not limited to, sociology, social work, special education, rehabilitation counseling, or psychology; or a bachelor's degree in another field in addition to an advanced degree in a human services field; and
3. The required Virginia or national license, registration, or certification, as is applicable, in accordance with his or her profession.

Verification of Provider Qualifications

Entity Responsible for Verification:
DBHDS Office of Licensing verifies that providers of center-based crisis services meet DBHDS licensing standards.

DMAS Quality Management Review (QMR) staff verifies that staff has received the required training.

Frequency of Verification:
DBHDS Office of Licensing staff may conduct unannounced onsite reviews of DBHDS licensed providers at any time and at least annually to determine compliance with licensing regulations. Staff may investigate complaints or incidents to determine if there is a licensing violation.

The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DMAS QMR staff review a sample of providers annually. Staff may conduct announced and unannounced onsite reviews or desk audits of the records at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Community Coaching

HCBS Taxonomy:

Category	Sub-Category
Category 1: 04 Day Services	**Sub-Category 1:** 04070 community integration
Category 2: 04 Day Services	**Sub-Category 2:** 04020 day habilitation
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*

Community Coaching is a service designed for individuals who need one to one support in order build a specific skill or set of skills to address a particular barrier(s) preventing a person from participating in activities of Community Engagement.

Allowable activities:

Skill building through the implementation and participation in community activities and opportunities such as:
• Activities and public events in the community
• Community educational activities and events
• Utilization of public transportation

Skill building and support in positive behavior, relationship building and social skills.

Support with self-management, eating, and personal care needs of the individual while in the community
Assuring the individual's safety through 1:1 supervision in a variety of community settings

CUSTOMIZED RATE:
There is a small cohort of individuals (particularly individuals being discharged from the Training Center who are extremely medically fragile and/or behaviorally challenged), for whom customized rates for this service will be necessary.
These extremely medically fragile and/or behaviorally challenged individuals are those whose support needs place them in levels six or seven but who have a higher level of need than will be accommodated by the tier four rates, as well as any individual for whom it is determined that the only other resource is to be served out of state, in a state operated mental health or DD facility, or in a more restrictive environment. They are identified as those who require greater support in order to find in-state providers willing to serve them. These individuals' needs outweigh the resources provided within the current waiver rate structure. Their needs may warrant:
• Increased staffing ratios, and/or
• Higher credentialed staff, and/or

• Increased programmatic oversight.

Individuals with extraordinary behavioral needs are defined as individuals who threaten the safety of staff and others around them, require increased staffing to immediately address behavioral incidents, require direct 1:1 or 2:1 intervention to mitigate harm to themselves, others, property, or prevent serious incidents in the community to preclude police involvement and/or arrest. Often, these individuals' challenging behaviors are triggered spontaneously, necessitating providers to staff individuals at 1:1 or 2:1 (depending on the severity of the behavior) for some or all of the day. Other individuals require constant supervision to mitigate the frequency of these very challenging behaviors. Individuals who have a high frequency of such behaviors will routinely require additional hours of 1:1 or 2:1 supports. This level of staff intervention allows for appropriate supervision both in the home, as well as in the community to prevent and/or reduce social isolation. Shared staffing ratios in these more unique cases (as typically occur in group homes and day services) often do not provide adequate oversight as staff is required to work directly with such individuals to prevent, mitigate, or respond immediately to behavioral incidents, while another staff protects others in the area to ensure all individuals in the setting are safe. In addition, the supervision and oversight required by more experienced/highly trained direct support staff requires clinical professionals who are themselves more highly trained and experienced than is routinely expected/present in these service settings.

Medically, an individual may require 1:1 or 2:1 staff support when he has a health history or recent health complication that puts him at risk for acute medical complications resulting in hospitalization or death. For example, an individual may require 1:1 during meal time due to severe risk of aspiration; another may require 2:1 during transfers due to a combination of illnesses such as dementia and osteoporosis, resulting in an increased risk of falling that is so high that he may sustain a fracture or head injury. In an effort to fully integrate individuals with severe medical conditions into the community, increased staff are provided during transition periods to prevent emergency medical activities. Staff may require more frequent or intensive training to have the skills needed to perform more challenging health supports such as total personal care and the implementation of nursing delegated tasks. Licensed professionals may need to provide additional supports outside of waiver funding to protect a person's health and safety such as facilitating hospital admissions and discharges, interfacing with the hospital team and providing generalized staff training on skills not covered by typical staff training programs.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
The unit of service is an hour. Community Coaching, alone or in combination with Community Engagement, Group Day, Workplace Assistance, and/or Supported Employment services are limited to no more than 66 hours per week.

The service in provided with a 1:1 ratio.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Community Coaching Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Coaching

Provider Category:
Agency

Provider Type:
Community Coaching Provider

Provider Qualifications

License *(specify)*:
Community Coaching service providers must be licensed by DBHDS as a provider of non-center based day support services.

Certificate *(specify)*:

Other Standard *(specify)*:

Community Coaching service providers must have a signed Provider Participation agreement with DMAS in order to provide these services. The provider designated in the Participation Agreement must directly provide the services and bill DMAS for reimbursement.

Providers must also assure that persons providing Community Coaching services have received training in the characteristics of developmental disabilities and appropriate interventions, training strategies and other methods of supporting individuals with functional limitations prior to providing waiver services andpass an objective standardized test of skills, knowledge and abilities approved by DBHDS that must be administered according to DBHDS' defined procedures.

Verification of Provider Qualifications

Entity Responsible for Verification:

DBHDS Office of Licensing verifies that providers of group day services meet DBHDS licensing standards.

DMAS Quality Management Review (QMR) staff verifies that staff has received the required training.

Frequency of Verification:

DBHDS Office of Licensing verifies that providers of group day services meet DBHDS licensing standards.

DMAS Quality Management Review (QMR) staff verifies that staff has received the required training.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Community Engagement

HCBS Taxonomy:

Category	Sub-Category
Category 1: 17 Other Services	**Sub-Category 1:** 17990 other
Category 2: 04 Day Services	**Sub-Category 2:** 04070 community integration
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*

Community Engagement, as directed by the person and their person-centered plan, supports and fosters the ability of the individual to acquire, retain, or improve skills necessary to build positive social behavior, interpersonal competence, greater independence, employability and personal choice necessary to access typical activities and functions of community life such as those chosen by the general population. These may include community education or training, retirement, and volunteer activities. Community engagement provides a wide variety of opportunities to facilitate and build relationships and natural supports in the community, while utilizing the community as a learning environment. These activities are conducted at naturally occurring times and in a variety of natural settings in which the individual actively interacts with persons without disabilities (other than those paid to support the individual). The activities enhance the individual's involvement with the community and facilitate the development of natural supports. Community Engagement must be provided in the least restrictive and most

integrated settings according to the individual's person-centered plan and individual choice. Community Engagement will be provided in general public community settings to which individuals with/without disabilities have access.

Allowable Activities:

a. Skill building, education, support and monitoring that assists the individual with the acquisition and retention of skills in the following areas: (i) activities and public events in the community; (ii) community educational activities and events; (iii) interests and activities that encourage meaningful use of leisure time; (iv) volunteer experiences; and (vi) maintaining contact with family and friends.
b. Skill building and education in self-direction designed to enable the individual to achieve one or more of the following outcomes particularly through community collaborations and social connections developed by the provider (e.g., partnerships with community entities such as senior centers, arts councils, etc.): (i) development of self-advocacy skills; (ii) exercise of civil rights; (iii) acquisition of skills that promote the ability to exercise self-control and responsibility over services and supports received or needed; (iv) acquisition of skills that enable the individual to become more independent, integrated, or productive in the community; (v) development of communication skills and abilities; (vi) furthering spiritual practices; (vii) participation in cultural activities; (viii) developing skills that enhance career planning goals in the community; (ix) development of living skills; (x) promotion of health and wellness; (xi) development of orientation to the community, mobility, and the ability to achieve the desired destination; (xii) access to and utilization of public transportation; or (xiii) interaction with volunteers from the community in program activities.

This service may include planning community activities with the individual, although this is limited to no more than 10% of the total number of authorized hours per week.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
The unit of service is an hour. Community Engagement, alone or in combination with Group Day, Community Coaching, Workplace Assistance, and/or Supported Employment services are limited to no more than 66 hours per week.

These services cannot take place in a licensed residential setting or in the individual's residence on in "centers"

These services are provided at a ratio of no more than 3 individuals supported by 1 staff person.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Community Engagement Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Engagement

Provider Category:
Agency
Provider Type:
Community Engagement Provider
Provider Qualifications
License *(specify)*:
Community Engagement service providers must be licensed by DBHDS as a provider of non-center based day support services.
Certificate *(specify)*:

Other Standard *(specify)*:
Providers must have a signed Provider Participation agreement with DMAS in order to provide these services. The provider designated in the Participation Agreement must directly provide the services and bill DMAS for

reimbursement.

Providers must also assure that persons providing these services have received training in the characteristics of developmental disabilities and appropriate interventions, training strategies and other methods of supporting individuals with functional limitations prior to providing waiver services and pass an objective standardized test of skills, knowledge, and abilities approved by DBHDS that must be administered according to DBHDS' defined procedures.

Verification of Provider Qualifications

Entity Responsible for Verification:

DBHDS Office of Licensing verifies that service providers meet DBHDS licensing standards.

DMAS Quality Management Review (QMR) staff verifies that staff has received the required training.

Frequency of Verification:

The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DBHDS Office of Licensing staff may conduct unannounced onsite reviews of licensed providers and each of its services at any time and at least annually to determine compliance with licensing regulations. Staff may investigate complaints or incidents to determine if there is a licensing violation.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Community Guide

HCBS Taxonomy:

Category 1:	Sub-Category 1:
13 Participant Training	13010 participant training
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*

Community Guide Services include direct assistance to promote individuals' self-determination through brokering very specific community resources that lead to connection to and independent participation in integrated, independent housing or community activities so as to avoid isolation. This means that Community Guides investigate and coordinate as necessary the available, naturally occurring community resources to enable the individual to participate in those resources of interest to him/her. Community Guides provide information and directed assistance that helps the individual in developing supportive community relationships and exploring specific community resources that promote implementation of the person-centered plan. This service involves face to face contact with the individual to determine the individual's specific interests, which may lead to typical community activities or settings in which the individual will engage or reside. In addition to primarily engaging face to face with the individual to identify and explore community resources, there is a component of supporting the individual that

may occur without him/her present. Community Guide services involve helping the individual identify the type of community options which maximize the individual's opportunities for meaningful engagement and growth in independence. The Community Guide will provide the in-depth individualized assistance needed to connect with community activities and foster engagement distinct from the generic activities provided through routine case management. This service is designed to be short-term and periodic in nature.

This service may be provided by persons with one of two foci:
I. General community guide:
This involves utilizing existing assessment information regarding the individual's general interests in order to determine specific activities and venues that are available in his community to which he desires to be connected (e.g., clubs, special interest groups, physical activities/sports teams, etc.) in order to promote his inclusion and independent participation in the life of his community. The desired result is an increase in daily or weekly natural supports, as opposed to increasing hours of paid supports.

Allowable Activities:
1. Utilize assessment and other information provided by the case manager in tandem with an in depth discussion with the individual regarding his interests in order to develop a Plan for Supports which contains a step by step strategy for the individual and his family/friends, as appropriate, to carry out in order to reduce barriers and challenges to accessing community resources/activities to support his interests. The plan for supports should identify targeted actions that will promote community integration and independent or naturally supported involvement;
2. Assist the individual in connecting to the identified, non-Medicaid funded community resources by researching and contacting the parties responsible for the identified integrated activities, supports, services, and/or resources delineated in the individual's plan for supports;
3. Provide advocacy and informal counseling that helps guide the individual in problem solving and decision making that enhances the individual's ability to interact and contribute in the local community;
4. Guide the individual and/or demonstrate on site the means of accessing the identified integrated community activities, supports, services, and/or resources;
5. Ensure the individual's active and appropriate utilization of the activities, supports, services and/or resources to which the Community Guide assisted in connecting.

II. Community housing guide:
This involves supporting an individual's move to independent housing by helping with transition and tenancy sustaining activities. The community housing guide will work in collaboration with the case manager, regional housing specialist, and others to enable the individual achieve and sustain integrated, independent living.

Allowable Activities:
1. Conduct a tenant screening that identifies the individual's preferences and barriers related to successful tenancy;
2. Develop a plan with outcomes and support activities that the community guide will provide to identify and secure safe, affordable housing and assist the individual in the community as he or she implements the plan and work with the case manager to propose recommendations as to waiver support services and activities needed in the Individual Service Plan;
3. Assist with the housing search and application process;
4. Help identify resources to cover expenses such as security deposit, moving costs, furnishings, adaptive aids, environmental modifications, moving costs and other one-time expenses;
5. Assist in arranging for and supporting the details of the move;
6. Provide education and training on the role, rights and responsibilities of the tenant and landlord during the transition from home or congregate setting;
7. Provide training in being a good tenant and lease compliance; support with activities related to household management as part of the transitional support activities
8. Assist in resolving disputes with landlords and/or neighbors to reduce risk of eviction or other adverse action during the period of time that community guide services are authorized; and
9. Assist with the housing recertification process, if or when requested by the case manager or the individual's support team.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Community Guide is expected to be a short, periodically intermittent, intense service associated with a specific outcome. An individual may receive one or more of the two types of Community Guide services in an ISP year. Each type of Community Guide service may be authorized for up to 6 consecutive months, and the cumulative total across both may be no more than 120 hours in a plan year.

Community Guide activities conducted not in the presence of the individual, such as researching and contacting potential sites, supports, services and resources, shall not comprise more than twenty-five percent of authorized plan for support hours.

The Community Guide will not supplant, replace, or duplicate activities that are required to be provided by the case manager. Prior to accessing funding for this waiver service, all other available and appropriate funding sources, including those offered by Virginia Medicaid State Plan, Division of Rehabilitative Services, and State Department of Education, must be explored and exhausted.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

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

Provider Specifications:

Provider Category	Provider Type Title
Individual	Community Guide

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community Guide

Provider Category:
Individual

Provider Type:
Community Guide

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
1. General Community Guide services may be provided by persons who have successfully completed and received a certificate of completion for both The Learning Community's
- Person-Centered Thinking training and
- Community Connections training.

2. The Community Housing Guide services may be provided by persons who have successfully completed:
- Person-Centered Thinking training
  AND
- DBHDS Independent Housing Curriculum Modules 1-3
  AND one of the following:
  - o Regional Fair Housing course offered by the VA Fair Housing Office
  - o VHDA Rental Education Coursework

Providers must have a signed provider participation agreement with DMAS in order to provide Community Guide services.

The provider designated in the Participation Agreement must directly provide the services and bill DMAS for reimbursement.

Verification of Provider Qualifications

Entity Responsible for Verification:
DMAS Provider Enrollment verifies prior to enrollment that Community Guides meet all initial requirements.

DMAS Quality Management Review (QMR) staff verifies that Community Guides have received the required training and continue to comply with service requirements.

Frequency of Verification:
DMAS Provider Enrollment verifies provider participation requirements triennially.

DMAS QMR staff review a sample of providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Community-based Crisis Supports

HCBS Taxonomy:

Category 1:	Sub-Category 1:
10 Other Mental Health and Behavioral Services	10010 mental health assessment
Category 2:	**Sub-Category 2:**
10 Other Mental Health and Behavioral Services	10030 crisis intervention
Category 3:	**Sub-Category 3:**
10 Other Mental Health and Behavioral Services	10040 behavior support
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*

Community-based crisis supports provides services to individuals experiencing crisis events which put them at risk for homelessness, incarceration, hospitalization, and/or danger to self or others. Community-based crisis supports are ongoing supports to individuals who may have a history of multiple psychiatric hospitalizations; frequent medication changes; enhanced staffing required due to mental health or behavioral concerns; and/or frequent setting changes. Supports are provided in the individual's home and community setting. Crisis staff work directly with and assist the individual and their current support provider or family. Techniques and strategies are provided via coaching, teaching, modeling, role-playing, problem solving, or direct assistance. These services provide temporary intensive services and supports that avert emergency psychiatric hospitalization or institutional placement or prevent other out-of-home placement.

In order to receive community-based crisis supports, the individual shall:

a. Have a history of at least one of the following:

(i). Previous psychiatric hospitalization(s);

(ii). Previous incarceration;

(iii). Lost previous residential/day placements; or

(iv). Behaviors that have significantly jeopardized placement; and

b. Meet at least one of the following:

(i) the individual shall be experiencing a marked reduction in psychiatric, adaptive, or behavioral functioning;

(ii) the individual shall be experiencing an increase in extreme emotional distress;

(iii) the individual shall need continuous intervention to maintain stability; or

(iv) the individual shall be causing harm to himself or others; and

b. Be at risk of at least one of the following:

(i) psychiatric hospitalization;

(ii) emergency ICF/IID placement;

(iii) immediate threat of loss of a community service due to a severe situational reaction; or

(iv) causing harm to self or others.

The allowable activities include but are not limited to:

1. Psychiatric, neuropsychiatry, and psychological assessment, and other assessments and stabilization techniques;

2. Medication management and monitoring;

3. Behavior assessment and positive behavior support;

4. Intensive care coordination with other agencies and providers to assist the planning and delivery of services and supports to maintain community placement of the individual;

5. Training of family members and other caregivers and service providers in positive behavioral supports to maintain the individual in the community;

6. Assisting with skill building as related to the behavior creating the crisis in areas such as self-care/ADLs, independent living skills, self-esteem building activities, appropriate self-expression, coping skills, and medication compliance.

Crisis Prevention is not billed separately.

Community-based crisis supports is only provided to individuals age 21 and over. All medically necessary community-based crisis supports for children under age 21 are covered in the state plan pursuant to the EPSDT benefit."
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Service provision is limited to six months per year to be authorized in 30 day increments.

The unit of service for community-based crisis is hourly.

Crisis Prevention is not billed separately.
Intensive care coordination shall only be applicable to those individuals who do not have an active case manager until such time as they are connected to one.

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Community-based Crisis Supports

Provider Category:
Agency

Provider Type:

Provider Qualifications

License *(specify)*:
Community-based crisis support providers shall be licensed by DBHDS as providers of mental health outpatient/crisis stabilization services-REACH. Community-based crisis support services shall be provided by an LMHP, LMHP-supervisee, LMHP-resident, LMHP-RP, a certified pre-screener, QMHP, or QDDP.
Certificate *(specify)*:
Providers must have a signed provider participation agreement with DMAS in order to provide Community-based crisis services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

Community-based crisis supports shall be provided by a Licensed Mental Health Professional (LMHP), LMHP-supervisee, LMHP-resident, LMHP-RP, a certified pre-screener, or QDDP.

The QDDP providing community-based crisis supports must have:
1. At least one year of documented experience working directly with individuals who have developmental

disabilities,
2. A bachelor's degree in a human services field including, but not limited to, sociology, social work, special education, rehabilitation counseling, or psychology; or a bachelor's degree in another field in addition to an advanced degree in a human services field; and
3. The required Virginia or national license, registration, or certification, as is applicable, in accordance with his or her profession.

Other Standard *(specify):*

Verification of Provider Qualifications

Entity Responsible for Verification:
DBHDS Office of Licensing verifies that providers of community-based crisis support services meet DBHDS licensing standards.

DMAS Quality Management Review (QMR) staff verifies that staff has received the required training.

Frequency of Verification:
DBHDS Office of Licensing staff may conduct unannounced onsite reviews of DBHDS licensed providers at any time and at least annually to determine compliance with licensing regulations. Staff may investigate complaints or incidents to determine if there is a licensing violation.

The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DMAS QMR staff review a sample of providers annually. Staff may conduct announced and unannounced onsite reviews or desk audits of the records at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:
Other Service

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

Service Title:
Companion Services

HCBS Taxonomy:

Category 1:	Sub-Category 1:
08 Home-Based Services	08040 companion
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*
Companion services provide nonmedical care, socialization, or support to adults, ages 18 and older. This service is provided in an individual's home or at various locations in the community.

The allowable activities include:

1. Assistance or support with tasks such as meal preparation, laundry, and shopping;
2. Assistance with light housekeeping tasks;
3. Assistance with self-administration of medication;
4. Assistance or support with community access and recreational activities; and
5. Support to assure the safety of the individual.

Individuals are afforded the opportunity to act as the employer in the consumer-direction of companion services. This involves hiring, training, supervision, and termination of companions. Individuals choosing to receive services through the consumer-directed model may do so by choosing a services facilitator to provide the training and guidance needed to be an employer. If the individual is unable to independently manage his/her own consumer-directed services, an adult family member/caregiver or other chosen person must serve as the employer of record (EOR) on behalf of the individual.

Unlike personal assistance and residential support, companion services do not permit routine support with activities of daily living (such as toileting, bathing, dressing, grooming). The allowable activities center on instrumental activities of daily living (meal prep, shopping, community integration, etc.).

Companion services are provided in a one-to-one fashion and are thus occasionally coupled with residential support if an individual has a desire to pursue community interests distinct from roommates and does not have the need for support with ADLs during the time of companion services provision.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Individual must be 18 years of age or older to receive this service.

Service delivery may not exceed 8 hours per day.

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

- [x] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Individual	Consumer-Directed Companion
Agency	Companion Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Companion Services

Provider Category:
Individual

Provider Type:
Consumer-Directed Companion

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
Companions do not need to be enrolled with DMAS (i.e., have a participation agreement) to provide consumer-directed companion services.

Companion qualifications include the following requirements. The companion must:

a. Be 18 years of age or older and possess a valid Social Security number that has been issued by the Social

Security Administration to the person who is to function as the assistant;
b. Be able to read and write English to the degree necessary to perform the tasks expected and possess basic math skills;
c. Have the required skills and physical abilities to perform the services as specified in the individual's Plan for Supports;
d. Be willing to attend training at the individual's and the family/caregiver's, and EOR's, as appropriate, request;
e. Understand and agree to comply with the DMAS requirements; and
f. Receive a tuberculosis screening according to VDH guidelines.

The CD companion must submit to a criminal history record check for barrier crimes, as defined in 12VAC30-120-1000, within 15 days from the date of employment. The companion will not be compensated for services provided to the individual subsequent to the receipt of a records check verifying that the companion has been convicted of crimes according to the requirements of the Code of Virginia, as applicable.

Verification of Provider Qualifications

Entity Responsible for Verification:

The individual/employer of record is responsible for the verification of
- the employee's skill set,
- the employee's willingness to attend training upon request,
- possession of basic math, reading & writing skills,
- compliance with waiver requirements, and
- receipt of verification of a TB screening according to VDH guidelines.

The Fiscal Management Services (FMS) is responsible for verifying that
- the employee meets the minimum age requirement,
- the employee's possesses a valid SSN,
- the criminal records check is completed.

Frequency of Verification:

Initially upon hire.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Companion Services

Provider Category:

Agency

Provider Type:

Companion Provider

Provider Qualifications

License *(specify):*

The following types of providers can deliver companion services:

1. Providers licensed by DBHDS as a provider of group home residential services, supportive in-home residential services, non-center based day support, or respite services; or

2. Personal care agencies licensed by the Virginia Department of Health or that have accreditation from any organization recognized by the CMS for the purposes of Medicare certification.

Certificate *(specify):*

Other Standard *(specify):*

Companion providers must have a signed Provider Participation agreement with DMAS in order to provide Companion services. The provider designated in the Participation Agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

Providers of companion services must employ individuals who meet the following requirements:

1. Are 18 years of age or older and possess a valid Social Security Number;

2. Are able to read and write English to the degree necessary to perform the tasks expected and possess basic math skills;

5. Have the required skills to perform services as specified in the individuals' service plan with minimal supervision;

6. Are capable of following a service plan with minimal supervision;

7. Submit to criminal history record check within 15 days from the date of employment. The companion will not be compensated for services provided to the individual subsequent to the receipt of a records check verifying that the companion has been convicted of crimes according to the requirements of the Code of Virginia, as applicable;

8. Receive an annual tuberculosis (TB) screening according to VDH guidelines; and

9. Are capable of aiding the individual in the instrumental activities of daily living.

Companions must be employees of providers that contract with DMAS to provide companion services. Providers are required to have a companion supervisor to monitor companion services. The supervisor must have a bachelor's degree in the human services field and at least one year of experience working in the DD field, or be an RN with at least one year of experience working in the DD field. A RN must have a current license or certification to practice nursing in the Commonwealth within his or her profession.

Verification of Provider Qualifications

Entity Responsible for Verification:

DBHDS Office of Licensing verifies that DBHDS-licensed providers of Companion services meet DBHDS licensing standards.

VDH verifies that VDH licensed providers meet VDH licensing standards.

Frequency of Verification:

The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DBHDS Office of Licensing staff may conduct unannounced onsite reviews of DBHDS-licensed providers at any time and at least annually to determine compliance with licensing regulations. Staff may investigate complaints or incidents to determine if there is a licensing violation.

DMAS QMR staff review a sample of companion services providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Crisis Support Services

HCBS Taxonomy:

Category 1:	Sub-Category 1:
10 Other Mental Health and Behavioral Services	10010 mental health assessment
Category 2:	**Sub-Category 2:**
10 Other Mental Health and Behavioral Services	10030 crisis intervention
Category 3:	**Sub-Category 3:**

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

Service Definition *(Scope)*:
Crisis Support services provide intensive supports by appropriately trained staff in the area of crisis prevention, crisis intervention, and crisis stabilization to an individual who may experience an episodic behavioral or psychiatric crisis in the community which has the potential to jeopardize their current community living situation. This service shall be designed to stabilize the individual and strengthen the current living situation so the individual can be supported in the community during and beyond the crisis period. Crisis support services may be provided in all community settings including licensed and unlicensed homes, programs, etc. All providers are required to train staff on individual rights and to ensure rights are safeguarded.

a. Crisis Prevention - Crisis prevention services provide ongoing assessment of an individual's medical, cognitive, and behavioral status as well as predictors of self injurious, disruptive, or destructive behaviors, with the initiation of positive behavior supports to prevent occurrence of crisis situations. Crisis prevention also encompasses providing support to the family and the individual through facilitating team meetings, revising the behavior plan, etc. as they implement changes to the plan for support and address any residual concerns from the crisis situation. Staff will arrange to train and mentor staff or family members who will support the individual long term once the crisis has stabilized in order to minimize or prevent recurrence of the crisis. Crisis support staff will deliver such support in a way that maintains the individual's typical routine to the maximum extent possible. Crisis prevention is not billed separately.

b. Crisis Intervention - Crisis intervention services are used in the midst of the crisis to prevent the further escalation of the situation and to maintain the immediate personal safety of those involved. Crisis Intervention is a relatively short term service that provides a highly structured intervention that may include temporary changes to the person's residence, removal of certain items from the setting, changes to the person's daily routine, and emergency referrals to other care providers. Those providing crisis intervention services must also be well-versed and fluent in verbal de-escalation techniques, including active listening, reflective listening, validation, and suggestions for immediate changes to the situation.

c. Crisis Stabilization - Crisis stabilization services begin once the acuity of the situation has resolved and there is no longer an immediate threat to the health and safety of those involved. Crisis stabilization services are geared toward gaining a full understanding of all of the factors that precipitated the crisis and may have maintained it until trained staff from outside the immediate situation arrived. Crisis stabilization plans are developed by staff trained in basic behavioral treatment and crisis management. These plans may include modifications to the environment, interventions to enhance communication skills, or changes to the individual's daily routine or structure. Staff developing these plans must be able to train support staff, family, and other significant persons in the individual's life.

Crisis supports services is only provided to individuals age 21 and over. All medically necessary crisis supports services for children under age 21 are covered in the state plan pursuant to the EPSDT benefit.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Service provision is subject to the following limits:
*30 days per year of crisis prevention
*90 days per year of crisis intevention
*60 days per year of crisis stabilization (authorized in 15 day increments)

The service unit is hourly.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Crisis Support Services Provider

Appendix C: Participant Services

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

Service Type: Other Service

Service Name: Crisis Support Services

Provider Category:
Agency

Provider Type:
Crisis Support Services Provider

Provider Qualifications

License *(specify):*
A crisis support provider must be licensed by DBHDS as a provider of outpatient crisis stabilization services, residential crisis stabilization services or nonresidential crisis stabilization services.

In addition to meeting the above licensing requirements, the clinical services provider must employ or utilize qualified developmental disability professionals (QDDPs), licensed mental health professionals, or other personnel competent to provide clinical or behavioral interventions. These might include crisis counseling, behavioral consultation, or related activities to individuals with DD who are experiencing serious psychiatric or behavioral problems. The face-to-face assessment or reassessment required to initiate or continue this service must be conducted by a QDDP.

The QDDP providing crisis stabilization clinical/behavioral intervention services must have:

1. At least one year of documented experience working directly with individuals who have developmental disabilities; and

2. At least a bachelor's degree in a human services field including, but not limited to, sociology, social work, special education, rehabilitation counseling, or psychology.

3. The required Virginia or national license, registration, or certification, as is applicable, in accordance with his or her profession.

Virginia attests that no duplication of crisis support services in the waiver and EPSDT services will be permitted and will ensure that each child has access to all services to which he/she is entitled through EPSDT.

Certificate *(specify):*

Other Standard *(specify):*
Crisis support providers must have a signed provider participation agreement with DMAS in order to provide these services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement. All providers are required to train staff on individual's rights and to ensure rights are safeguarded.

Verification of Provider Qualifications

Entity Responsible for Verification:
DBHDS Office of Licensing verifies that providers of crisis support services meet DBHDS licensing standards.

DMAS Quality Management Review (QMR) staff verifies that staff are QDDPs.

Frequency of Verification:
The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DBHDS Office of Licensing staff may conduct unannounced onsite reviews of licensed providers at any time and at least annually to determine compliance with licensing regulations. Staff may investigate complaints or incidents to determine if there is a licensing violation.

DMAS QMR staff review a sample of providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:
Other Service

As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.
Service Title:
Electronic Home-Based Supports

HCBS Taxonomy:

Category 1:	**Sub-Category 1:**
14 Equipment, Technology, and Modifications	14031 equipment and technology
Category 2:	**Sub-Category 2:**
14 Equipment, Technology, and Modifications	14010 personal emergency response system (PERS)
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope)*:
Goods and services based on Smart Home© technology. This includes purchases of electronic devices, software, services, and supplies not otherwise provided through this waiver or through the State Plan, that would allow individuals to access technology that can be used in the individual's residence to support greater independence and self-determination.

The service will support the assessment for determining appropriate equipment/devices, acquisition, training in the use of these goods and services, ongoing maintenance and monitoring services to address an identified need in the individual's person-centered service plan (including improving and maintaining the individual's opportunities for full participation in the community) and meet the following requirements: the item or service will decrease the need for other Medicaid services (e.g., reliance on staff supports); AND/OR promote inclusion in the community; AND/OR increase the individual's safety in the home environment.

These electronic goods and services are purchased for the individual. Examples are electronic devices that verbally prompt the individual to turn off the stove or lock the front door and sensors that provide a family member or provider with information about the individual's movements around his/her living area. This service includes ongoing electronic monitoring, which is the provision of oversight and monitoring within the home of the adult individual (18 years and older) through off-site monitoring which includes live video feed; live audio feed; motion sensing system; radio frequency identification (RFID); web-based monitoring system; or other devices approved by DBHDS/DMAS. The system shall include devices to engage in live, two-way communication with the individual being monitored. Also included is the provision of stand-by intervention staff prepared for prompt engagement with the individual and/or immediate deployment to the residential setting in critical situations.

In situations in which EHBS will include live video and/or audio feed, the individual, legal guardian, authorized representative will be required to sign a consent form which acknowledges their agreement to some degree of compromise to the individual's privacy in exchange for the safety afforded by the electronic monitoring.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
The maximum Medicaid-funded expenditure for EHBS is $5,000 per year.

A preliminary needs assessment will be conducted by a technology specialist to help determine the best type and use of technology and the overall cost effectiveness of various options.

This service will not be available to individuals receiving residential supports that are reimbursed on a daily basis (i.e., supported living residential services).

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [ ] **Relative**

☐ **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Electronic home -based Supports

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Electronic Home-Based Supports

Provider Category:
Agency

Provider Type:
Electronic home -based Supports

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
EHBS providers must have a signed provider participation agreement with DMAS in order to provide these services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

The technology specialist conducting the preliminary assessment may be:

- an occupational therapist who is certified by the Commonwealth of Virginia and specializes in assistive technologies, mobile technologies and smart home accommodations for people with developmental disabilities or other similarly credentialed specialist

An EHBS provider shall be one of the following:

(i) an enrolled personal care agency;
(ii) an enrolled durable medical equipment provider;
(iii) a CSB
(iv) a Center for Independent Living
(v) a licensed home health provider; or
(vi) a PERS manufacturer that has the ability to provide electronic home-based equipment, direct services (i.e., installation, equipment maintenance, and service calls), and monitoring services.

The provider of ongoing electronic monitoring systems must provide an emergency response center with fully trained operators who are capable of receiving signals for help from an individual's equipment 24-hours a day, 365, or 366, days per year as appropriate, of determining whether an emergency exists, and of notifying the appropriate responding organization or an emergency responder that the individual needs help.

The EHBS provider shall have the primary responsibility to furnish, install, maintain, test, and service the equipment, as required, to keep it fully operational. The provider shall replace or repair the device within 24 hours of the individual's notification of a malfunction of the unit or device.

The EHBS provider must properly install all equipment and must furnish all supplies necessary to ensure that the system is installed and working properly.

An EHBS provider shall install, test, and demonstrate to the individual and family/caregiver, as appropriate, the unit or device before submitting his claim for services to DMAS.

Verification of Provider Qualifications

Entity Responsible for Verification:
Virginia Department of Medical Assistance Services

Frequency of Verification:
The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DMAS QMR staff review a sample of providers annually. Staff may conduct announced and unannounced onsite reviews or desk audits of the records at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Employment and Community Transportation

HCBS Taxonomy:

Category 1:	Sub-Category 1:
15 Non-Medical Transportation	15010 non-medical transportation
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*

This service is offered in order to enable individuals to gain access to an individual's place of employment or volunteer activity, other community services or events, activities and resources, homes of family or friends, civic organizations or social clubs, public meetings or other civic activities, and spiritual activities or events as specified by the support plan and when no other means of access is available. The goal of this service is to promote the individual's independence and participation in the life of his community. Use of this service must be related to the individual's desired outcomes as stated in the ISP. This service is offered in addition to medical transportation required under 42 CFR §431.53 and transportation services under the State plan, defined at 42 CFR §440.170(a), and does not replace them.

The service may include transportation in a private vehicle by a person such as a co-worker or other community member or the purchase of tickets for public transportation such as bus or subway. In either case, an administering agency will coordinate and bill DMAS.

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

This service is available to individuals 18 years and older.

This service shall not be authorized or reimbursed for individuals who can access transportation through the State Plan or other waiver services which include a transportation component. The individual or legal guardian must verify that he does not have sufficient personal financial resources (e.g., through wages) to cover the cost of the transportation himself.

Private transportation is reimbursed according to a "trip" and the number of individuals being transported to the location (maximum of three). There are three trip rates depending on the distance traveled:

1. Under 10 miles
2. Between 10 – 20 miles
3. Over 20 miles

The purchase of tickets for public transportation and dissemination to the individual is coordinated by the administering agency.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [x] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Employment and Community transportation provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Employment and Community Transportation

Provider Category:
Agency

Provider Type:
Employment and Community transportation provider

Provider Qualifications

License *(specify)*:
The service will be offered through an administering agency that possesses any DBHDS license to provide services to individuals with developmental disabilities or a Center for Independent Living. Administering agencies shall be enrolled with DMAS (i.e., has a participation agreement) to provide these services.

Certificate *(specify)*:

Other Standard *(specify)*:
In the case of private transportation, the administering agency will be responsible for screening community persons to drive the individual to the designated location(s) according to the ISP.
The private driver must:
1. Be 18 years of age or older;
2. Possess a valid driver's license;
3. Possess and maintain at a minimum (1) proof of general liability insurance coverage in compliance with federal and/or state statutory requirements and (2) a satisfactory driving record defined as no reckless driving charges within the past 24 months. The insurance should insure the insured or the passengers:
a. Against loss from any liability imposed by law for damages;
b. Against damages for care and loss of services, because of bodily injury to or death of any person;
c. Against injury to or destruction of property caused by accident and arising out of the ownership, use, or operation of such motor vehicle or motor vehicles within the Commonwealth, any other state in the United States, or Canada;
d. Subject to a limit of exclusive of interest and costs, with respect to each motor vehicle of $25,000 because of bodily injury to or death of one person in any one accident and, subject to the limit for one person, to a limit of $50,000 because of bodily injury to or death of two or more persons in any one accident; and
e. Subject to a limit of $20,000 because of injury to or destruction of property of others in any one accident.

Verification of Provider Qualifications

Entity Responsible for Verification:
The administrative entity is responsible for the verification of the private driver's:
1. possession of a current, valid driver's license and no reckless driving charges within the past 24 months,
2. possession of car insurance,
3. ensuring that the driver meets the minimum age requirement of age 18,
4. completion of an attestation signed by the private driver, the individual, and the individual's guardian or authorized representative, as appropriate, that the driver has disclosed any relevant felonies and if listed on any registry. The administering agency will ensure that the driver is not listed on the Virginia Sex Offender Registry.

Frequency of Verification:
Initially and annually the administering provider will verify and document that each private driver possesses a current, valid driver's license and car insurance.
DMAS QMR staff review a sample of providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Environmental Modifications

HCBS Taxonomy:

Category 1:	Sub-Category 1:
14 Equipment, Technology, and Modifications	14020 home and/or vehicle accessibility adaptations
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*

Environmental modifications include physical adaptations to the individual's primary home or primary vehicle that are necessary to ensure the health and welfare of the individual, or that enable the individual to function with greater independence. Such adaptations may include, but shall not necessarily be limited to, the installation of ramps and grab-bars, widening of doorways, modification of bathroom facilities, or installation of specialized electric and plumbing systems that are necessary to accommodate the medical equipment and supplies that are necessary for the individual. Modifications may be made to a primary automotive vehicle in which the individual is transported if it is owned by the individual, a family member with whom the individual lives or has consistent and ongoing contact, or a nonrelative who provides primary long-term support to the individual and is not a paid provider of services.

Allowable activities include:

1. Physical adaptations to a house or place of residence necessary to ensure an individual's health, welfare and safety (e.g., installation of specialized electric and plumbing systems to accommodate medical equipment and supplies);

2. Physical adaptations to a house or place of residence which enable an individual to live in a noninstitutional setting and to function with greater independence that do not increase the square footage of the house or place of residence (e.g., installation of ramps and grab-bars, widening of doorways, modifications of bathroom facilities);

3. Modifications to the primary vehicle being used by the individual.

Exclusions to this service are those modifications, adaptations or improvements to the home which are of general utility and are not intended to provide a direct medical or remedial benefit to the individual (i.e., carpeting, roof repair, central air conditioning.) Further, environmental modifications may not be used to bring a substandard dwelling up to minimum habitation standards. Also excluded are modifications that are reasonable accommodation requirements of the American's with Disabilities Act, Virginians with Disabilities Act, and the Rehabilitation Act. Modifications, adaptations or improvements, which add to the total square footage of the home, are not allowable expenditures except when necessary to complete an adaptation, as determined through preauthorization. All modifications must meet current building code.

The case manager submits service plan information to the operating agency, DBHDS, for service authorization. DBHDS employs Qualified Developmental Disability Professionals (QDDPs) to complete the approval/service authorization process. DMAS reviews a sample of DBHDS's service authorizations as part of its monitoring process.

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

The maximum Medicaid-funded expenditure for environmental modifications is $5,000 per year.

EM shall be available to individuals enrolled in the waiver who are receiving at least one other waiver service.

Environmental modifications shall be provided in the least expensive manner possible that will accomplish the modification required by the individual. This service shall encompass those items not otherwise covered in the State Plan for Medical Assistance or through another program.

Environmental modifications are not allowed to be reimbursed for the work site, community activity setting or day program (which exceed reasonable accommodation requirements of the employer under the Americans with Disabilities Act).

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Environmental Modifications

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Environmental Modifications

Provider Category:
Agency

Provider Type:
Environmental Modifications

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
Environmental modifications shall be provided in accordance with all applicable federal, state, or local building codes and laws by CSB contractors or DMAS-enrolled providers.

Providers must have a signed provider participation agreement with DMAS in order to provide environmental modification services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement. Providers may also go through the CSBs' OHCDS as a provider.

The contractor must:

1. Comply with all applicable state and local building codes, with accommodations to meet the individual's needs (code variations permitted in individuals' residences, excluding group homes);

2. If used previously, have satisfactorily completed previous environmental modifications; and

3. Be available for any service or repair of the environmental modifications.

One modification may require the collaboration of up to three different providers:

1. A rehabilitation engineer or certified rehabilitation specialist (CRS) may be used in cases where structural modifications of the primary residence are requested to evaluate the individual's needs and subsequently act as project manager, assuring functionality of the environmental modification through quality assurance inspections

once the project is finished. Alternatively, the rehabilitation engineer may actually design and personally complete the modification. A physical therapist or occupational therapist, available through the State Plan for Medical Assistance or waiver therapeutic consultation, may also be utilized to evaluate the needs for environmental modifications, when appropriate;

2. A building contractor may design and complete the structural modification; and

3. A vendor who supplies the necessary materials may be separately reimbursed, or supplies may be included in the bill of the building contractor or rehabilitation engineer.

A rehabilitation engineer/CRS may be required if (for example):

• The environmental modification involves combinations of systems which are not designed to go together.

• The structural modification requires a project manager to assure that the design and functionality meet ADA accessibility guidelines.

• Where structural modifications of the primary residence are requested to ensure the residence is structurally sound for the modifications.

Verification of Provider Qualifications

Entity Responsible for Verification:

The Virginia Department of Medical Assistance Services

Frequency of Verification:

The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DMAS QMR staff review a sample of environmental modifications providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Group Supported Employment

HCBS Taxonomy:

Category	Sub-Category
Category 1: 03 Supported Employment	**Sub-Category 1:** 03010 job development
Category 2: 03 Supported Employment	**Sub-Category 2:** 03022 ongoing supported employment, group
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*

Group Supported Employment is defined as continuous support provided by staff in a naturally occurring place of employment to groups of two to eight individuals with disabilities and involves interactions with the public and coworkers without disabilities. Examples include mobile crews and other business-based workgroups employing small groups of workers with disabilities in the community.

Group Supported Employment must be provided in a community setting that promotes integration into the workplace and interaction between participants and people without disabilities in the workplace.

These supports enable an individual to obtain and maintain a job in the general workforce for which an individual is compensated at or above the minimum wage, but not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities.

The allowable activities are:

1. Vocational/job-related discovery or assessment;

2. Person-centered employment planning which results in employment related outcomes;

3. Individualized job development that produces an appropriate job match for the individual and the employer to include job analysis and/or job carving;

4. Negotiation with prospective employers;

5. On-the-job training in work skills required to perform the job;

6. Ongoing evaluation, supervision, and monitoring of the individual's performance on the job but which do not include supervisory activities rendered as a normal part of the business setting;

7. Ongoing support services necessary to assure job retention;

8. Supports to ensure the individual's health and safety;

9. Development of work-related skills essential to obtaining and retaining employment, such as the effective use of community resources and break/lunch areas and transportation systems; and

10. Staff coverage for transportation between the individual's place of residence and the workplace when other forms of transportation are unavailable or inaccessible (i.e., time spent transporting).

The individual's assessment and individual support plan must clearly reflect the individual's need for employment-related skill building. Personal care activities are not typically provided, but may be included.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
The unit of service is an hour. Supported employment services, alone or in combination with Community Engagement, Community Coaching, Workplace Assistance, and/or Group Day services are limited to no more than 66 hours per week.

Providers for persons eligible for or receiving supported employment services funded under §110 of the Rehabilitation Act of 1973 (through DARS) or §§ 602(16)(17) of the Individuals with Disabilities Education Act (IDEA) (through special education services) cannot receive payment for this service through waiver services. The case manager must assure that supported employment services are not available through these sources and document the finding in the individual's case management record. When services are provided through these sources, the individual support plan will not include them as a requested waiver service.

Providers shall not submit for reimbursement from DMAS for incentive payments, subsidies, or unrelated vocational training expenses.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Group Supported Employment Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Group Supported Employment

Provider Category:
Agency

Provider Type:
Group Supported Employment Provider

Provider Qualifications

License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*
Supported employment providers must be a vendor of supported employment services with the Department of Aging and Rehabilitative Services (DARS).

Supported employment providers must have a signed provider participation agreement with DMAS in order to provide supported employment services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

Verification of Provider Qualifications

Entity Responsible for Verification:
DARS verifies that providers of supported employment services meet criteria to be a vendor through a recognized accrediting body.

Frequency of Verification:
The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DMAS QMR staff review a sample of supported employment providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:
Other Service

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

Service Title:
Individual and Family/Caregiver Training

HCBS Taxonomy:

Category 1:
09 Caregiver Support

Sub-Category 1:
09020 caregiver counseling and/or training

Category 2:

Sub-Category 2:

13 Participant Training | 13010 participant training

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

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

Service Definition *(Scope):*
Individual and Family/Caregiver Training is a service that provides training and counseling services to individuals, families or caregivers of individuals receiving waiver services. For purposes of this service, "family" is defined as the unpaid people who live with or provide supports to an individual receiving waiver services, and may include a parent, spouse, children, relatives, foster family, authorized representative, or in-laws. All individual and family/caregiver training must be included in the individual's written person-centered plan.

Allowable activities:

Participation in educational opportunities designed to improve the family's or caregiver's ability to give care and support.

Participation in educational opportunities designed to enable the individual to gain a better understanding of his/her disability or increase his/her self-determination/self-advocacy abilities.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
This service may be authorized for up to 80 hours per ISP year.

"Family" does not include people who are employed to care for the individual.

Travel expenses and room and board expenses are not covered.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Family and Caregiver Training

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Individual and Family/Caregiver Training

Provider Category:
Agency
Provider Type:
Family and Caregiver Training
Provider Qualifications
License *(specify):*

Certificate *(specify):*

Other Standard *(specify):*

Providers must have a signed provider participation agreement with DMAS in order to provide Individual Family/Caregiver Training.

Individual Family/Caregiver Training shall be provided by entities having demonstrated expertise in the topic of the training identified in the service plan. Individual Family/Caregiver Training may be provided through seminars and conferences organized by entities.

Training may also be provided by individual practitioners with experience in or demonstrated knowledge of the training topic such as:
- psychologists,
- teachers/educators,
- social workers,
- medical personnel,
- personal care providers,
- therapists, and
- providers of other services, such as Day and Residential Support.

Qualified Provider Types:
- Qualified staff of home health agencies;
- Qualified staff of community developmental disabilities agencies;
- Qualified staff of developmental disabilities residential providers;
- Qualified staff of community mental health centers;
- Qualified staff of public health agencies, hospitals, clinics, or other agencies/organizations;
- Qualified individual practitioners, which include licensed or certified personnel such as

- RNs,
- LPNs,
- psychologists,
- speech/language therapists,
- occupational therapists,
- physical therapists,
- licensed clinical social workers,
- licensed behavior analysts (BCBAs),
- persons with other education, training, or experience directly related to the specified needs of the individual as described in the service plan.

Providers of Individual Family/Caregiver Training must have the necessary licensure for their profession (i.e., if a RN, must have a current license to practice in Virginia).

Verification of Provider Qualifications

Entity Responsible for Verification:

Virginia Department of Health Professions verifies individual credentials for Speech-Language Pathologists, nurses, licensed clinical social workers, licensed professional counselors, psychologists, occupational therapists, physical therapists.

DBHDS verifies that providers of residential and day support services meet licensing requirements.

The Virginia Department of Health certifies home health agencies.

The Virginia Department of Education licenses teachers.

The Virginia Department of Medical Assistance Services verifies provider qualifications.

Frequency of Verification:

DMAS verifies provider qualifications initially and periodically every two years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:
Peer Mentor Supports

HCBS Taxonomy:

Category 1:	Sub-Category 1:
13 Participant Training	13010 participant training
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope)*:
Peer Mentor Supports provide information, resources, guidance, and support from an experienced, trained peer mentor to an individual who is a waiver recipient. This service is delivered to waiver recipients by other individuals with developmental disabilities who are or have been service recipients, have shared experiences with the individual, and provide support and guidance to him/her. The service is designed to foster connections and relationships which build individual resilience. Peer Mentor Supports encourage individuals with developmental disabilities to share their successful strategies and experiences in navigating a broad range of community resources beyond those offered through the waiver with waiver participants so that the waiver participant is better able to advocate for and make a plan to achieve integrated opportunities and experiences in living, working, socializing, and staying healthy and safe in his/her own life, as well as to overcome personal barriers which are inhibiting him/her from being more independent. Peer mentoring is intended to assist with empowering the individual receiving the service. This service is delivered based on the support needs of the individual as outlined in his/her person-centered plan. This service is designed to be short-term and periodic in nature.

Allowable Activities
1. The administering agency facilitates peer to peer "matches" and follows up to assure the matched relationship meets the individual's expectations;
2. The peer mentor has face to face contact with the individual to discuss his/her specific interests/desired outcomes related to realizing greater independence and the barriers to achieving them;
3. The peer mentor explains community services and programs and suggests strategies to the individual to achieve his/her desired outcomes, particularly related to living more independently, engaging in paid employment and expanding social opportunities in order to reduce the need for supports from family members or paid staff;
4. The peer mentor provides information from his/her experiences to help the individual in problem solving, decision making, developing supportive community relationships and exploring specific community resources that promote increased independence and community integration;
5. The peer mentor assists the individual in developing a personal plan for accessing the identified integrated community activities, supports, services, and/or resources.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
Peer Mentor Supports is expected to be a short, periodically intermittent, intense service associated with a specific outcome. Peer Mentor Supports may be authorized for up to 6 consecutive months, and the cumulative total across that timeframe may be no more than 60 hours in a plan year.

The Peer Mentor will not supplant, replace, or duplicate activities that are required to be provided by the case manager. Prior to accessing funding for this waiver service, all other available and appropriate funding sources must be explored and exhausted.

Peer Mentors cannot mentor their own family members.

Peer Mentors must be at least 21 years of age and may provide these supports only to individuals 16 years of age and older.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Peer Mentor Administrating Agency

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Peer Mentor Supports

Provider Category:
Agency

Provider Type:
Peer Mentor Administrating Agency

Provider Qualifications

License *(specify)*:
The administering agency shall be a DBHDS licensed provider of DD services or Center for Independent Living. The administering agency shall serve as the enrolled provider and maintain the documentation of the peer mentor's qualifications, criminal background and Child Protective Registry (if service recipient is under age 18) checks, and other required documentation.

Certificate *(specify)*:

Other Standard *(specify)*:
Peer Mentor Supports are provided by an individual with a developmental disability who has lived independently in the community for at least one year and is or has been a recipient of services, including but not limited to publicly-funded housing, Medicaid waiver services, work incentives, and supported employment.

The peer mentor must have completed DBHDS's DD Peer Mentor training curriculum and passed the accompanying test. The curriculum focuses on mentoring skills, effective communication, individuals' rights and responsibilities as citizens, participating in person-centered planning, as well as knowledge of community systems and services that support integrated employment and living in the community. The training will be delivered by trained volunteers through the DBHDS Office of Recovery Services. In the application to become a Peer Mentor the applicant will be asked to detail his/her personal experience related to managing independent living, managing self-direction of supports, experience with finding and maintaining a job, accessing the community and building community supports.

Individuals who receive supports through DD or other waivers may be peer mentors.

The Peer Mentor Supports administering agency must have a signed provider participation agreement with DMAS.

Verification of Provider Qualifications

Entity Responsible for Verification:
DMAS verifies provider agency qualifications initially and subsequently every three years.

Frequency of Verification:
DMAS verifies provider agency qualifications initially and subsequently every three years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:
Other Service

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

Service Title:

Personal Emergency Response System (PERS)

HCBS Taxonomy:

Category 1:	Sub-Category 1:
14 Equipment, Technology, and Modifications	14010 personal emergency response system (PERS)
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope)*:
Personal Emergency Response System (PERS) is an electronic device and monitoring service that enable certain individuals to secure help in an emergency. PERS services shall be limited to those individuals who live alone or are alone for significant parts of the day and who have no regular caregiver for extended periods of time and who would otherwise require extensive routine supervision.

PERS is a service that monitors individuals' safety in their homes, and provides access to emergency assistance for medical or environmental emergencies through the provision of a two-way voice communication system that dials a 24-hour response or monitoring center upon activation and via the individuals' home telephone system. PERS may also include medication monitoring devices.

PERS services may be authorized when there is no one else in the home with the individual who is competent or continuously available to call for help in an emergency.

Medication monitoring units must be physician ordered and are not considered a stand-alone service. Individuals must be receiving PERS services and medication monitoring service simultaneously.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:
A unit of service shall include administrative costs, time, labor, and supplies associated with the installation, maintenance, monitoring, and adjustments of the PERS. A unit of service is the one-month rental price set by DMAS. The one-time installation of the unit shall include installation, account activation, individual and caregiver instruction, and removal of PERS equipment.

PERS services shall not be used as a substitute for providing adequate supervision for the individual enrolled in the waiver.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Personal Emergency Response System Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Personal Emergency Response System (PERS)

Provider Category:
Agency
Provider Type:
Personal Emergency Response System Provider
Provider Qualifications
License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:
PERS providers must have a signed provider participation agreement with DMAS in order to provide PERS services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

A PERS provider shall be one of the following:

(i) an enrolled personal care agency;
(ii) an enrolled durable medical equipment provider;
(iii) a licensed home health provider; or
(iv) a PERS manufacturer that has the ability to provide PERS equipment, direct services (i.e., installation, equipment maintenance, and service calls), and PERS monitoring services.

The PERS provider must provide an emergency response center with fully trained operators who are capable of receiving signals for help from an individual's PERS equipment 24-hours a day, 365, or 366, days per year as appropriate, of determining whether an emergency exists, and of notifying an emergency response organization or an emergency responder that the PERS service individual needs emergency help.

The PERS provider shall have the primary responsibility to furnish, install, maintain, test, and service the PERS equipment, as required, to keep it fully operational. The provider shall replace or repair the PERS device within 24 hours of the individual's notification of a malfunction of the console unit, activating devices, or medication-monitoring unit.

The PERS provider must properly install all PERS equipment into a PERS individual's functioning telephone line or cellular system and must furnish all supplies necessary to ensure that the PERS system is installed and working properly.

The PERS installation shall include local seize line circuitry, which guarantees that the unit shall have priority over the telephone connected to the console unit should the phone be off the hook or in use when the unit is activated.

A PERS provider shall install, test, and demonstrate to the individual and family/caregiver, as appropriate, the PERS system before submitting his claim for services to DMAS.

The PERS provider shall have back-up monitoring capacity in case the primary system cannot handle incoming emergency signals.

All PERS equipment shall be approved by the Federal Communications Commission and meet the Underwriters' Laboratories, Inc. (UL) safety standard for home health care signaling equipment (in Underwriter's Laboratories Safety Standard 1637, Standard for Home Health Care Signaling Equipment, Fourth Edition, December 29, 2006). The UL listing mark on the equipment shall be accepted as evidence of the equipment's compliance with such standard. The PERS device shall be automatically reset by the response center after each activation, ensuring that subsequent signals can be transmitted without requiring manual reset by the individual enrolled in the waiver or family/caregiver, as appropriate.

The PERS provider shall be capable of continuously monitoring and responding to emergencies under all conditions, including power failures and mechanical malfunctions.

Verification of Provider Qualifications
Entity Responsible for Verification:
The Virginia Department of Medical Assistance Services
Frequency of Verification:
Frequency of Verification
The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DMAS QMR staff review a sample of PERS providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Private Duty Nursing

HCBS Taxonomy:

Category 1:	Sub-Category 1:
05 Nursing	05010 private duty nursing
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope)*:

Individual and continuous care (in contrast to part-time or intermittent care) for individuals with a serious medical condition and/or complex health care need, certified by a physician as medically necessary to enable the individual to remain at home, rather than in a hospital, nursing facility or ICF-IID. Care is provided by a registered nurse (RN) or a licensed practical nurse (LPN) under the direct supervision of a registered nurse. Individuals on the waiver under the age 21 and under shall receive private duty nursing via the EPSDT benefit.

These services are provided to an individual at their place of residence or other community settings.

The allowable activities include:

1. Monitoring of an individual's medical status;

2. Administering medications and other medical treatment; or

3. Training, consultation, nurse delegation or oversight of family members, staff, and other persons responsible for carrying out an individual's support plan for the purpose of monitoring the individual's medical status and administering medications and other medically-related procedures consistent with the Nurse Practice Act [18VAC90-20-10 et seq., by statutory authority of Chapter 30 of Title 54.1, Code of Virginia].

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

The unit of service is a quarter hour.

In accordance with the CMS Informational Bulletin issued on July 7, 2014, private duty nursing for individuals under age 21 shall be accessed through the state plan pursuant to ESPDT. Private duty nursing through this waiver shall not be available to individuals under age 21.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Private Duty Nursing Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Private Duty Nursing

Provider Category:
Agency
Provider Type:
Private Duty Nursing Provider
Provider Qualifications
License *(specify):*
Private duty nursing services may be provided by either

1) a licensed registered nurse (RN), or licensed practical nurse (LPN) under the supervision of a licensed RN employed by a DMAS-enrolled home health provider, or

2) a licensed registered nurse (RN), or licensed practical nurse (LPN) under the supervision of a licensed RN who is contracted with or employed by a DBHDS-licensed day support, respite, or residential provider.

The RN or LPN must have a current license issued by the Virginia Board of Nursing or a current multi-state licensure privilege to practice nursing in the Commonwealth as an RN or LPN, as applicable.
Certificate *(specify):*

Other Standard *(specify):*
Private duty nursing providers must have a signed provider participation agreement with DMAS in order to provide private nursing services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

Providers that have a DMAS participation agreement to provide home health services or a DMAS-enrolled Home Care Organization (HCO) may provide private nursing services under that agreement.
Verification of Provider Qualifications
Entity Responsible for Verification:
The Virginia Department of Health Professions verifies credentials of registered nurses and licensed practical nurses.

The Virginia Department of Medical Assistance Services verifies provider qualifications.
Frequency of Verification:
The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DMAS QMR staff review a sample of private nursing providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Other Service

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

Service Title:

Shared Living

HCBS Taxonomy:

Category 1:	Sub-Category 1:
07 Rent and Food Expenses for Live-In Caregiver	07010 rent and food expenses for live-in caregiver
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*

Shared Living is the Medicaid payment for a portion of the total cost of rent, food, and utilities that can be reasonably attributed to a person who has no legal responsibility to support the individual and resides in the same household as the individual. These expenses may be covered when the live-in companion provides companionship supports, including fellowship and enhanced feelings of security, and limited ADL or IADL supports that account for no more than 20% of the anticipated companionship time on a weekly basis. The support provided by the live-in companion will be agreed upon by the individual and the live-in companion, and individually determined through a person-centered planning process.

Companionship supports may include:

• The provision of fellowship, which means to engage the individual in social, physical or mental activities, such as conversation, games, crafts, accompanying the person on walks, errands, appointments and social and recreational activities.
• Enhanced feelings of security which means to provide necessary social and emotional support to the individual when inside or outside of the residence.

ADL and IADL supports may also be provided, but will account for no more than 20% of the anticipated companionship time, and may include:

• Assistance with Instrumental Activities of Daily Living (IADLs) which are tasks that enable a person to live independently at home, such as meal preparation, light housework, assistance with the physical taking of medications
• Assistance with Activities of Daily Living (ADLS), either with routine prompting and/or intermittently providing direct assistance for ADLS such as dressing, grooming, feeding, bathing, toileting and transferring.

The individual will choose who lives with him/her and together, through a person centered process, determine the companionship supports provided based on preferences and need. The live-in companion will not have the responsibility for providing habilitative services or medical services. This service is different from traditional Companion services. Companion services are non-skill-building services (i.e., paid staff provide supports and general oversight) in an individual's home or other settings in the community. They may not include personal care types of tasks. Companion services' staff typically do not live with the individual they support. The person delivering shared living services is essentially a "roommate" who does, by definition, live with the individual receiving waiver supports. He/she may provide a certain percentage of the service delivery time providing assistance with personal care tasks; however, the main objective of this service is to provide general fellowship, as a roommate would do, both in the home and in settings in the community. The shared living roommate is not a paid staff person.

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

Payment will not be made directly to the live-in companion but to a provider agency that will in turn transfer the appropriate amount of funds to the individual. The service is available to adult individuals, aged 18 years of age or older.

The individual must reside in his or her own home or leased residence. Payment will not be made when the individual lives in the live-in companion's home, in a residence that is owned or leased by the provider agency, or any other residential arrangement where the individual is not directly responsible for the residence.

The live-in companion must not be the individual's parent or spouse.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [ ] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Shared Living Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Shared Living

Provider Category:
Agency
Provider Type:
Shared Living Provider
Provider Qualifications
License *(specify)*:
Shared living administrative providers shall be licensed by DBHDS to provide services to individuals with DD.
Certificate *(specify)*:

Other Standard *(specify)*:
Coordinating agencies must have a signed provider participation agreement with DMAS in order to provide these services. The provider designated in the participation agreement must coordinate the services and bill DMAS for Medicaid reimbursement.

The live-in companion must:
- complete and pass background checks, including criminal registry checks required by §§ 37.2-416, 37.2-506, and 37.2-607 of the Code of VA.
- successfully meet basic training requirements such as CPR training, safety awareness, fire safety and disaster planning, conflict management and resolution, or any other necessary specialized training defined in the individual's person-centered plan.

The coordinating agency must ensure that there is a back-up plan in the event that the live-in companion is unable to provide supports.

Verification of Provider Qualifications
Entity Responsible for Verification:
The Virginia Department of Medical Assistance Services will verify coordinating agency qualifications.
Frequency of Verification:
The Virginia Department of Medical Assistance Services will verify coordinating agency qualifications every two years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:
Other Service
As provided in 42 CFR §440.180(b)(9), the State requests the authority to provide the following additional service not specified in statute.
Service Title:
Skilled Nursing

HCBS Taxonomy:

Category 1:	Sub-Category 1:
05 Nursing	05020 skilled nursing
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*
Skilled nursing is defined as part-time or intermittent care that may be provided concurrently with other services due to the medical nature of the supports provided. These services shall be provided for individuals enrolled in the waiver having serious medical conditions and complex health care needs who do not meet home health criteria but who require specific skilled nursing services which cannot be provided by nonnursing personnel. Skilled nursing services may be provided in the individual's home or other community setting on a regularly scheduled or intermittent basis. It may include consultation, nurse delegation as appropriate, oversight of direct support staff as appropriate, and training for other providers.

Services listed in the supports plan must be within the scope of the State's Nurse Practice Act and are provided by a registered professional nurse (RN), or licensed practical nurse (LPN) under the supervision of a RN licensed to practice in the Commonwealth of Virginia.

Skilled nursing services under the waiver differ in scope from skilled nursing services in the State plan. Skilled nursing services provided under the waiver are those that do not meet home health criteria of acute, time-limited care. Skilled nursing services under this waiver are available to individuals with serious medical conditions and complex health care needs, who require specific skilled nursing services ordered by a physician which cannot be accessed under the State Plan for Medical Assistance. These services must be necessary to enable an individual to live in a noninstitutional setting in the community and cannot be provided by nonnursing personnel. Services are provided in an individual's home or community setting, or both, on a regularly scheduled or intermittent need basis.

The allowable activities include:
1. Consultation, assistance to direct support staff, and nurse delegation;
2. Training of family and other caregivers;
3. Monitoring an individual's medical status;
4. Administering medications and other medical treatment; or
5. Assurance that all items listed in 1 through 4 are carried out in accordance with the plan for supports.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
If an individual has skilled nursing needs that are short-term and intermittent in nature, the case manager must assist the individual in accessing home health services under the State Plan for Medical Assistance. The State Plan Home Health coverage provides short-term intermittent skilled nursing services for five visits without preauthorization. It must be accessed through a licensed home health agency that has a provider agreement with DMAS for skilled nursing services. Additional visits after the initial five visits require pre-authorization from DMAS preauthorization contractor.

If an individual has skilled nursing needs that are expected to be longer-term, but intermittent in nature, the case manager may assist the individual in accessing skilled nursing services under the waiver.

Skilled nursing is billed in 15 minute units.

Foster care providers shall not be the skilled nursing services providers for the same individuals for whom they provide foster

care.

Skilled nursing hours shall not be reimbursed while the individual enrolled in the waiver is receiving emergency care or is an inpatient in an acute care hospital or during emergency transport of the individual to such facilities.

In accordance with the CMS Informational Bulletin issued on July 7, 2014, skilled nursing for individuals under age 21 shall be accessed through the state plan pursuant to ESPDT. Skilled nursing through this waiver shall not be available to individuals under age 21.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Skilled/Private Duty Nursing Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Skilled Nursing

Provider Category:
Agency

Provider Type:
Skilled/Private Duty Nursing Provider

Provider Qualifications

License *(specify)*:
Skilled nursing services may be provided by either

1) a licensed registered nurse (RN), or licensed practical nurse (LPN) under the supervision of a licensed RN employed by a DMAS-enrolled home health provider, or
2) a licensed registered nurse (RN), or licensed practical nurse (LPN) under the supervision of a licensed RN who is contracted with or employed by a DBHDS-licensed day support, respite, or residential provider.

The RN or LPN must have a current license issued by the Virginia Board of Nursing or a current multi-state licensure privilege to practice nursing in the Commonwealth as an RN or LPN, as applicable.

Certificate *(specify)*:

Other Standard *(specify)*:
Skilled nursing providers must have a signed provider participation agreement with DMAS in order to provide skilled nursing services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

Providers that have a DMAS participation agreement to provide home health services or a DMAS-enrolled Home Care Organization (HCO) may provide skilled nursing services under that agreement.

Verification of Provider Qualifications

Entity Responsible for Verification:
The Virginia Department of Health Professions verifies credentials of registered nurses and licensed practical nurses.

The Virginia Department of Medical Assistance Services verifies provider qualifications.

Frequency of Verification:
The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DMAS QMR staff review a sample of skilled nursing providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Supported Living Residential

HCBS Taxonomy:

Category 1:	Sub-Category 1:
02 Round-the-Clock Services	02031 in-home residential habilitation
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*

Supported living is residential supports that take place in an apartment setting operated by a DBHDS licensed provider. This service is typically provided in apartment settings secured by the provider. There may be one to three individuals in an apartment, depending on the number of bedrooms and the desires of the individuals.These services shall consist of skill-building, routine supports, general supports, and safety supports, that enable an individual to acquire, retain, or improve the self-help, socialization, and adaptive skills necessary to reside successfully in home and community-based settings.

Service providers shall be reimbursed only for the amount and type of supported living services that are included in the individual's approved person-centered plan.

Supported Living services shall be authorized for Medicaid reimbursement in the person-centered plan only when the individual requires these services. Room and board shall not be components of this service. All services, including supported living, must be tied to a stated need in the individual's person-centered plan. Only if this is present in the plan will the service be authorized and Medicaid reimburse for the service. Any supports for which providers of this service bill Medicaid must be above and beyond any supports offered as a part of the room and board agreement.

Supported Living services are provided to the individual in the form of 'round-the-clock availability of staff services performed by paid staff who have the ability to respond in a timely manner. These supports may be provided individually or simultaneously to more than one individual living in the apartment, depending on the required support.

Supported Living includes the expectation of the presence of a skills development (formerly called training) component, along with the provision of supports, as needed.

The allowable activities are:

1) Skill-building related to personal care activities (toileting, bathing, and grooming; dressing; eating; mobility; communication; household chores; food preparation; money management; shopping, etc.);

2) Skill-building related to the use of community resources (transportation, shopping, dining at restaurants, participating in social and recreational activities, etc.);

3) Supporting the individual in developing the ability to replace challenging behavior with positive, accepted behavior for home and community environments, for example (not all inclusive):

- Developing a circle of friends;

- Handling social encounters with others; or

- Redirecting challenging behavior.

4) Monitoring health and physical conditions and providing supports with medication or other medical needs;

5) Providing supports with personal care, ADLs, and use of community resources, for example (not all-inclusive):

- Completing personal care or mealtime tasks when physically unable to do so; or

- Completing daily tasks, such as laundry, meal preparation, using the bank, or other tasks essential to the individual's health and welfare

6) Supporting with transportation to and from training sites and community resources;

7) Providing general supports as needed; and

8) Providing safety supports to ensure the individual's health and safety.

CUSTOMIZED RATE:
There is a small cohort of individuals (particularly individuals being discharged from the Training Center who are extremely medically fragile and/or behaviorally challenged), for whom customized rates for this service will be necessary.

These extremely medically fragile and/or behaviorally challenged individuals are those whose support needs place them in levels six or seven but who have a higher level of need than will be accommodated by the tier four rates, as well as any individual for whom it is determined that the only other resource is to be served out of state, in a state operated mental health or DD facility, or in a more restrictive environment. They are identified as those who require greater support in order to find in-state providers willing to serve them. These individuals' needs outweigh the resources provided within the current waiver rate structure. Their needs may warrant:
• Increased staffing ratios, and/or
• Higher credentialed staff, and/or
• Increased programmatic oversight.

Individuals with extraordinary behavioral needs are defined as individuals who threaten the safety of staff and others around them, require increased staffing to immediately address behavioral incidents, require direct 1:1 or 2:1 intervention to mitigate harm to themselves, others, property, or prevent serious incidents in the community to preclude police involvement and/or arrest. Often, these individuals' challenging behaviors are triggered spontaneously, necessitating providers to staff individuals at 1:1 or 2:1 (depending on the severity of the behavior) for some or all of the day. Other individuals require constant supervision to mitigate the frequency of these very challenging behaviors. Individuals who have a high frequency of such behaviors will routinely require additional hours of 1:1 or 2:1 supports. This level of staff intervention allows for appropriate supervision both in the home, as well as in the community to prevent and/or reduce social isolation. Shared staffing ratios in these more unique cases (as typically occur in group homes and day services) often do not provide adequate oversight as staff is required to work directly with such individuals to prevent, mitigate, or respond immediately to behavioral incidents, while another staff protects others in the area to ensure all individuals in the setting are safe. In addition, the supervision and oversight required by more experienced/highly trained direct support staff requires clinical professionals who are themselves more highly trained and experienced than is routinely expected/present in these service settings.

Medically, an individual may require 1:1 or 2:1 staff support when he has a health history or recent health complication that puts him at risk for acute medical complications resulting in hospitalization or death. For example, an individual may require 1:1 during meal time due to severe risk of aspiration; another may require 2:1 during transfers due to a combination of illnesses such as dementia and osteoporosis, resulting in an increased risk of falling that is so high that he may sustain a fracture or head injury. In an effort to fully integrate individuals with severe medical conditions into the community, increased staff are provided during transition periods to prevent emergency medical activities. Staff may require more frequent or intensive training to have the skills needed to perform more challenging health supports such as total personal care and the implementation of nursing delegated tasks. Licensed professionals may need to provide additional supports outside of waiver funding to protect a person's health and safety such as facilitating hospital admissions and discharges, interfacing with the hospital team and providing generalized staff training on skills not covered by typical staff training programs.
Specify applicable (if any) limits on the amount, frequency, or duration of this service:

1. The unit of service shall be one day and billing shall not exceed 344 days per ISP year.

2. Supported living residential services shall not be provided to any individual enrolled in the waiver who receives personal assistance services or other residential services under this waiver, such as group home residential services, shared living, in-home support services, or sponsored residential services, that provide a comparable level of care.

3. Supported living residential shall be a tiered service for reimbursement purposes. Providers shall only be reimbursed for the individual's assigned level and tier.

4. Supported living residential services shall be provided to the individual in the form of around-the clock availability of paid provider staff who have the ability to respond in a timely manner. These services may be provided individually or simultaneously to more than one individual living in the apartment or home, depending on the required support or supports.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Supported Living Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Supported Living Residential

Provider Category:
Agency

Provider Type:
Supported Living Provider

Provider Qualifications

License *(specify)*:
An agency licensed by DBHDS as a provider of supervised living residential services.

Certificate *(specify)*:

Other Standard *(specify)*:
Providers must have a signed provider participation agreement with DMAS in order to provide supported living services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

Providers must also assure that persons providing Supported Living services have received training in the characteristics of developmental disabilities and appropriate interventions, training strategies and other methods of supporting individuals with functional limitations prior to providing waiver services and pass an objective standardized test of skills, knowledge, and abilities approved by DBHDS that must be administered according to DBHDS' defined procedures.

Verification of Provider Qualifications

Entity Responsible for Verification:
DBHDS Office of Licensing verifies that providers of supported residential services meet DBHDS licensing standards.

DMAS Quality Management Review (QMR) staff verifies that staff has received the required training.

Frequency of Verification:
The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DBHDS Office of Licensing staff may conduct unannounced onsite reviews of licensed providers at any time and at least annually to determine compliance with licensing regulations. Staff may investigate complaints or incidents to

determine if there is a licensing violation.

DMAS QMR staff review a sample of residential providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Therapeutic Consultation

HCBS Taxonomy:

Category 1:	Sub-Category 1:
17 Other Services	17990 other
Category 2:	**Sub-Category 2:**
11 Other Health and Therapeutic Services	11100 speech, hearing, and language therapy
Category 3:	**Sub-Category 3:**
10 Other Mental Health and Behavioral Services	10040 behavior support
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*

Therapeutic consultation is covered services designed to assist the individual and the individual's family/caregiver, as appropriate, with assessments, plan design, and teaching for the purpose of assisting the individual enrolled in the waiver.

This service shall provide expertise, training, and technical assistance in any of the following specialty areas to assist family members, caregivers, and other service providers in supporting the individual. The specialty areas shall be:

(i) psychology,
(ii) behavioral consultation,
(iii) therapeutic recreation,
(iv) speech and language pathology,
(v) occupational therapy,
(vi) physical therapy, and
(vii) rehabilitation engineering.

The need for any of these services shall be based on the Individual Support Plan and shall be provided to those individuals for whom specialized consultation is clinically necessary and who have additional challenges restricting their abilities to function in the community. Therapeutic consultation services may be provided in individuals' homes, and in appropriate community settings (such as licensed or approved homes or day support programs) as long as they are intended to facilitate implementation of individuals' desired outcomes as identified in their Individual Support Plans.

The allowable activities are:

1. Interviewing the individual, family members, caregivers, and relevant others to identify issues to be addressed and desired outcomes of consultation;

2. Observing the individual in daily activities and natural environments;

3. Assessing the individual's need for an assistive device or modification and/or adjustment in the environment or services;

4. Developing data collection mechanisms and collecting baseline data;

5. Observing and assessing current interventions, support strategies, or assistive devices being used with the individual;

6. Designing a written support plan detailing the interventions, environmental adaptations, and support strategies to address the identified issues and desired outcomes; this may include recommendations related to specific devices, technology or adaptation of other training programs or activities;

7. Demonstrating specialized, therapeutic interventions, individualized supports, or assistive devices;

8. Training family/caregivers and other relevant persons to assist the individual in using an assistive device, to implement specialized, therapeutic interventions or adjust currently utilized support techniques;

9. Training relevant persons to better support the individual simply by observing the individual's environment, daily routines and personal interactions;

10. Reviewing documentation and evaluating the efficacy of assistive devices or the activities and interventions identified in the support plan;

11. In addition to the above, Behavior Consultation Services may include direct behavioral interventions and demonstration to family members/staff of such interventions. Intervention modalities shall relate to the individual's identified behavioral need. Specific goals and procedures for the Behavioral Services must be established.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
The unit of service shall be one hour.

Therapeutic consultation may not include direct therapy provided to waiver individuals other than Behavioral Consultation.

Therapeutic consultation services may not duplicate the activities of other services available to the individual through the State Plan. In particular, the case manager must first access consultation from physical therapists, occupational therapists, speech and language therapists through the State Plan when State Plan services are available to an individual. Virginia attests that no duplication of therapeutic consultation in the waiver and EPSDT services will be permitted and will ensure that each child has access to all services to which he/she is entitled through EPSDT.

Therapeutic consultation shall not be solely for purposes of monitoring the individual.

Only behavioral consultation in this therapeutic consultation service may be offered in the absence of any other waiver service when the consultation is determined to be necessary.

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

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

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Therapeutic Consultant
Individual	Therapeutic Consultation Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Therapeutic Consultation

Provider Category:
Agency
Provider Type:
Therapeutic Consultant
Provider Qualifications
License *(specify):*
To provide Medicaid-funded therapeutic consultation, the provider must employ:

Psychology consultation:
a. A psychologist who is licensed by the Commonwealth of Virginia; or

b. A licensed professional counselor who is licensed by the Commonwealth of Virginia;

c. A licensed clinical social worker who is licensed by the Commonwealth of Virginia;

d. A psychiatric clinical nurse specialist who is licensed by the Commonwealth of Virginia; or

e. A psychiatrist who is licensed by the Commonwealth of Virginia.

Behavior consultation:
A board-certified behavioral analyst (BCBA) licensed by the Commonwealth of Virginia, or board-certified associate behavior analyst (BCABA).

Speech consultation:
A Speech-language pathologist who is licensed by the Commonwealth of Virginia.
Certificate *(specify):*
To provide Medicaid-funded therapeutic consultation, the provider must employ:

Occupational therapy consultation:
An occupational therapist who is certified by the Commonwealth of Virginia.

Physical therapy consultation:
A physical therapist who is certified by the Commonwealth of Virginia.

Therapeutic recreation consultation:
A therapeutic recreation specialist who is certified by the National Council for Therapeutic Recreation Certification

Rehabilitation engineer consultation:
A rehabilitation engineer or certified rehabilitation specialist.
Other Standard *(specify):*
Behavior consultation may also be provided by a positive behavioral supports facilitator endorsed by the Partnership for People with Disabilities at Virginia Commonwealth University or other recognized PBSF training organization.

Therapeutic consultation providers must have a signed provider participation agreement with DMAS in order to provide therapeutic consultation services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

An individual consultant with the necessary qualifications may obtain a DMAS participation agreement or be employed by or contracted with a provider with a participation agreement to provide the services.
Verification of Provider Qualifications
Entity Responsible for Verification:
Virginia Department of Health Professions verifies individual credentials for speech-language pathologists, psychiatrists, clinical nurse specialists, licensed clinical social workers, licensed professional counselors, psychologists, occupational therapists, physical therapists and board-certified behavior analysts/associate behavior analysts.

The Endorsement Board through the Partnership for People with Disabilities at Virginia Commonwealth University or other recognized PBSF training organization assures the qualifications of Positive Behavior Support Facilitator.

The Virginia Department of Medical Assistance Services verifies provider qualifications.
Frequency of Verification:
The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DMAS QMR staff review a sample of therapeutic consultation providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Therapeutic Consultation

Provider Category:
Individual
Provider Type:
Therapeutic Consultation Provider
Provider Qualifications
License *(specify):*
To provide Medicaid-funded therapeutic consultation, the person must be:

Psychology Consultation:
a. A psychologist who is licensed by the Commonwealth of Virginia; or

b. A licensed professional counselor who is licensed by the Commonwealth of Virginia;

c. A licensed clinical social worker who is licensed by the Commonwealth of Virginia;

d. A psychiatric clinical nurse specialist who is licensed by the Commonwealth of Virginia; or

e. A psychiatrist who is licensed by the Commonwealth of Virginia.

Behavior Consultation:
A board-certified behavioral analyst (BCBA) licensed by the Commonwealth of Virginia, or board-certified associate behavior analyst (BCABA).
Speech Consultation:
A Speech-Language Pathologist who is licensed by the Commonwealth of Virginia
Certificate *(specify):*
To provide Medicaid-funded therapeutic consultation, the person must be:

Occupational Therapy Consultation:
An occupational therapist who is certified by the Commonwealth of Virginia.

Physical Therapy Consultation:
A physical therapist who is certified by the Commonwealth of Virginia.

Therapeutic Recreation Consultation:
A therapeutic recreation specialist who is certified by the National Council for Therapeutic Recreation Certification

Rehabilitation Engineer Consultation:
A rehabilitation engineer or certified rehabilitation specialist.
Other Standard *(specify):*
Virginia Commonwealth University or other recognized PBSF training organization.

Therapeutic consultation providers must have a signed Provider Participation agreement with DMAS in order to provide therapeutic consultation services. The provider designated in the Participation Agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

An individual consultant with the necessary qualifications may obtain a DMAS Participation Agreement or be employed by or contracted with a provider with a Participation Agreement to provide the services.
Verification of Provider Qualifications
Entity Responsible for Verification:
Virginia Department of Health Professions verifies individual credentials for Speech-Language Pathologists, psychiatrists, clinical nurse specialists, licensed clinical social workers, licensed professional counselors, psychologists, occupational therapists, physical therapists and board-certified behavior analysts/associate behavior analysts.

The Endorsement Board through the Partnership for People with Disabilities at Virginia Commonwealth University or other recognized PBSF training organization assures the qualifications of Positive Behavior Support Facilitators.

The Virginia Department of Medical Assistance Services verifies provider qualifications.
Frequency of Verification:

The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DMAS QMR staff review a sample of therapeutic consultation providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:

Transition Services

HCBS Taxonomy:

Category 1:	Sub-Category 1:
16 Community Transition Services	16010 community transition services
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*

Transition services are nonrecurring set-up expenses for individuals who are transitioning from an institution or licensed or certified provider-operated living arrangement to a living arrangement in a private residence where the person is directly responsible for his or her own living expenses.

Allowable costs include are:

a. Security deposits that are required to obtain a lease on an apartment or home;
b. Essential household furnishings required to occupy and use a community domicile, including furniture, window coverings, food preparation items, and bed and bath linens;
c. Set-up fees or deposits for utility or services access, including telephone, electricity, heating and water;
d. Services necessary for the individual's health, safety, and welfare such as pest eradication and one-time cleaning prior to occupancy;
e. Moving expenses;
f. Fees to obtain a copy of a birth certificate or an identification card or driver's license; and
g. Essential clothing items.

Transition services are furnished only to the extent that they are reasonable and necessary as determined and clearly identified in the service plan, and the person is unable to meet such expenses or when the services cannot be obtained from another source. Transition services do not include monthly rental or mortgage expenses; food; regular utility charges; and/or household items that are intended for purely diversional/recreational purposes. This service does not include services or items that are covered under other waiver services such as environmental modifications or assistive technology.

The case manager submits service plan information to the operating agency, DBHDS, for service authorization. DBHDS

employs Qualified Developmental Disability Professionals (QDDPs) to complete the approval/service authorization process. DMAS reviews a sample of DBHDS's service authorizations as part of its monitoring process.

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

Services shall be available for one transition per individual and shall be expended within nine months from the date of authorization.

The total cost of these services shall not exceed $5,000, per-person lifetime limit.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

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

Provider Specifications:

Provider Category	Provider Type Title
Agency	Transition Services Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Transition Services

Provider Category:

Agency

Provider Type:

Transition Services Provider

Provider Qualifications

License *(specify)*:

Certificate *(specify)*:

Other Standard *(specify)*:

Providers shall be enrolled as a Medicaid provider of Transition Services and work with DMAS or its designated agent to receive reimbursement for the purchase of appropriate transition goods or services on behalf of the individual. Providers may also go through the CSBs' OHCDS as a provider.

Verification of Provider Qualifications

Entity Responsible for Verification:

The Virginia Department of Medical Assistance Services

Frequency of Verification:

The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Other Service

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

Service Title:
Workplace Assistance

HCBS Taxonomy:

Category 1:	Sub-Category 1:
03 Supported Employment	03021 ongoing supported employment, individual
Category 2:	**Sub-Category 2:**
Category 3:	**Sub-Category 3:**
Category 4:	**Sub-Category 4:**

Service Definition *(Scope):*
Workplace Assistance services are supports provided to someone who has completed job development and completed or nearly completed and job placement training (i.e., supported employment) but requires more than typical job coach services to maintain stabilization in their employment.

Workplace Assistance services are supplementary to the services rendered by the job coach services; the job coach still provides professional oversight and job coaching intervention.

The provider provides on-site habilitative supports related to behavior, health, time management or other skills that otherwise would endanger the individual's continued employment. The provider is able to support the person related to personal care needs as well; however, this cannot be the sole use of Workplace Assistance services.

In order for an activity to qualify under Workplace Assistance services it must include all three of the following:

1. The activity must not be work skill training related which would normally be provided by a job coach
2. Services are delivered in their natural setting (where and when they are needed)
3. Services must facilitate the maintenance of and inclusion in an employment situation
4. The ratio is 1:1

Allowable activities include:

1. Skill building and supports around non-work skills necessary for the individual to maintain employment
2. Skill building and supports in the home, community, or workplace of employment maintenance related skills
3. Support to make and strengthen community connections
4. Safety supports to ensure the individual's health and safety.

This service is designed for those limited number of individuals who receive individual supported employment services who are unable to maintain employment following the fading of the job coach without ongoing supports on the job site. The intent is for those individuals to receive some level of ongoing support at the job site in the areas of social skills, communication, personal care (though this may not be the only reason for the provision of this service), attention to task, etc. These are all common skill areas which, if not properly supported, may result in an individual with developmental disabilities losing community employment. This service should not be for the development of actual job skills; that work should be completed by the job coach before fading and maintained by periodic contacts on the job site/with the employer. Areas of overlap are when the Workplace Assistant first begins working with the individual (the job coach will need to show him/her the parameters of the job and discuss the individual's needs) and during the periodic visits by the job coach back to the job site (after fading) to ensure that all is still going well with the employment situation. Workplace assistance will not necessarily be billed for the entire time (hours per day) that the individual is working; it may be needed during certain critical parts of the day. However, it may be of a long-term nature and not subject to fading.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
The unit of service is an hour. Workplace Assistance services, alone or in combination with Community Engagement, Community Coaching, Supported Employment, and/or Group Day services are limited to no more than 66 hours per week.

This service can be provided during the time the individual being served is working, up to and including 40 hours a week. There is no time limit on how long these services can remain authorized.

This service may not be provided simultaneously with on-the-job Personal Assistance services, nor may Workplace Assistance services be provided solely for the purpose of provision of assistance with ADLs.

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

- [ ] **Participant-directed as specified in Appendix E**
- [x] **Provider managed**

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

- [ ] **Legally Responsible Person**
- [x] **Relative**
- [x] **Legal Guardian**

Provider Specifications:

Provider Category	Provider Type Title
Agency	Workplace Assistance Provider

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Workplace Assistance

Provider Category:
Agency
Provider Type:
Workplace Assistance Provider
Provider Qualifications
License *(specify)*:
Workplace Assistance providers must be a vendor of supported employment services with the Department of Aging and Rehabilitative Services (DARS)
OR
possess a DBHDS non-center based day support services license.
Certificate *(specify)*:

Other Standard *(specify)*:
Workplace Assistance providers must have a signed provider participation agreement with DMAS in order to provide these services. The provider designated in the participation agreement must directly provide the services and bill DMAS for Medicaid reimbursement.

The staff person providing Workplace Assistance services must have completed training regarding the principles of supported employment and coordinate with the job coach providing Individual Supported Employment to the individual being supported.

Workplace Assistance may not be provided only for purposes of Personal Assistance.

Verification of Provider Qualifications
Entity Responsible for Verification:
DARS verifies that vendors of supported employment services meet criteria to be a vendor through a recognized accrediting body.

DBHDS Office of Licensing verifies that providers of Residential or Day Support services meet DBHDS licensing standards.

DMAS Quality Management Review (QMR) staff verifies that staff has received the required training.
Frequency of Verification:
The Virginia Department of Medical Assistance Services will verify provider qualifications every two years.

DBHDS Office of Licensing staff may conduct unannounced onsite reviews of licensed providers and each of its services at any time and at least annually to determine compliance with licensing regulations. Staff may investigate complaints or incidents to determine if there is a licensing violation.

DMAS QMR staff review a sample of supported employment providers annually. Staff may conduct announced and unannounced onsite reviews at any time.

Appendix C: Participant Services

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

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

- ○ **Not applicable** - Case management is not furnished as a distinct activity to waiver participants.
- ◉ **Applicable** - Case management is furnished as a distinct activity to waiver participants.
  Check each that applies:
  - ☐ **As a waiver service defined in Appendix C-3.** *Do not complete item C-1-c.*
  - ☐ **As a Medicaid State plan service under §1915(i) of the Act (HCBS as a State Plan Option).** *Complete item C-1-c.*
  - ☑ **As a Medicaid State plan service under §1915(g)(1) of the Act (Targeted Case Management).** *Complete item C-1-c.*
  - ☐ **As an administrative activity.** *Complete item C-1-c.*

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

Targeted case management services as a State Plan Option service for all individuals receiving waiver services are provided through the local CSBs with oversight and licensing by DBHDS. The service may be provided directly by CSB staff or by private case managers through a contractual arrangement with a particular CSB that bills for and monitors the service.

Appendix C: Participant Services

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

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

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

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

Per §37.2-416, §37.2-506 and §37.2-607 of the Code of Virginia, every DBHDS-licensed provider shall require any applicant who accepts employment as a direct support professional (any position that includes responsibility for service provision, case management, health, safety, development, or well-being of an individual) or as the immediate supervisor of a person in a position with this responsibility to submit to fingerprinting and provide personal descriptive information to be forwarded through the Central Criminal Records Exchange to the Federal Bureau of Investigation (FBI) for the purpose of obtaining national criminal history record information regarding the applicant. No provider licensed to provide supports to individuals with developmental disabilities shall hire for compensated employment persons who have been convicted of any offense listed in subsection B of §37.2-314 of the Code of Virginia. The Central Criminal Records Exchange, upon receipt of an individual's record or notification that no record exists, shall submit a report to the requesting licensed provider.

Per §37.2-408.1 of the Code of Virginia, every children's residential facility that is regulated or operated by the DBHDS shall require any employee, regular volunteer or contractor who will be alone with a juvenile in the performance of his duties to submit to fingerprinting and to provide personal descriptive information, to be forwarded along with the applicant's fingerprints through the Central Criminal Records Exchange to the Federal Bureau of Investigation for the purpose of obtaining criminal history record information regarding such applicant.

The state agency shall report to the children's facility whether the applicant is eligible to have responsibility for the safety and well-being of children. No children's residential facility regulated or operated by the Department shall hire for compensated employment or allow to volunteer or provide contractual services persons who have been convicted of or are the subject of pending charges for crimes detailed in §37.2-408.1.

All agency providers must also demonstrate the completion of criminal records checks as a part of the enrollment process for a DMAS Provider Participation Agreement. All agency providers not licensed by DBHDS must demonstrate that the Criminal History Records Check has been completed as part of QMR conducted by DMAS. DMAS requires that criminal background checks be requested to the Virginia State Police prior to the start of employment with additional supervision provided to the employee until the records check results are received, typically within several days.

For consumer-directed services, the contracted FMS agent is responsible for conducting Virginia State Police criminal records checks for all consumer directed employees and this process is ensured by the DMAS contract monitor.

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

○ **No. The State does not conduct abuse registry screening.**

◉ **Yes. The State maintains an abuse registry and requires the screening of individuals through this registry.**

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

The Virginia Department of Social Services (VDSS) maintains a Child Protective Services Abuse Registry, which is a registry of founded complaints of child abuse and neglect. Screenings via this registry must be completed for personal and respite assistants and companions, as well as for DBHDS-licensed providers on each direct support professional (as specified in the Administrative Code of Virginia at 12 VAC 35-105-400). The DBHDS Office of Licensing is responsible for ensuring that Child Protective Services (CPS) registry checks have been completed as a part of the annual licensing process. DMAS QMR provides follow-up monitoring.

All other agency providers not licensed by DBHDS must demonstrate that CPS registry checks have been completed as a part of QMR conducted by DMAS. All agency providers must also demonstrate the completion of CPS registry checks as a part of the enrollment process for a DMAS provider participation agreement.

For consumer-directed services, the contracted FMS agent is responsible for conducting CPS registry checks for those employees who will be working with children. This process is verified by the DMAS contract monitor.

DMAS requires that CPS registry checks be requested prior to the start of employment with additional supervision provided to the employee until the records check results are received.

Appendix C: Participant Services

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

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

◉ **No. Home and community-based services under this waiver are not provided in facilities subject to §1616(e) of the Act.**

○ **Yes. Home and community-based services are provided in facilities subject to §1616(e) of the Act. The standards that apply to each type of facility where waiver services are provided are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).**

Appendix C: Participant Services

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

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

◉ **No. The State does not make payment to legally responsible individuals for furnishing personal care or similar services.**

○ **Yes. The State makes payment to legally responsible individuals for furnishing personal care or similar services when they are qualified to provide the services.**

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

☐ **Self-directed**

☐ **Agency-operated**

e. **Other State Policies Concerning Payment for Waiver Services Furnished by Relatives/Legal Guardians.** Specify State policies concerning making payment to relatives/legal guardians for the provision of waiver services over and above the policies addressed in Item C-2-d. *Select one*:

○ **The State does not make payment to relatives/legal guardians for furnishing waiver services.**

◉ **The State makes payment to relatives/legal guardians under specific circumstances and only when the relative/guardian is qualified to furnish services.**

Specify the specific circumstances under which payment is made, the types of relatives/legal guardians to whom payment may be made, and the services for which payment may be made. Specify the controls that are employed to ensure that payments are made only for services rendered. *Also, specify in Appendix C-1/C-3 each waiver service for which payment may be made to relatives/legal guardians.*

Family members living under the same roof as the individual being served may not provide services unless there is objective written documentation completed by the case manager as to why there are no other providers available to provide services.

The individual's case manager is instrumental in ensuring that services are appropriate for individuals. If the case manager does not feel that it is in the best interest of the individual for a certain family member or legal guardian to be a paid service provider, it is his/her responsibility to address this. The case manager must verify that situations or serious extenuating circumstance exists that necessitates a family member as provider. The case manager must ensure that there was previously no barrier to the family member being a provider (i.e., slot assignment information included references to the family's inability to care for the individual). The case manager must monitor the situation to ensure that the individual's growth toward independence is not hindered by having a family member as a paid support person and that the family member remains aware that there is a different relationship once he/she is paid to support the individual.

All FIS waiver services must be authorized prior to delivery by DBHDS service authorization staff who review and compare individuals' assessment information and their ISP outcomes/support activities. Staff authorize services which are in compliance with regulations and in accordance with the individuals' needs (inclusive of best interests). Therefore, providers may not bill for services beyond the limits which are authorized. DMAS Quality Management Review and Provider Integrity staff conduct look behinds to ensure that, for a sample of waiver participants, payment is in accord with documentation of service delivery.

Case managers also have recourse to DBHDS service authorization staff in the form of relaying their concerns. DBHDS staff will review the information submitted and make a determination as to whether or not authorizing a particular person as paid caregiver should or should not occur. As for all staff supporting individuals in this waiver, if a family member/legal guardian has committed a "barrier crime" as defined in Virginia Code, he or she is ineligible to be a paid provider of services.

Providers of services under any of the DD waivers shall not be parents or guardians of individuals enrolled in the waiver who are minor children, or the adult individual's spouse. Payment may only be made for services furnished by other family members who are living under the same roof as the individual receiving services if there is objective, written documentation as to why there are no other providers available to provide the care. This documentation must demonstrate that there are no other persons available to provide supports to the individual other than the unpaid family/caregiver who lives in the home with the individual. Examples of such documentation may be: (i) copies of advertisements and/or interview notes showing unsuccessful efforts to hire a consumer-directed assistant; (ii) documentation indicating high turnover in consumer-directed assistants or other paid staff; (iii) documentation supporting the individual's special medical or behavioral needs which can only be safely met by a family member; (iv) documentation of the repeated inability to obtain service providers due to the family's remote location; (v) documentation of the failure of multiple providers to adequately provide supports to the individual or; (vi) documentation indicating that language is a factor in service delivery. Such family members, if approved to provide services for the purpose of receiving Medicaid reimbursement, shall meet the same provider requirements as all other licensed providers.

○ **Relatives/legal guardians may be paid for providing waiver services whenever the relative/legal guardian is qualified to provide services as specified in Appendix C-1/C-3.**

Specify the controls that are employed to ensure that payments are made only for services rendered.

○ **Other policy.**

Specify:

f. **Open Enrollment of Providers.** Specify the processes that are employed to assure that all willing and qualified providers have the opportunity to enroll as waiver service providers as provided in 42 CFR §431.51:

All providers may enroll via telephone, postal mail, or web-based contact with the Department of Medical Assistance Services and its contractor for provider enrollment. There is no fee for provider application or enrollment. Interested providers submit an application and supporting documentation to DMAS' Provider Enrollment Unit, who processes the application and issues a provider enrollment number within 15 business days.

All provider enrollment information is available on the DMAS Web portal and available to the general public.

Appendix C: Participant Services

Quality Improvement: Qualified Providers

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

a. **Methods for Discovery: Qualified Providers**

The state demonstrates that it has designed and implemented an adequate system for assuring that all waiver services are provided by qualified providers.

i. **Sub-Assurances:**

a. ***Sub-Assurance: The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services.***

Performance Measures

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

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

Performance Measure:
1. Number & % of licensed/certified waiver agency provider enrollments for which the appropriate lic./certif. was obtained in accordance with waiver reqmts prior to service provision. N:# of lic./certif. waiver agency provider enrollments for which the appropriate lic./certif. was obtained in accordance with waiver reqmts prior to service provision. D: total # of waiver agency provider enrollments

Data Source (Select one):
Other
If 'Other' is selected, specify:
Provider Enrollment Records

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 Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:

	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number & % of licensed/certified provider agency staff who have criminal background checks as specified in policy/regulation with satisfactory results. N = # lic/certif provider agency staff who have criminal background checks as specified in policy/regulations with satisfactory results D = total # lic/cert provider agency staff records reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample (95/5) of total CL, FIS, BI waiver enrollees. Using a percent of

		the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
3. Number & percent of enrolled licensed/certified provider agencies continuing to meet applicable licensure/certification following initial enrollment. N: # enrolled licensed/certified providers, continuing to meet applicable licensure/certification D: total # of enrolled licensed/certified provider agencies

Data Source (Select one):
Other
If 'Other' is selected, specify:
Provider Enrollment Reports

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☑ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:

Provider Enrollment Contractor		
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

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

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

Performance Measure:
1. Number and percent of enrolled services facilitation providers who meet waiver provider qualifications. N: # of enrolled services facilitation providers who meet waiver provider qualifications D: total # enrolled services facilitation providers.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Provider Enrollment

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample**

		Confidence Interval =
☑ **Other** Specify: Provider enrollment contractor	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number and percent of new consumer-directed employees who have a criminal background check at initial enrollment. N: # of new consumer-directed employees who have a criminal background check at initial enrollment D: total # new consumer-directed employees enrolled.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Fiscal Employer Agent Reports

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =

☑ **Other** Specify: Fiscal employer agent	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
3. Number and percent of consumer-directed employees with a failed criminal background check that are barred from employment. N: # of consumer-directed employees who have a failed criminal background who are barred from employment D: total # consumer-directed employees who have a failed criminal background check.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Fiscal/Employer Agent Reports

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☑ **Other** Specify: Fiscal Employer Agent	☐ **Annually**	☐ **Stratified** Describe Group:

	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☐ **Quarterly**
☐ **Other** Specify:	☑ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

c. ***Sub-Assurance: The State implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and the approved waiver.***

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

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

Performance Measure:
1. Number and percent of provider agency staff meeting provider orientation training requirements. N: # provider agency staff meeting provider orientation training requirements D: total # of provider agency staff reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =

☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☑ **Other** Specify: Universe = staff names encountered during record review 50 employees and below -100% 51 employees and above – representative sample 95/5
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number and percent of provider agency direct support professionals (DSPs) meeting competency training requirements. N: # of lic./certif, waiver provider agency DSPs who meet competency training requirements as specified in regulation. D: total # licensed/certified provider agency DSP records reviewed.

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =

☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☑ **Other** Specify: Universe = staff names encountered during record review 50 employees and below -100% 51 employees and above – representative sample 95/5
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
3. Number and percent of services facilitation providers meeting training requirements and passing competency testing as specified in state regulation N: # of services facilitators meeting training requirements and passing competency testing. D: total # of services facilitators reviewed.

Data Source (Select one):
Training verification records
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample**

		Confidence Interval =
☑ **Other** Specify: Virginia Commonwealth University	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

b. Methods for Remediation/Fixing Individual Problems

i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
DMAS QMR staff identifies problems with any of the above measures for a given provider, they each require a corrective action plan to be developed and implemented by that provider. Failure to do so jeopardizes the provider's license/Medicaid provider agreement. DMAS QMR staff follow up on all corrective action plans by reviewing records to ensure corrections have been made within 45 days. Serious violations may be referred to DMAS's Provider Integrity unit for billing retraction.

Individual providers with systemic problems will be targeted for technical assistance/training from DBHDS.

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):*
☑ **State Medicaid Agency**	☐ **Weekly**

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **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.

◉ **No**
○ **Yes**
Please provide a detailed strategy for assuring Qualified Providers, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix C: Participant Services

C-3: Waiver Services Specifications

Section C-3 'Service Specifications' is incorporated into Section C-1 'Waiver Services.'

Appendix C: Participant Services

C-4: Additional Limits on Amount of Waiver Services

a. Additional Limits on Amount of Waiver Services. Indicate whether the waiver employs any of the following additional limits on the amount of waiver services (*select one*).

○ **Not applicable**- The State does not impose a limit on the amount of waiver services except as provided in Appendix C-3.
◉ **Applicable** - The State imposes additional limits on the amount of waiver services.

When a limit is employed, specify: (a) the waiver services to which the limit applies; (b) the basis of the limit, including its basis in historical expenditure/utilization patterns and, as applicable, the processes and methodologies that are used to determine the amount of the limit to which a participant's services are subject; (c) how the limit will be adjusted over the course of the waiver period; (d) provisions for adjusting or making exceptions to the limit based on participant health and welfare needs or other factors specified by the state; (e) the safeguards that are in effect when the amount of the limit is insufficient to meet a participant's needs; (f) how participants are notified of the amount of the limit. (*check each that applies*)

☐ **Limit(s) on Set(s) of Services.** There is a limit on the maximum dollar amount of waiver services that is authorized for one or more sets of services offered under the waiver.
Furnish the information specified above.

☐ **Prospective Individual Budget Amount.** There is a limit on the maximum dollar amount of waiver services authorized for each specific participant.
Furnish the information specified above.

☑ **Budget Limits by Level of Support.** Based on an assessment process and/or other factors, participants are assigned to funding levels that are limits on the maximum dollar amount of waiver services.

Furnish the information specified above.

Virginia is in the process of phasing in a supports level and service mix package methodology that will result in supports budgets. Since 2009 individuals supported through the Commonwealth's waivers for individuals with intellectual disability have, as part of the person-centered process, been assessed utilizing the Supports Intensity Scale® (SIS®). The information gleaned through this process has been used to inform the person-centered plan, including incorporating what is important to and important for the individual in the plan. Since 9/1/16, individuals in all three of the DD waivers are assigned to one of seven supports levels based on the results of the SIS® and Virginia Supplemental Questions (VSQ), which are used to determine intense medical and/or behavioral needs. Individuals are notified of their supports level by their case manager following the completion and scoring of the SIS® and VSQ. These assessments are completed by DBHDS's independent contractor. The seven levels are defined as follows:

-Level 1: Low support needs
-Level 2: Low to moderate support needs
-Level 3: Moderate support needs plus some behavior challenges
-Level 4: Moderate to high support needs
-Level 5: Maximum support needs
-Level 6: Significant support needs due to medical challenges
-Level 7: Significant support needs due to behavioral challenges

The support packages were developed by DBHDS's contractor, Human Services Research Institute (HSRI), based on historical expenditure and service utilization patterns. The packages were validated through comparing each package against actual service records for individuals who would be assigned to that package. The validation study was conducted by HSRI, DBHDS and CSB case management staff. However, it was deemed advantageous to re-examine the elements of the proposed packages using service use data that includes the new and redesigned services as of 9/1/16, so additional data analysis is currently underway. Once the analysis is completed and the results reviewed with stakeholders, the supports packages will be initially used as a means of beginning a case manager led discussion at the annual planning meeting of the appropriate level of supports within the person's package in order to support and encourage more engagement with the individual's local community. The supports package concept will result in individuals being able to pick and choose certain amounts of services up to a limit imposed according to the individual's assessed level of need in correspondence with the individual's living situation. If or when an individual's usage of services falls outside of the expected supports package range, case managers will be expected to identify and address issues that may be resulting in the individual being either over- or under-served to be addressed in current and future ISPs.

Once fully implemented, individuals will be matched to a supports package based on their assigned supports level and their living situation. The supports packages are comprised of services tied to where a person lives and what he/she does during the day. The residential portion may be made up of one of the following services: supported living, shared living, or some combination of in-home residential supports and personal assistance. The day supports portion may be made up of any combination of the following services: group day support, community engagement, community coaching, group supported employment and workplace assistance. Other waiver services will continue to be authorized outside of the supports package, as they are now.

During FY 2019, DBHDS will provide training and begin to implement the supports packages in conjunction with an individualized planning calendar that portrays the individual's typical week in terms of paid supports, natural supports, and personal strengths. DBHDS service authorization staff will review this information but service authorization will not be tied to the predicted supports package initially. Additional data will be gathered and analyzed to determine the packages' sufficiency to provide the appropriate level of supports.

The Commonwealth anticipates that the analysis and preparation of introductory materials by DBHDS and DMAS staff will be completed by late June, at which time meetings with various stakeholder groups will be scheduled. The Commonwealth will use those meetings to determine the need for modifications to the proposed support packages and related processes. It is anticipated that the supports package functionality in WaMS will be completed for testing by a limited number of case managers in the second quarter of SFY 2019 (October 1, 2018 – December 31, 2018) with some of the individuals they support and provide feedback to DBHDS/DMAS for further refinement. Large-scale training for all users will occur during the third quarter, after feedback from testers has been received and incorporated.

Full implementation will occur during the fourth quarter of SFY 2019 (April 1, 2019 – June 30, 2019).

The proposed methodology will be reviewed with stakeholders in late June of 2018. Once finalized, the supports packages, including services in each and cost ranges will be posted on the DBHDS website for purposes of transparency. DMAS will continue to participate in stakeholder meetings where support packages will be routinely presented and discussed.

Ultimately, case managers will employ the supports packages as part of the process to approve services to match needs. DBHDS will work with the CSBs to identify issues which may require modifying procedures or enhancing training of case managers.

It is recognized that while individuals grouped in a certain level have similar support needs, each person is unique. Therefore, some individuals may require supports above and beyond those permitted by their supports budget. Case managers will be able to approve modifications to supports packages as needed but at least every twelve months as related to continued need and discussion of alternatives. Modifications may be made

- for reasons of health and safety,
- to permit additional time to make support adjustments (such as the development of natural/community supports) for those who are current waiver recipients, or
- to provide increased services to ensure successful transition into less restricted settings, which overtime will require a less intense level of support.

In certain circumstances, particularly for individuals who require the highest level of supports for medical or behavioral reasons (i.e., Levels 6 and 7), DBHDS will also review requested exceptions to individuals' expected supports packages. Individuals who are denied requested modifications/exceptions will be offered the right to appeal.

Conversations about current service usage and support packages/alternatives will take place during the annual ISP meeting. The Commonwealth does not intend for the supports packages limits to be "hard caps" for individuals, but guidelines for case managers to use to facilitate critical conversations with individuals, their families and providers about the typical support needs and related services for individuals of similar support needs levels. They will also be useful in determining where less expensive/intrusive services may be appropriate (e.g., Electronic Home-based Supports or PERS substituting for staff presence) and where there is a need to focus on building natural supports in lieu of paid supports.

Those individuals who are currently far above or below the supports package level for their support needs will not be forced to "come into line" immediately; however, this will enable conversations about why those individuals either may need the level of support that they are currently receiving or begin a conversation about exploring alternate services (e.g., Benefits Planning in order to allay fears about receiving supported employment and working vs. a large number of group day hours per week).

Note: The SIS is already in use in Virginia; however support packages are not. Currently services are authorized against regulatory and policy limits and as demonstrated by documentation of individual need submitted with the authorization request.

☐ **Other Type of Limit.** The State employs another type of limit.

Describe the limit and furnish the information specified above.

Appendix C: Participant Services

C-5: Home and Community-Based Settings

Explain how residential and non-residential settings in this waiver comply with federal HCB Settings requirements at 42 CFR 441.301(c)(4)-(5) and associated CMS guidance. Include:

1. Description of the settings and how they meet federal HCB Settings requirements, at the time of submission and in the future.
2. Description of the means by which the state Medicaid agency ascertains that all waiver settings meet federal HCB Setting requirements, at the time of this submission and ongoing.

Note instructions at Module 1, Attachment #2, HCB Settings Waiver Transition Plan for description of settings that do not meet requirements at the time of submission. Do not duplicate that information here.

The Statewide Transition Plan is under review by CMS.

Appendix D: Participant-Centered Planning and Service Delivery

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

State Participant-Centered Service Plan Title:
Individual Support Plan (ISP)

a. **Responsibility for Service Plan Development.** Per 42 CFR §441.301(b)(2), specify who is responsible for the development of the service plan and the qualifications of these individuals *(select each that applies):*
   - ☐ **Registered nurse, licensed to practice in the State**
   - ☐ **Licensed practical or vocational nurse, acting within the scope of practice under State law**
   - ☐ **Licensed physician (M.D. or D.O)**
   - ☐ **Case Manager** (qualifications specified in Appendix C-1/C-3)

☑ **Case Manager** (qualifications not specified in Appendix C-1/C-3).
Specify qualifications:

ID and DD Targeted Case Management must be provided by a CSB or through a contractual arrangement between a CSB and a private provider. The CSB must be licensed by DBHDS as a provider of case management services and operate a 24-hour emergency services system.

A Participation Agreement to provide Targeted Case Management must be obtained from DMAS by the CSB. The CSB may directly operate Targeted Case Management Services or may contract with private agencies. If services are contracted, the CSB remains the responsible provider, and only the CSB may bill DMAS for Medicaid reimbursement.

An employee of a CSB or private provider, who provides ID or DD Targeted Case Management services, must possess a combination of work experience with persons with intellectual and/or other developmental disabilities and relevant education that indicates that he or she has the knowledge, skills, and abilities (KSAs) as established by DBHDS. These include:

Knowledge of
1. Services and systems available in the community including primary health care, support services, eligibility criteria and intake processes and generic community resources;
2. The nature of developmental disabilities, mental illness, substance abuse (substance use disorders), or co-occurring disorders depending on the individuals served, including clinical and developmental issues;
3. Different types of assessments, including functional assessment, and their uses in service planning;
4. Treatment modalities and intervention techniques, such as behavior management, independent living skills building, supportive counseling, family education, crisis intervention, discharge planning, and service coordination;
5. Types of developmental disabilities, mental health, and substance abuse programs available in the locality;
6. The person-centered service planning process and major components of a person-centered support plan;
7. The use of medications in the care or treatment of the population served; and
8. All applicable federal and state laws and regulations and local ordinances.

Skills in
1. Identifying and documenting an individual's need for resources, services, and other supports;
2. Using information from assessments, evaluations, observation, and interviews to develop person-centered service plans;
3. Identifying and documenting how resources, services, and natural supports such as family can be utilized to promote achievement of an individual's personal life goals; and
4. Coordinating the provision of services by diverse public and private providers.

Abilities to
1. Work as team members, maintaining effective inter- and intra-agency working relationships;
2. Work independently performing position duties under general supervision; and
3. Engage in and sustain ongoing relationships with individuals using services.

A person providing Targeted Case Management Services is not required to be a member of an organizational unit that provides only case management services. The case manager who is not a member of an organized case management unit must possess a job description that describes case management activities as job duties, provide services as defined for Targeted Case Management services, and comply with service expectations and documentation requirements as required for organized case management units.

☐ **Social Worker**
Specify qualifications:

☐ **Other**
Specify the individuals and their qualifications:

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (2 of 8)

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

○ **Entities and/or individuals that have responsibility for service plan development may not provide other direct waiver services to the participant.**

◉ **Entities and/or individuals that have responsibility for service plan development may provide other direct waiver services to the participant.**

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

CSBs, through the case management function, have a significant role in the development of the service plan. Some CSBs are also providers of certain waiver services (CSB waiver provider participation varies across the state). To mitigate influence, the following safeguards are in place:

- CSBs may be providers of waiver services, provided there is a separation of direct service provision units and case management units.
- If an individual selects a case manager employed by a private provider contracting with the local CSB, that entity may not provide any waiver services to the individual other than Services Facilitation.
- It is never permitted for a case manager (employed by a CSB or private provider) to be a direct support provider or supervise direct support providers of waiver services for individuals for whom he/she provides case management.

Each case manager must inform the individual and family member/caregiver, as appropriate, of the variety of services available through the waiver and offer choice among all providers serving the area in which the individual desires services. These two elements are documented on the "Documentation of Individual Choice between Institutional Care or Home and Community-Based Services" (Individual Choice) and the "Virginia Informed Choice" forms respectively, which are signed by the individual and family member/caregiver, as appropriate.

A completed Individual Choice form must be confirmed by DBHDS staff in the waiver management system in order to enroll an individual into the waiver. The presence of the Virginia Informed Choice form in the record is confirmed by CSB staff performing waiver record reviews. Data regarding these reviews is collected quarterly by DBHDS. Finally, DMAS Quality Management Review staff look for these two forms in each case management record reviewed and inquire about choice when conducting personal interviews with individuals/family members.

In addition to the above requirements supported by waiver regulations, the Performance Contract (mentioned in Appendix A) between DBHDS and each CSB states that the CSB agrees not to restrict or seek to influence the individual's choice among qualified service providers, although case managers may make recommendations, based on their professional judgment, to individuals regarding those available service options that best meet the needs and expressed desires documented in the individuals' ISP.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (3 of 8)

c. **Supporting the Participant in Service Plan Development.** Specify: (a) the supports and information that are made available to the participant (and/or family or legal representative, as appropriate) to direct and be actively engaged in the service plan development process and (b) the participant's authority to determine who is included in the process.

Prior to service plan development, the individual identifies the people in his/her life that he/she would like to have support him/her with planning. Case managers and other team members are strongly encouraged to explore and develop "planning partners" (someone to help the individual set service plan meeting times and locations, as well as help the individual understand and direct his/her own service planning) and circles of support for individuals. This might include, for some individuals, the establishment of a micro board. The individual may wish to choose a planning partner who is a family member, a friend or a provider representative. A planning partner may be chosen from among all available team members. If the individual is not interested in a planning partner or is unable to find one, these activities remain the responsibility of the case manager.

The individual’s preferences for the annual meeting are recorded in the personal profile including the support needed to direct and fully participate, the identified planning partner, meeting logistics, whom to invite, as well as any cultural and other considerations. The personal profile (a component of the Individual Support Plan) assists the individual and the people who support him/her to consider what is working and what is not working in all areas of living to better understand what is important to and important for the person. Other partners/providers participating in the planning share what they have learned about supporting the individual. Planning meetings focus on the individual's talents and gifts, desired outcomes and the role of each team member in undertaking the steps to achieve these outcomes.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (4 of 8)

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

regulations, and policies cited that affect the service plan development process are available to CMS upon request through the Medicaid agency or the operating agency (if applicable):

(a) The plan is developed by the individual and his/her chosen team members. At a minimum the case manager and the individual (legal guardian, as applicable) participate in service plan development, but typically all service providers are a part of the person-centered planning process. Other typically involved parties are members of the individual's family and other people who are significant to the individual. There shall be no more than 365 days between Individual Support Plan effective dates. The planning process may begin as early as eight weeks prior to the planned start date of the plan. The person-centered planning meeting should be scheduled at a time and location convenient to the individual.

(b) The CSB responsible for assessing an individual's needs gathers the "Essential Information" in concert with the individual and those who know him or her best. This includes elements such as contact information, health information, historical information regarding the individual's development, family, education, employment. Some other information gathered through this process is legal status and identified health and behavioral support needs as determined through the risk assessment. The Essential Information also includes the description of a plan for self-sufficiency and a review of most integrated settings with the actions that will be taken when something more integrated is desired.

The risk assessment is a component of the annual person-centered plan. The risk assessment, as a component of the essential information, must be completed every year. To assess other support needs, each individual 16 years of age and older has the Supports Intensity Scale® (SIS®) completed at least every three years or when the individual's needs change significantly. Those individuals 5 to 15 years old have the Children's SIS® or other approved alternative, developmentally appropriate assessment completed to assess their support needs on a biennial basis. Children under 5 years of age have their needs assessed biennially using an approved alternative, developmentally appropriate instrument.

Finally, the individual, with the support of anyone he or she chooses, completes the "personal profile." The personal profile considers eight life areas and compares the life the person has today with the life he wants. It is a snapshot of the individual's desires and is completed in preparation for annual planning. There are five parts to the personal profile: My Meeting, My Talents and Contributions, The Life I Want, My Life Today, and Getting the Life I Want (which identifies what's important to and what's important for the person in many different aspects of life).

The section "My Meeting" details individual preferences and needed supports for annual planning. "My Talents and Contributions" highlight great things about the person identifying abilities that can be developed and ways to connect the person with others. "My Life Today" briefly describes what the individual’s life is like currently, which is contrasted with "The Life I Want" providing an opportunity for the individual to describe what a good life means to him/her. This description should capture the individual's vision of a desirable future and is completed following the identification of talents and contributions and the life area review.

The final section, "Getting the Life I Want," considers “what’s working” and “what’s not working” to arrive at what is important to and important for the person in regards to: home, community and interests, relationships, work and alternates to work, learning, money, transportation and travel and health and safety.

(c) The individual is informed of available waiver services by the case manager prior to enrollment. This is documented on the "Documentation of Individual Choice between Institutional Care or Home and Community-Based Services" form. Once the individual is enrolled in the waiver, the waiver services are once again presented, discussed, and choice of providers offered. This is documented on the “Virginia Informed Choice” form.

(d) The individual (or someone of his/her choosing) reviews the personal profile at the meeting. Partners share additional information which is added to the final version of the profile and agreed to by the individual. During the "shared planning" phase, the desired outcomes of the individual (including changes to the existing plan) for the next year are identified by determining what needs to remain the same, what needs to change and the balance between what is important to the individual and what is important for the individual's health, safety, and value in the community. The health portion of the "Essential Information" section of the person-centered plan, which is discussed during the shared planning phase, thoroughly queries the individual's past and present conditions/needs for support. To ensure that health and safety is addressed, each identified health and behavioral support need must be addressed under outcomes developed during the shared planning process. Descriptions of the steps needed to resolve each outcome, data collection methods, and target dates are included. The results of the SIS® (or other approved assessment for children), routine supports, and health and safety supports needed are discussed and providers are selected to assist with supporting the individual to accomplish the desired outcomes. An evaluation of how the plan achieves the desired outcomes, from the individual's and responsible partners' perspectives, is completed prior to final agreements.

(e) Waiver and non-waiver services are coordinated by the case manager, who has responsibility for linking the individual to needed services and monitoring their receipt, regardless of funding source. As with all participating providers, the case manager outlines his/her supports to the individual in a "Plan for Supports" (a component of the overall ISP).

(f) All supports agreed to during the meeting are further defined by each provider following the meeting in their Plan for Supports. Support instructions for each activity aimed at achieving desired outcomes and keeping the individual healthy and safe are developed specific to the individual's preferences. Descriptions of what is needed to consider each activity accomplished and the frequency of delivery are included. These Plans for Supports outline what the provider will do to support each outcome, how often/by when and how long, and include a schedule of services.

Providers of residential support, personal assistance, day support, and supported employment services have the option of initially developing a "60-day assessment plan," an interim plan for the first 60 days that the individual is with a new provider or service. This is designed to permit the provider to gather some situational information about the individual, as well as to give the individual the opportunity to experience the provider/service. Towards the end of the 60-day period, a decision is made by both provider and individual to maintain or terminate the relationship. If the individual will be remaining with the provider, an "annual plan" addressing identified needs and preferences is developed and implemented.

The implementation of the Plans for Support are monitored by the case manager who receives quarterly reviews from each provider regarding the status of each outcome, changes to the support needs and preferences as more is learned about the individual, and changes needed to the plan as desired by the individual. The case manager also meets with the individual (and family/caregiver, as appropriate) at least every 90 days to discuss the status of supports received and resulting satisfaction/dissatisfaction.

(g) Whenever an individual requests a change in services and/or providers, the individual and each provider work together to update the Plan for Supports, which is then sent to the case manager for approval. In addition, the Plan for Supports is reviewed at least quarterly by all providers who must forward the results of their reviews to the case manager. The individual's or legal guardian's signature must be obtained for all changes to the plan.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (5 of 8)

e. **Risk Assessment and Mitigation.** Specify how potential risks to the participant are assessed during the service plan development process and how strategies to mitigate risk are incorporated into the service plan, subject to participant needs and preferences. In addition, describe how the service plan development process addresses backup plans and the arrangements that are used for backup.

Currently, each provider licensed by DBHDS is required to identify a staff person responsible for risk management, document and implement a plan to identify, monitor, reduce, and minimize risks associated with personal injury, property damage or loss, and other source of potential liability. As part of the plan, the provider shall conduct and document at least annually its own safety inspections of all locations and document/implement needed safety improvements. The provider must implement written policies to identify individuals at risk for falls and develop and implement a fall prevention/management plan for each at risk individual. Providers must document serious injuries to employees and individuals and evaluate injuries at least annually, documenting and implementing recommendations for improvement. Providers must also develop, document and implement infection control measures, including the use of universal precautions to minimize the risk of infection/contagion. Finally, licensed providers are required to develop a written emergency preparedness and response plan for all services and locations. DBHDS Office of Licensing staff make annual unannounced onsite reviews in order to ensure provider compliance with these regulations, as well as evaluate the physical facilities in which the services are provided

Annually, the case manager completes a risk assessment to determine individuals' potential risks, particularly health and behavioral. This information is used to inform the team's discussion at the individual's person-centered planning meeting, and supports required to minimize health, physical, and social risks to the individual are included in the Individual Support Plan.

The person-centered service plan has a section titled "shared planning" specifically to document health and safety related outcomes as identified in the risk assessment. Areas of potential risk to the individual that are identified on the annual risk assessment or elsewhere must be addressed under outcomes developed during the shared planning process. Activities related to this information are discussed at the annual planning meeting and detailed in each provider's Plan for Supports as necessary.

Individuals' person-centered service plans must include "Essential Information" in the form of emergency contact information, health information such as the presence of an advance directive, medication information (including location of side effect information), the presence of allergies, communicable diseases, mental health service needs, physical limitations and restrictions, chronic conditions, etc.

The individual is supported in selecting a variety of back-up measures including, but not limited to, natural/informal supports in the community or other agency-directed resources. Those providing back-up may be a family member, neighbor or friend willing and available to assist the individual in his or her home, if the scheduled service provider is unavailable. The case manager serves as a resource in assisting the individual and family in initial planning for needed supports in anticipation of program closures (e.g., for inclement weather). This activity is documented on the Individual Support Plan in the "Back-Up Plan" section of the essential information. For consumer-directed services, the importance of a back-up plan, types of back-up and the ways to develop a plan are also described in the Employee Management Manual, given to individuals upon becoming employers and reviewed by the services facilitator. Individuals who do not have back-up supports for Shared Living, Personal Assistance, Companion, or In-Home Support services in particular risk the denial of those services.

Community resources are identified and utilized to assist in the unlikely event that the individual has no family or friends to provide back-up supports. Options are individually identified based on individual needs and preferences. All available resources are considered during the planning process.

Individuals unable to identify adequate safeguards for back-up supports are not approved for waiver services. At this point,

recommendations are made to the individual and family for identifying strategies to resolve the unmet back-up needs for future approval of waiver services. Referrals to other providers/services are also considered.

Plans for Supports (provider-specific service plans) are modified as individual needs change in order to ensure safety and continuing back-up for all services. As each individual's needs are unique, each Plan for Supports is reflective of specific supports required by that individual. DMAS QMR verifies during their onsite reviews that individuals' service plans address all assessed needs, including risk factors and include necessary back-up plans.

Individuals enrolled in this waiver participate in the Commonwealth Coordinated Care Plus managed care program with the exception of those in excluded populations. Services provided through this waiver are carved out of the program and are provided on a fee for service basis. Each individual enrolled in the managed care organization (MCO) is supported by a managed care coordinator (MCC) who completes a comprehensive Health Risk Assessment for individuals served. Issues identified are included in the MCO's Individual Care Plan.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (6 of 8)

f. **Informed Choice of Providers.** Describe how participants are assisted in obtaining information about and selecting from among qualified providers of the waiver services in the service plan.

The state ensures that each individual found eligible for the waiver will be given a choice of all qualified providers of each service included in his or her written service plan.

Individuals receive a list of service providers from the case manager at the time of enrollment into the waiver. In addition to providers listed on the DMAS website, individuals have ongoing access to information about available providers through the case manager, should they be unsatisfied or for any other reason desire a change. Case managers are required to inquire about and document individuals' satisfaction with services on a quarterly basis.

The case manager provides support to the individual in the selection of service providers by encouraging the individual or family member/caregiver to directly contact the provider(s) to ask questions and gain information about the providers' service delivery philosophies and approaches. In some situations the case manager facilitates site visits. The case manager can assist the individual in identifying a provider to best meet his/her needs by discussing location, service delivery approach and other criteria important to the individual or family/caregiver.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (7 of 8)

g. **Process for Making Service Plan Subject to the Approval of the Medicaid Agency.** Describe the process by which the service plan is made subject to the approval of the Medicaid agency in accordance with 42 CFR §441.301(b)(1)(i):

As described in D-1d, the case manager submits service plan information to the operating agency, DBHDS, for service authorization. DBHDS employs Qualified Developmental Disability Professionals (QDDPs) to complete the approval/service authorization process. DMAS reviews a sample of DBHDS's service authorizations as part of its monitoring process.

In addition, all service plans are subject to review by the Medicaid agency via the Quality Management Review (QMR) to ensure that services are approved and appropriate for the individual. A sampling process) is employed to determine the number of records reviewed for each provider. The purpose of the QMR is to determine whether services delivered were appropriate, continue to be needed by the individual, and the amount and kind of services delivered were required. DMAS analysts conduct QMR of all documentation, which shows the individual's level of care. Visits are conducted on-site and continuously throughout the year.

The QMR visit is accomplished through a review of the individual's record, evaluation of the individual's health and functional status, and consultation with the individual and family/caregiver, as appropriate. Specific attention is paid to all applicable documentation, which may include assessments, service plans, consumer-directed services facilitator notes, daily logs, individual service authorization requests (through the waiver management system), schedules, attendance sheets, progress notes, and any other documentation necessary to determine if appropriate payment was made for services delivered.

A financial review is included as a part of a utilization review. The purpose of the financial review and verification of services is to ensure that the provider bills only for those services which have been provided in accordance with DMAS policy, are approved in the ISP, and are covered by the waiver.

Appendix D: Participant-Centered Planning and Service Delivery

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

h. **Service Plan Review and Update.** The service plan is subject to at least annual periodic review and update to assess the appropriateness and adequacy of the services as participant needs change. Specify the minimum schedule for the review and update of the service plan:

- (●) **Every three months or more frequently when necessary**
- ( ) **Every six months or more frequently when necessary**
- ( ) **Every twelve months or more frequently when necessary**
- ( ) **Other schedule**

Specify the other schedule:

i. **Maintenance of Service Plan Forms.** Written copies or electronic facsimiles of service plans are maintained for a minimum period of 3 years as required by 45 CFR §92.42. Service plans are maintained by the following *(check each that applies):*

- [ ] **Medicaid agency**
- [ ] **Operating agency**
- [x] **Case manager**
- [ ] **Other**

Specify:

Appendix D: Participant-Centered Planning and Service Delivery

D-2: Service Plan Implementation and Monitoring

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

The case manager is responsible for monitoring the implementation of the ISP. The case manager must continuously monitor the appropriateness of the plan and make revisions as needed. At a minimum, the case manager must review each provider's quarterly review every three months to determine if the individual's outcomes and support activities are being met, determine if any modifications are necessary, confirm the status of the individual's health and welfare, and assess the individual's satisfaction with services.

Case managers are urged to conduct their quarterly face-to-face visits with individuals in a variety of locations, such as at the person's day services or job site, as well as at his home. This offers the opportunity to see the individual receiving services in order to verify that the plans are being delivered. This may also provide opportunities to discuss service provision with the individual's providers and/or family members.

The case manager is required to have a face-to-face contact with the individual at least every 90 days. The purpose of the face-to-face contact is to observe the individual, to verify services are being provided as described in the service plan, assess the individual's satisfaction with his choice of services/providers, ensure his/her health, safety and welfare, including the effectiveness of his back-up plans, and identify any unmet needs or changes needed to the service plan. Back-up plan effectiveness is assessed by ensuring that the designated back-up person(s) were available and provided needed supports when the service provider was unavailable. If it is determined that this is not the case, an alternate back-up plan must be put into place or this individual must choose a service which offers continuous staff availability for continued enrollment in the waiver.

One of the case manager's duties is to link the individual to the supports and services he needs, whether those services are waiver-funded or not. Examples of common non-waiver-funded services are health services, therapies, camps and other vacation opportunities, and post-secondary education opportunities. Once the case manager has linked an individual to these supports, they should be included in the case management plan and monitored with a frequency appropriate to their provision.

If there is evidence of serious problems revealed upon case management review, including 1) the individual, family, or primary caregiver is dissatisfied with services, 2) services are not delivered as described in the service plan, 3) failure of the provider/individual/family/authorized representative to allow required monitoring visits, or 4) the individual's health and safety are at risk, the case manager must take necessary actions and document in the individual's appropriate record(s). Actions may include: requesting a written response from the provider; reporting the information to the appropriate licensing, certifying, or approving agency; reporting the information to DBHDS or DMAS; requiring that the provider participate in mandatory technical assistance and/or training in the violation area, informing the individual of other providers of the service in question; and as a last resort, after all other options to mitigate identified issues have been exhausted, informing the individual that eligibility may be in jeopardy should he or she choose to continue receiving services from a provider who cannot ensure health and safety or other requirements. Any time abuse or neglect is suspected, the case manager is required to inform Adult Protective Services or Child

Protective Services, as appropriate (and DBHDS Office of Human Rights, if it involves a DBHDS-licensed provider).

Information about monitoring results is conveyed to DBHDS quarterly via an on-line submission of case management supervisory review data. Data submitted (for a sample of each CSB's individuals receiving waiver services) include assessment of (1) whether all needs in the following areas were addressed by planned outcomes in the Individual Support Plan: work and alternatives to work, learning and other pursuits, community & interests, relationships, home, transportation & travel, money, health & safety; (2) whether the Individual Support Plan was updated/revised when the individual's needs changed; and (3) whether waiver services were delivered as delineated in the Individual Support Plan. If there are negative responses to any of these items, the reason and action taken to remediate the situation must be detailed in the information submitted to DBHDS.

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

- ○ **Entities and/or individuals that have responsibility to monitor service plan implementation and participant health and welfare may not provide other direct waiver services to the participant.**
- ◉ **Entities and/or individuals that have responsibility to monitor service plan implementation and participant health and welfare may provide other direct waiver services to the participant.**

The State has established the following safeguards to ensure that monitoring is conducted in the best interests of the participant. *Specify:*

Case managers may not provide any other waiver services to the individual other than Services Facilitation. CSBs may be providers of waiver services provided there is a separation of direct service provision units and case management units. It is never permitted for a case manager (employed by a CSB or private provider) to be a direct support provider or supervise direct support providers of waiver services for individuals for whom he/she provides case management.

Individuals who are dissatisfied with their case manager may choose another from the same agency or (1) for ID case management, select another CSB that has a memorandum of agreement with the home CSB, (2) for DD case management, select either another CSB that has a memorandum of agreement with the home CSB or a private case management provider with which the CSB has a contract.

Case managers' monitoring of service provision and ensuring that the choices of the individual are implemented are reviewed by DBHDS and DMAS QMR staff.

Appendix D: Participant-Centered Planning and Service Delivery

Quality Improvement: Service Plan

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

a. **Methods for Discovery: Service Plan Assurance/Sub-assurances**

The state demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans for waiver participants.

i. **Sub-Assurances:**

a. ***Sub-assurance: Service plans address all participants assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.***

Performance Measures

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

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

Performance Measure:
1. Number and percent of individuals who have service plans that address their assessed needs, capabilities and desired outcomes. N: # of individuals who have plan for supports that address their needs, capabilities, and desired outcomes D: total # of individuals' records reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number and percent of individual records that indicate that a risk assessment was completed as required. N: # of records that indicate that a risk assessment was completed as required D: total # of individual records reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:

3. Number and percent of individuals whose plan for supports includes a risk mitigation strategy when the risk assessment indicates a need N: # of individuals whose service plan includes a risk mitigation strategy when the risk assessment indicates a need D: total # of individuals' records reviewed whose risk assessment indicates a need for a risk mitigation strategy

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
	Specify:

Performance Measure:
4. Number and percent of service plans that include a back-up plan when required for services to include in home supports, personal assistance, respite, companion, and shared living. D = total # of service plans reviewed that require a back-up plan

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

Performance Measures

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

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

c. ***Sub-assurance: Service plans are updated/revised at least annually or when warranted by changes in the waiver participants needs.***

Performance Measures

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

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

Performance Measure:
1. Number and percent of service plans reviewed and revised by the case manager by the individual's annual review date. N: # service plans reviewed and revised by the case manager by the individual's annual review date D: total # service plans reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI

		waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number and percent of individuals whose service plan was revised, as needed, to address changing needs. N: # individuals whose service plan was revised, as needed, to address changing needs D: total # individual service plans reviewed that needed to be revised due to changing needs.

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 95%
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group:

		A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

d. ***Sub-assurance: Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.***

Performance Measures

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

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

Performance Measure:
1. Number and percent of individuals who received services in the frequency specified in the service plan N: # individuals who received services in the frequency specified in the individual service plan D: # service plans reviewed

Data Source (Select one):

Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:

2. Number and percent of individuals who received services in the duration specified in the service plan N: # individuals who received services in the duration specified in the service plan D:# service plans reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☑ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*

Performance Measure:
3. Number and percent of individuals who received services of the type specified in the service plan N: # individuals who received services of the type specified in the service plan D:# service plans reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☑ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
	☑ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
4. Number and percent of individuals who received services in the scope specified in the service plan N: # individuals who received services in the scope specified in the service plan D:# service plans reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
5. Number and percent of individuals who received services in the amount specified in the service plan. N: # individuals who received services in the amount specified in the service plan D: # service plans reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

e. ***Sub-assurance: Participants are afforded choice: Between/among waiver services and providers.***

Performance Measures

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

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

Performance Measure:
1. Number and percent of individuals whose case management records contain an appropriately completed and signed form that specifies choice was offered among waiver services N: # of case management records that contain documentation of choice among waiver services D: total # of records reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a

		calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number and percent of individuals whose case management records documented that choice of waiver providers was provided to and discussed with the individual. N: # of case management records that contain documentation that choice of the waiver providers was offered to the individual D: total # of records reviewed

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☑ **Stratified** Describe Group: A representative sample(95/5) of total CL, FIS, BI waiver

		enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

b. Methods for Remediation/Fixing Individual Problems

i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
As DMAS Quality Management Review (QMR) staff identifies problems with any of the above measures for a given provider, they require a Corrective Action Plan to be developed and implemented by that provider. DMAS QMR staff follow up on all corrective action plans by reviewing records to ensure corrections have been made within 45 days. Failure to do so jeopardizes the provider's Medicaid provider agreement. Serious violations may be referred to DMAS's Provider Integrity unit for payment retraction.

Individual providers with systemic problems will be targeted for technical assistance/training from DBHDS.

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):*
☑ **State Medicaid Agency**	☐ **Weekly**

Responsible Party*(check each that applies):*	**Frequency of data aggregation and analysis***(check each that applies):*
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **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.

◉ **No**
○ **Yes**
Please provide a detailed strategy for assuring Service Plans, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix E: Participant Direction of Services

Applicability *(from Application Section 3, Components of the Waiver Request)*:

◉ **Yes. This waiver provides participant direction opportunities.** Complete the remainder of the Appendix.
○ **No. This waiver does not provide participant direction opportunities.** Do not complete the remainder of the Appendix.

CMS urges states to afford all waiver participants the opportunity to direct their services. Participant direction of services includes the participant exercising decision-making authority over workers who provide services, a participant-managed budget or both. CMS will confer the Independence Plus designation when the waiver evidences a strong commitment to participant direction.

Indicate whether Independence Plus designation is requested *(select one):*

○ **Yes. The State requests that this waiver be considered for Independence Plus designation.**
◉ **No. Independence Plus designation is not requested.**

Appendix E: Participant Direction of Services

E-1: Overview (1 of 13)

a. **Description of Participant Direction.** In no more than two pages, provide an overview of the opportunities for participant direction in the waiver, including: (a) the nature of the opportunities afforded to participants; (b) how participants may take advantage of these opportunities; (c) the entities that support individuals who direct their services and the supports that they provide; and, (d) other relevant information about the waiver's approach to participant direction.

Individuals are afforded the opportunity to act as the employer in the consumer-direction of personal assistance, respite, companion services. This takes place in conjunction with their initial decision to receive waiver vs. institutional services and is documented on the same form (the "Documentation of Individual Choice Between Institutional Care or Home and Community-based Services" form). There may be other junctures at which this choice is also offered, e.g., once the individual is assigned a waiver slot or when the individual or family/caregiver expresses dissatisfaction with agency-directed services. The case manager, explaining the consumer-directed option should inform the individual and family/caregiver that this involves the hiring, training, supervision, and termination, if necessary, of consumer-directed assistants.

Individuals selecting services through the consumer-directed model may choose a Medicaid-enrolled services facilitator (SF) to provide the training and guidance needed to be an employer. As the employer, the individual is eligible for and receives waiver

services and is responsible for hiring, training, supervising, and firing assistants. If the individual is unable to independently manage his/her own consumer-directed services, or if the individual is under 18 years of age, a family member/caregiver must serve as the employer of record (EOR) on behalf of the individual. A services facilitator or person serving as an EOR cannot also be a paid caregiver. The SF cannot also be the consumer-directed services employee.

SF services must be authorized by DBHDS. The SF completes an assessment for consumer-directed services, a Plan for Supports, and maintains documentation of services provided as outlined, including documentation of face-to-face visits with the individual at least every six months to ensure appropriateness of consumer-directed services.
Specific duties of the individual (or individual's employer of record) as the employer of the CD employee include: checking references, determining that the employee meets basic qualifications, training, supervising performance, and submitting time sheets to the Fiscal Management Services (FMS) agent on a consistent and timely basis.

When the case manager is also acting in the role as services facilitator for a single individual, the face to face contact that she has as a case manager must be separate and distinct from the face to face visit she has in the role of services facilitator. There must be separate documentation for the two services as they are reimbursed separately.

All consumer-directed services require the services of a FMS agent. This is not a waiver service. As specified in the DMAS contract, the FMS agent conducts all payroll functions on behalf of the individual, including the requesting and processing of criminal background investigations, payment of assistants, and filing of IRS wage withholdings.

Appendix E: Participant Direction of Services

E-1: Overview (2 of 13)

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

- (●) **Participant: Employer Authority.** As specified in ***Appendix E-2, Item a***, the participant (or the participant's representative) has decision-making authority over workers who provide waiver services. The participant may function as the common law employer or the co-employer of workers. Supports and protections are available for participants who exercise this authority.
- ( ) **Participant: Budget Authority.** As specified in ***Appendix E-2, Item b***, the participant (or the participant's representative) has decision-making authority over a budget for waiver services. Supports and protections are available for participants who have authority over a budget.
- ( ) **Both Authorities.** The waiver provides for both participant direction opportunities as specified in ***Appendix E-2***. Supports and protections are available for participants who exercise these authorities.

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

- [x] **Participant direction opportunities are available to participants who live in their own private residence or the home of a family member.**
- [x] **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.**
- [x] **The participant direction opportunities are available to persons in the following other living arrangements**

Specify these living arrangements:

Participant direction opportunities are available to individuals who reside in supported living arrangements where services (regardless of funding source) may be furnished to four persons living in an apartment.

Appendix E: Participant Direction of Services

E-1: Overview (3 of 13)

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

- ( ) **Waiver is designed to support only individuals who want to direct their services.**
- ( ) **The waiver is designed to afford every participant (or the participant's representative) the opportunity to elect to direct waiver services. Alternate service delivery methods are available for participants who decide not to direct their services.**
- (●) **The waiver is designed to offer participants (or their representatives) the opportunity to direct some or all of their services, subject to the following criteria specified by the State. Alternate service delivery methods are available for participants who decide not to direct their services or do not meet the criteria.**

Specify the criteria

Individuals assessed as having an intellectual disability that may limit or prevent the ability to consumer-direct services may designate a representative to act as the Employer of Record for consumer-directed supports on his or her behalf, or obtain agency-directed services.

An individual shall not receive consumer-directed services if at least one of the following conditions exists:

(a) The individual is younger than 18 years of age or is unable to be the employer of record and no one else can assume this role;
(b) The health, safety, or welfare of the individual enrolled in the waiver cannot be assured or a back-up emergency plan cannot be developed; or
(c) The individual has medication or skilled nursing needs or medical/behavioral conditions that cannot be safely met via the consumer-directed model of service delivery.

In the above situation, the individual will be assisted by the case manager to select an agency from which to receive his personal assistance, respite, or companion services.

Appendix E: Participant Direction of Services

E-1: Overview (4 of 13)

e. **Information Furnished to Participant.** Specify: (a) the information about participant direction opportunities (e.g., the benefits of participant direction, participant responsibilities, and potential liabilities) that is provided to the participant (or the participant's representative) to inform decision-making concerning the election of participant direction; (b) the entity or entities responsible for furnishing this information; and, (c) how and when this information is provided on a timely basis.

The case manager provides an informational overview of consumer-directed services to individuals and family members/caregivers, as appropriate, at the time the Individual Choice form is signed (prior to enrollment) and in more detail at the initial person-centered Individual Support Plan development meeting. Individuals electing to consumer-direct one or more services then select a services facilitator (SF). The SF is responsible for initiating services with the individual upon being notified by the case manager of being chosen. The SF meets with the individual to determine his/her preferences and needs that will inform the development of the consumer-directed portion of the service plan.

The SF provides the individual with a copy of the Employer of Record Manual which details the responsibilities and liabilities of consumer-directing services, allowing the individual time to evaluate the pros and cons of consumer-direction and to make a final decision. The SF, using the DMAS Employer of Record Manual, must provide training to the individual on the responsibilities of and procedures associated with consumer-direction within seven days of being authorized for consumer-directed services.

Appendix E: Participant Direction of Services

E-1: Overview (5 of 13)

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

- ○ **The State does not provide for the direction of waiver services by a representative.**
- ◉ **The State provides for the direction of waiver services by representatives.**

Specify the representatives who may direct waiver services: *(check each that applies)*:

- ☑ **Waiver services may be directed by a legal representative of the participant.**
- ☑ **Waiver services may be directed by a non-legal representative freely chosen by an adult participant.**

Specify the policies that apply regarding the direction of waiver services by participant-appointed representatives, including safeguards to ensure that the representative functions in the best interest of the participant:

Individuals who choose the consumer-directed model must have the capability to function as the employer and hire and train their own assistants and supervise their performance. If an individual is unable to direct his/her own supports or is under 18 years of age, a family member/caregiver may serve as the Employer of Record on behalf of the individual. For individuals appointing another person to direct supports on their behalf, the case manager ensures and documents that both parties have considered the responsibilities of this role and assesses that the selected person can perform these functions and will act in the best interest of the individual.

It is the responsibility of the SF to provide ongoing support to the individual and employer of record (if applicable) in the consumer-directed model of support. As a safeguard, the SF cannot be the individual, a direct service provider, spouse or parent of the individual who is a minor child, or a family/caregiver employing the assistant. The SF monitors the service plan quarterly and on an as-needed basis and conducts a face-to-face meeting with the individual at least every six months to reassess the individual's needs and to ensure appropriateness of consumer-directed services received by the individual. During visits with the individual, the SF must observe, evaluate and consult with the individual and his/her family

member/caregiver, as appropriate, and document the adequacy and appropriateness of consumer-directed services for the individual's current functioning and cognitive status, medical needs and social needs. In addition, the SF shall review timesheets during the face-to-face visits or more often as needed, to ensure that the number of service plan approved hours is not exceeded. If discrepancies are identified, the SF must discuss these with the individual or employer of record to resolve discrepancies and must notify the case manager and fiscal management services agent of the final decision.

Appendix E: Participant Direction of Services

E-1: Overview (6 of 13)

g. Participant-Directed Services. Specify the participant direction opportunity (or opportunities) available for each waiver service that is specified as participant-directed in Appendix C-1/C-3.

Waiver Service	Employer Authority	Budget Authority
Respite Services	☑	☐
Companion Services	☑	☐
Personal Assistance Services	☑	☐

Appendix E: Participant Direction of Services

E-1: Overview (7 of 13)

h. Financial Management Services. Except in certain circumstances, financial management services are mandatory and integral to participant direction. A governmental entity and/or another third-party entity must perform necessary financial transactions on behalf of the waiver participant. *Select one*:

◉ **Yes. Financial Management Services are furnished through a third party entity.** *(Complete item E-1-i)*.

Specify whether governmental and/or private entities furnish these services. *Check each that applies*:

☐ **Governmental entities**
☑ **Private entities**

○ **No. Financial Management Services are not furnished. Standard Medicaid payment mechanisms are used.** *Do not complete Item E-1-i.*

Appendix E: Participant Direction of Services

E-1: Overview (8 of 13)

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

○ **FMS are covered as the waiver service specified in Appendix C-1/C-3**

The waiver service entitled:

◉ **FMS are provided as an administrative activity.**

Provide the following information

i. Types of Entities: Specify the types of entities that furnish FMS and the method of procuring these services:

The Department of Medical Assistance Services secured financial management services for the consumer-directed model of service delivery through a competitive Request for Proposal process. DMAS holds a contract with a single fiscal employer agent (FEA).

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

Payment is rendered to the FEA on a monthly billing cycle with a per member per month fee and includes all administrative functions specified in the contract between DMAS and PPL.

iii. Scope of FMS. Specify the scope of the supports that FMS entities provide *(check each that applies)*:

Supports furnished when the participant is the employer of direct support workers:

- [x] **Assist participant in verifying support worker citizenship status**
- [x] **Collect and process timesheets of support workers**
- [x] **Process payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance**
- [x] **Other**

Specify:

The Fiscal Employer Agent is responsible for requesting criminal background screenings of potential consumer-directed employees. Additionally, the FEA requests screenings from the Department of Social Services Child Protective Services Central Registry, if the individual is a minor child.

Supports furnished when the participant exercises budget authority:

- [ ] **Maintain a separate account for each participant's participant-directed budget**
- [ ] **Track and report participant funds, disbursements and the balance of participant funds**
- [ ] **Process and pay invoices for goods and services approved in the service plan**
- [ ] **Provide participant with periodic reports of expenditures and the status of the participant-directed budget**
- [ ] **Other services and supports**

Specify:

Additional functions/activities:

- [ ] **Execute and hold Medicaid provider agreements as authorized under a written agreement with the Medicaid agency**
- [x] **Receive and disburse funds for the payment of participant-directed services under an agreement with the Medicaid agency or operating agency**
- [x] **Provide other entities specified by the State with periodic reports of expenditures and the status of the participant-directed budget**
- [ ] **Other**

Specify:

iv. Oversight of FMS Entities. Specify the methods that are employed to: (a) monitor and assess the performance of FMS entities, including ensuring the integrity of the financial transactions that they perform; (b) the entity (or entities) responsible for this monitoring; and, (c) how frequently performance is assessed.

The Department of Medical Assistance Services employs contract monitors to oversee and assess the performance and deliverables of the Fiscal Employer Agent. Payroll system edits are required as a part of the FEA contract and the contract monitors randomly conducts system checks for financial integrity. The contractor's performance is also assessed and evaluated in a bi-annual performance review and documented on a contract monitoring evaluation form.

Appendix E: Participant Direction of Services

E-1: Overview (9 of 13)

j. Information and Assistance in Support of Participant Direction. In addition to financial management services, participant direction is facilitated when information and assistance are available to support participants in managing their services. These supports may be furnished by one or more entities, provided that there is no duplication. Specify the payment authority (or authorities) under which these supports are furnished and, where required, provide the additional information requested *(check each that applies)*:

- [x] **Case Management Activity.** Information and assistance in support of participant direction are furnished as an element of Medicaid case management services.

Specify in detail the information and assistance that are furnished through case management for each participant direction opportunity under the waiver:

The individual's case manager informs him/her (and family members/caregivers, as appropriate) about the option of consumer-directed personal assistance, respite, companion, and non-medical transportation services at the point of enrollment and at other appropriate junctures, such as at the annual Individual Support Plan meeting or when a request for alternative services is

made. When consumer-directed personal assistance, respite, or companion services are chosen, the case manager facilitates the individual's access to consumer-directed services by offering the choice of services facilitators and linking the individual to the Medicaid enrolled SF of his/her choice.

The case manager submits information regarding consumer-directed services to DBHDS for service authorization and, following that event, monitors the consumer-directed service via quarterly reviews submitted by the SF and face-to-face contacts with the individual enrolled in the waiver.

☑ **Waiver Service Coverage.** Information and assistance in support of participant direction are provided through the following waiver service coverage(s) specified in Appendix C-1/C-3 (check each that applies):

Participant-Directed Waiver Service	Information and Assistance Provided through this Waiver Service Coverage
Individual Supported Employment	☐
Community Guide	☐
Group Supported Employment	☐
Therapeutic Consultation	☐
Workplace Assistance	☐
Center-based Crisis Supports	☐
Employment and Community Transportation	☐
Benefits Planning	☐
Community-based Crisis Supports	☐
Respite Services	☐
Group Day Services	☐
Electronic Home-Based Supports	☐
In-Home Support Services	☐
Private Duty Nursing	☐
Personal Emergency Response System (PERS)	☐
Transition Services	☐
Skilled Nursing	☐
Community Engagement	☐
Shared Living	☐
Companion Services	☐
Community Coaching	☐
Personal Assistance Services	☐
Crisis Support Services	☐
Assistive Technology	☐
Environmental Modifications	☐
Individual and Family/Caregiver Training	☐
Supported Living Residential	☐
Peer Mentor Supports	☐
Services Facilitation	☑

☐ **Administrative Activity.** Information and assistance in support of participant direction are furnished as an administrative activity.

Specify (a) the types of entities that furnish these supports; (b) how the supports are procured and compensated; (c) describe in detail the supports that are furnished for each participant direction opportunity under the waiver; (d) the methods and frequency of assessing the performance of the entities that furnish these supports; and, (e) the entity or entities responsible for assessing performance:

Appendix E: Participant Direction of Services

E-1: Overview (10 of 13)

k. Independent Advocacy *(select one)*.

- (●) **No. Arrangements have not been made for independent advocacy.**
- ( ) **Yes. Independent advocacy is available to participants who direct their services.**

Describe the nature of this independent advocacy and how participants may access this advocacy:

Appendix E: Participant Direction of Services

E-1: Overview (11 of 13)

l. Voluntary Termination of Participant Direction. Describe how the State accommodates a participant who voluntarily terminates participant direction in order to receive services through an alternate service delivery method, including how the State assures continuity of services and participant health and welfare during the transition from participant direction:

Individuals may elect at any time to initiate or discontinue consumer-directing their supports. The individual also may exercise the option of combining agency-directed and consumer-directed supports in order to meet his/her service needs. In the event that an individual elects to discontinue consumer-directed services but still needs and desires similar services, the case manager will aid the individual in selecting and securing services from an agency provider by offering choice of agency-directed providers and linking the individual with the Medicaid-enrolled provider of choice.

Appendix E: Participant Direction of Services

E-1: Overview (12 of 13)

m. Involuntary Termination of Participant Direction. Specify the circumstances when the State will involuntarily terminate the use of participant direction and require the participant to receive provider-managed services instead, including how continuity of services and participant health and welfare is assured during the transition.

The services facilitator or case manager, as appropriate, shall initiate involuntary disenrollment from consumer direction of the individual when any of the following conditions occur:

(1) The health, safety, or welfare of the individual is at risk;
(2) The individual or EOR, as appropriate, demonstrates consistent inability to hire and retain a personal assistant; or
(3) The individual or EOR, as appropriate, is consistently unable to manage the assistant, as may be demonstrated by, but shall not necessarily be limited to, a pattern of serious discrepancies with timesheets.

Prior to involuntary disenrollment, the services facilitator or case manager, as appropriate, shall:

(1) Verify that essential training has been provided to the individual or EOR, as appropriate, to improve the problem condition or conditions;
(2) Document in the individual's record the conditions creating the necessity for the involuntary disenrollment and actions taken by the services facilitator or case manager, as appropriate;
(3) Discuss with the individual or the EOR, as appropriate, the agency directed option that is available and the actions needed to arrange for such services while providing a list of potential providers; and
(4) Provide written notice to the individual and EOR, as appropriate, of the right to appeal such involuntary termination of consumer direction. Such notice shall be given at least 10 business days prior to the effective date of this action.

If the services facilitator initiates the involuntary disenrollment from consumer direction, then he shall inform the case manager. The individual shall be permitted to select an agency from which to receive his personal assistance, respite, companion or non-medical transportation services.

Appendix E: Participant Direction of Services

E-1: Overview (13 of 13)

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

Table E-1-n

	Employer Authority Only	Budget Authority Only or Budget Authority in Combination with Employer Authority
Waiver Year	**Number of Participants**	**Number of Participants**
Year 1	1080	
Year 2	1111	
Year 3	1185	
Year 4	1259	
Year 5	1333	

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant Direction (1 of 6)

a. Participant - Employer Authority *Complete when the waiver offers the employer authority opportunity as indicated in Item E-1-b:*

i. Participant Employer Status. Specify the participant's employer status under the waiver. *Select one or both*:

☐ **Participant/Co-Employer.** The participant (or the participant's representative) functions as the co-employer (managing employer) of workers who provide waiver services. An agency is the common law employer of participant-selected/recruited staff and performs necessary payroll and human resources functions. Supports are available to assist the participant in conducting employer-related functions.

Specify the types of agencies (a.k.a., agencies with choice) that serve as co-employers of participant-selected staff:

☑ **Participant/Common Law Employer.** The participant (or the participant's representative) is the common law employer of workers who provide waiver services. An IRS-approved Fiscal/Employer Agent functions as the participant's agent in performing payroll and other employer responsibilities that are required by federal and state law. Supports are available to assist the participant in conducting employer-related functions.

ii. Participant Decision Making Authority. The participant (or the participant's representative) has decision making authority over workers who provide waiver services. *Select one or more decision making authorities that participants exercise*:

☑ **Recruit staff**
☐ **Refer staff to agency for hiring (co-employer)**
☐ **Select staff from worker registry**
☑ **Hire staff common law employer**
☑ **Verify staff qualifications**
☑ **Obtain criminal history and/or background investigation of staff**

Specify how the costs of such investigations are compensated:

The contracted FMS requests and obtains criminal history checks of self-directed employees on behalf of the individual/employer. The FMS receives reimbursement for the cost of these investigations as a part of the administrative contract billing.

☑ **Specify additional staff qualifications based on participant needs and preferences so long as such qualifications are consistent with the qualifications specified in Appendix C-1/C-3.**
☑ **Determine staff duties consistent with the service specifications in Appendix C-1/C-3.**
☐ **Determine staff wages and benefits subject to State limits**
☑ **Schedule staff**
☑ **Orient and instruct staff in duties**
☑ **Supervise staff**
☑ **Evaluate staff performance**
☑ **Verify time worked by staff and approve time sheets**
☑ **Discharge staff (common law employer)**
☐ **Discharge staff from providing services (co-employer)**
☐ **Other**

Specify:

Appendix E: Participant Direction of Services

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

b. Participant - Budget Authority *Complete when the waiver offers the budget authority opportunity as indicated in Item E-1-b:*

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

i. Participant Decision Making Authority. When the participant has budget authority, indicate the decision-making authority that the participant may exercise over the budget. *Select one or more*:

- ☐ **Reallocate funds among services included in the budget**
- ☐ **Determine the amount paid for services within the State's established limits**
- ☐ **Substitute service providers**
- ☐ **Schedule the provision of services**
- ☐ **Specify additional service provider qualifications consistent with the qualifications specified in Appendix C-1/C-3**
- ☐ **Specify how services are provided, consistent with the service specifications contained in Appendix C-1/C-3**
- ☐ **Identify service providers and refer for provider enrollment**
- ☐ **Authorize payment for waiver goods and services**
- ☐ **Review and approve provider invoices for services rendered**
- ☐ **Other**

Specify:

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (3 of 6)

b. Participant - Budget Authority

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

ii. Participant-Directed Budget Describe in detail the method(s) that are used to establish the amount of the participant-directed budget for waiver goods and services over which the participant has authority, including how the method makes use of reliable cost estimating information and is applied consistently to each participant. Information about these method(s) must be made publicly available.

Appendix E: Participant Direction of Services

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

b. Participant - Budget Authority

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

iii. Informing Participant of Budget Amount. Describe how the State informs each participant of the amount of the participant-directed budget and the procedures by which the participant may request an adjustment in the budget amount.

Appendix E: Participant Direction of Services

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

b. Participant - Budget Authority

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

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

○ **Modifications to the participant directed budget must be preceded by a change in the service plan.**

○ **The participant has the authority to modify the services included in the participant directed budget without prior approval.**

Specify how changes in the participant-directed budget are documented, including updating the service plan. When prior review of changes is required in certain circumstances, describe the circumstances and specify the entity that reviews the proposed change:

Appendix E: Participant Direction of Services

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

b. Participant - Budget Authority

Answers provided in Appendix E-1-b indicate that you do not need to complete this section.

v. Expenditure Safeguards. Describe the safeguards that have been established for the timely prevention of the premature depletion of the participant-directed budget or to address potential service delivery problems that may be associated with budget underutilization and the entity (or entities) responsible for implementing these safeguards:

Appendix F: Participant Rights

Appendix F-1: Opportunity to Request a Fair Hearing

The State provides an opportunity to request a Fair Hearing under 42 CFR Part 431, Subpart E to individuals: (a) who are not given the choice of home and community-based services as an alternative to the institutional care specified in Item 1-F of the request; (b) are denied the service (s) of their choice or the provider(s) of their choice; or, (c) whose services are denied, suspended, reduced or terminated. The State provides notice of action as required in 42 CFR §431.210.

Procedures for Offering Opportunity to Request a Fair Hearing. Describe how the individual (or his/her legal representative) is informed of the opportunity to request a fair hearing under 42 CFR Part 431, Subpart E. Specify the notice(s) that are used to offer individuals the opportunity to request a Fair Hearing. State laws, regulations, policies and notices referenced in the description are available to CMS upon request through the operating or Medicaid agency.

State regulations (12 VAC 30-110-90) and federal regulations (42 CFR 431) require that the notice to individuals who have had a Medicaid-covered service denied, reduced, suspended, terminated or not acted upon within required time frames include appeal rights. Notices must also be provided when an individual's choice of provider or choice of HCBS versus institutional services are not provided or are not acted upon within the required time frames.

The individual must be notified in writing of the right to a hearing and the procedure for requesting a hearing at the time of the application and at the time of any adverse action by DMAS or its designee. For individuals not fluent in English, the information must be translated into their native language or if they are not literate, an interpreter must be provided to explain their rights to an appeal in their native language. Notices must be issued at least 10 days prior to the date of action, except for those situations specified in law or regulations. The individual then has 30 days from the date of denial to request an appeal.

When an individual's request for a Medicaid-covered service is denied, reduced, suspended, terminated, or not acted upon within required time frames, the Case Manager must send the written notification of the action and the right to appeal the action to the individual.

The contents of the notification letter must include:

1. What action the agency intends to take;
2. The reason(s) for the intended action;
3. An explanation of the individual's right to request a hearing;
4. An explanation of the circumstances under which Medicaid is continued if a hearing is requested;
5. An explanation of the individual's requirement to reimburse DMAS if the agency's action is upheld, if the individual continues to receive a Medicaid-covered service; and

6. The effective date of the action.

Unless otherwise specified, written notification must be mailed by the Case Manager to the individual or legal guardian at least 10 days prior to the date of action when an agency reduces, suspends, or terminates one or all Medicaid-covered services.

Exceptions to the 10-Day Advance Notice Requirements:

The 10-day advance written notice is required to be sent to the individual or legal guardian except in the following instances: (Note that the written notice is required, even though advance notice is not.)

1. When the agency has factual information confirming the death of an individual;
2. When an individual or guardian provides a written request indicating that:
 a) He/she no longer wishes services to continue; OR
 b) He/she gives information that requires termination or reduction and indicates an understanding of the action required by supplying this information;
3. The individual has been admitted to an institution and is ineligible for further services, including a regular admission to an ICF/ID or a nursing home, or has been incarcerated;
4. The individual's whereabouts are unknown, as evidenced by returned mail;
5. The agency establishes the fact that the individual has been accepted for Medicaid services by another local jurisdiction, state, territory, or commonwealth;
6. The individual's physician prescribes a change in the level of care;
7. When the individual's request for admission into a Medicaid-covered service or when the individual's request for an increase in a Medicaid-covered service is denied or not acted upon promptly for any reason (i.e., diagnostic or functional eligibility, funding, no provider, etc.).

All notification letters must be filed in the case management record.

Appeals must be requested in writing and postmarked within 30 days of receipt of the notice of adverse action. The client or his authorized representative may write a letter or complete an Appeal Request Form. Forms are available on the internet at www.dmas.virginia.gov, at local departments of social services, or by calling (804) 371-8488. A copy of the notice or letter about the action should be included with the appeal request.

The appeal request must be signed and mailed to the:
Appeals Division
Department of Medical Assistance Services
600 E. Broad Street
Richmond, Virginia 23219
Appeal requests may also be faxed to: (804) 371-8491

If an appeal is filed before the effective date of the action, services may continue during the appeal process. Individuals are notified of this fact initially at the time of application for waiver services through receipt from the case manager of a booklet titled "About Your Appeal." This booklet contains the following text:

"For reduction or termination of coverage, if your request is made before the effective date of the action and the action is subject to appeal/review, your coverage may continue pending the outcome of the appeal/review."

In addition, at the time of any adverse action by DMAS, DBHDS, the CSB, or the Dept. of Social Services the individual must be issued a letter notifying him/her of his/her right to appeal that contains the following paragraph,

"If this is a termination or reduction in services and if you file an appeal before the effective date of this action, [date], services may continue during the appeal process. However, if you appeal and the Appeals Division upholds this decision, you may be required to reimburse the Medical Assistance Program for the waiver services provided after [date]. Additionally, if you file an appeal, you must inform your case manager of this action in order for your services to continue beyond the above stated end date."”

DMAS will decide whether continued coverage applies. After receiving confirmation from DMAS that an appeal has been validated and that continued coverage applies, the case manager must notify the provider (after confirming with the individual or family member/caregiver, if applicable, that the individual wishes to receive continued services) that services must continue at the same level until the appeal decision is rendered.

Similarly, in the case of the discharge, if the individual files an appeal during the 30 days following notification of discharge, the appropriate entity must be notified and the waiver slot must remain assigned to the current individual until an appeal decision has been issued. If the individual does not appeal within 30 days following the date of notification, the slot may be reassigned.

If the agencys action is upheld by the hearing officer, and services were continued solely because of the appeal, the client will be expected to repay DMAS for all services received during the appeal period. For this reason, the client may choose not to receive continued services.

Appendix F: Participant-Rights

Appendix F-2: Additional Dispute Resolution Process

a. **Availability of Additional Dispute Resolution Process.** Indicate whether the State operates another dispute resolution process that offers participants the opportunity to appeal decisions that adversely affect their services while preserving their right to a Fair Hearing. *Select one:*

- (●) **No. This Appendix does not apply**
- ( ) **Yes. The State operates an additional dispute resolution process**

b. **Description of Additional Dispute Resolution Process.** Describe the additional dispute resolution process, including: (a) the State agency that operates the process; (b) the nature of the process (i.e., procedures and timeframes), including the types of disputes addressed through the process; and, (c) how the right to a Medicaid Fair Hearing is preserved when a participant elects to make use of the process: State laws, regulations, and policies referenced in the description are available to CMS upon request through the operating or Medicaid agency.

Appendix F: Participant-Rights

Appendix F-3: State Grievance/Complaint System

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

- ( ) **No. This Appendix does not apply**
- (●) **Yes. The State operates a grievance/complaint system that affords participants the opportunity to register grievances or complaints concerning the provision of services under this waiver**

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

Individuals receiving supports through the waiver may register a grievance or complaint with DMAS or DBHDS and are informed that filing a grievance or making a complaint are not a pre-requisite or substitute for a fair hearing.

DMAS refers any complaints/grievances received to the operating agency, DBHDS. DBHDS is the primary agency that receives complaints and grievances. The agency does not have a formal complaint system but does ensure that concerns expressed are taken seriously and efforts are made to investigate and resolve them. Concerns are directed to appropriate staff and documentation is kept of the efforts made and final resolution.

c. **Description of System.** Describe the grievance/complaint system, including: (a) the types of grievances/complaints that participants may register; (b) the process and timelines for addressing grievances/complaints; and, (c) the mechanisms that are used to resolve grievances/complaints. State laws, regulations, and policies referenced in the description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

The individual is informed that they may file a grievance or make a complaint upon entrance into the waiver through correspondence from DMAS and through meetings with their Case Manager and SF when reviewing their service plan.

If a service provider has an internal appeal process, the participant need not utilize the provider's in-house appeal process as a prerequisite to filing for a fair hearing directly with DMAS. The participant can utilize the provider's appeal process or appeal directly to DMAS or participate in both processes simultaneously.

Individuals may request a fair hearing at any time. They need not file a complaint or grievance first.

IFDDS Waiver participants may register the following types of grievances/complaints:

1. Safety, endangerment, or welfare issues;
2. Suspicion of Medicaid fraud;
3. Violations of Medicaid regulations, policy, or Code of Virginia, including HIPPA;
4. Issues regarding DMAS contractors for pre-admission screening, pre-authorization, or fiscal management services;
5. Issues related to parties other than parents, such as social worker, doctor, therapist;
6. Issues related to a provider of Consumer Directed Services Facilitation;
7. Difficulty with services and/or provider agencies.

All individual grievances/complaints are responded to within 24 hours and logged using an automated system. DMAS staff must respond to and log the grievance/complaint and resolution as soon as feasible (depending on the nature and extent of the complaint) into the Waiver Complaint Database. The mechanisms for the response may include follow-up by phone, letter, home visit, provider

agency visit, QMR, and/or referral to another agency (e.g., DBHDS Office of Licensing, Department of Social Services Child Protective Services, Department of Aging and Rehabilitative Adult Protective Services, Medicaid Fraud Control Unit, Health Department).

DMAS has a phone number in the Division of Long Term Care that individuals can call with a complaint or to ask questions. Individuals can also write a letter and mail or fax it in to the division. Complaints, questions or concerns are either referred to Licensing at DBHDS or another agency, or information is gathered for a QMR review, if appropriate. Complaints or concerns regarding DBHDS-licensed providers may be submitted in written or telephonic form and are then referred to the appropriate Licensing Specialist for investigation.

Appendix G: Participant Safeguards

Appendix G-1: Response to Critical Events or Incidents

a. **Critical Event or Incident Reporting and Management Process.** Indicate whether the State operates Critical Event or Incident Reporting and Management Process that enables the State to collect information on sentinel events occurring in the waiver program.*Select one:*

- (●) **Yes. The State operates a Critical Event or Incident Reporting and Management Process** *(complete Items b through e)*
- ( ) **No. This Appendix does not apply** *(do not complete Items b through e)*
  If the State does not operate a Critical Event or Incident Reporting and Management Process, describe the process that the State uses to elicit information on the health and welfare of individuals served through the program.

b. **State Critical Event or Incident Reporting Requirements.** Specify the types of critical events or incidents (including alleged abuse, neglect and exploitation) that the State requires to be reported for review and follow-up action by an appropriate authority, the individuals and/or entities that are required to report such events and incidents and the timelines for reporting. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

There are several elements to Virginia's Critical Incident Reporting and Management process.

I. FOR ALL PROVIDERS OF SERVICES IN THIS WAIVER
Overall state critical incident reporting requirements are under the purview of the Virginia Department of Aging and Rehabilitative Services (DARS) for adults and the Virginia Department of Social Services (VDSS) for children. Protective services for adults are described in the Virginia State Code at §63.2-1605. Protective services for children are described in the Virginia State Code at §63.2-1501 et. seq.

Adult Protective Services (APS) investigates reports of abuse, neglect, and exploitation of adults 60 years of age or older and incapacitated adults (inclusive of individuals with I/DD) age 18 or older. APS also assists in the development and implementation of programs to respond to and prevent adult abuse, neglect, or exploitation; prepares, disseminates, and presents educational programs and materials on adult abuse, neglect, and exploitation to mandated reporters and the public; and operates the APS 24-hour toll-free hotline (1-888-832-3858) and provides training and technical assistance to the hotline staff.

Reports of suspected abuse, neglect, or exploitation of adults must be made to the local department or the APS hotline.

Upon receipt of a report of suspected abuse, neglect, or exploitation of an adult, the local department determines the validity of the report and initiates an investigation within 24 hours of the time the report is received. APS must also refer any appropriate matter and all relevant documentation to the appropriate licensing, regulatory, or legal authority for administrative action or criminal investigation.

In the case of children, the local department of social services (ldss) that first receives a complaint or report of child abuse or neglect assumes responsibility to ensure that a family assessment or an investigation is conducted. All complaints and reports of suspected child abuse or neglect are recorded in the child abuse and neglect information system and either screened out or determined valid. In all valid complaints or reports of child abuse or neglect the ldss shall determine whether to conduct an investigation or a family assessment. A valid complaint or report is one in which: (i) the alleged victim child or children are under the age of 18 years at the time of the complaint or report; (ii) the alleged abuser is the alleged victim child's parent or other caretaker; (iii) the local department receiving the complaint or report has jurisdiction; and (iv) the circumstances described allege suspected child abuse or neglect as defined in § 63.2-100 of the Code of Virginia.

To make a complaint or report of child abuse or neglect, a person may telephone the VDSS 24-hour toll-free child abuse and neglect hotline (1-800-552-7096) or contact a local department of social services pursuant to §63.2-1510 of the Code of Virginia.

Virginia defines these terms for adults as follows:

"Abuse" means (i) knowing and willful conduct that causes physical injury or pain or (ii) knowing and willful use of physical restraint, including confinement, as punishment, for convenience or as a substitute for treatment, except where such conduct or physical restraint, including confinement, is a part of care or treatment and is in furtherance of the health and safety of the incapacitated person. [§18.2-369]

"Incapacitated adult" means any person 18 years of age or older who is impaired by reason of mental illness, intellectual disability, physical illness or disability, advanced age or other causes to the extent the adult lacks sufficient understanding or capacity to make, communicate or carry out reasonable decisions concerning his well-being. [§18.2-369]

"Neglect" means the knowing and willful failure by a responsible person to provide treatment, care, goods or services which results in injury to the health or endangers the safety of an incapacitated adult [§18.2-369].

"Adult exploitation" means the illegal, unauthorized, improper, or fraudulent use of an adult as defined in § 63.2-1603 or his funds, property, benefits, resources, or other assets for another's profit, benefit, or advantage, including a caregiver or person serving in a fiduciary capacity, or that deprives the adult of his rightful use of or access to such funds, property, benefits, resources, or other assets. "Adult exploitation" includes (i) an intentional breach of a fiduciary obligation to an adult to his detriment or an intentional failure to use the financial resources of an adult in a manner that results in neglect of such adult; (ii) the acquisition, possession, or control of an adult's financial resources or property through the use of undue influence, coercion, or duress; and (iii) forcing or coercing an adult to pay for goods or services or perform services against his will for another's profit, benefit, or advantage if the adult did not agree, or was tricked, misled, or defrauded into agreeing, to pay for such goods or services or to perform such services. [§63.2-100].

Any person may voluntarily report suspected "abuse, neglect and exploitation" (in various forms) to DARS offices of Adult Protective Services the LDSS or the APS Hotline. The Code of Virginia (§ 63.2-1606) requires those designated as "mandated reporters" immediately, upon determining there is a reason for suspicion, report any suspected instances of abuse, neglect, or exploitation to the local department or the protective services hotline. Mandated reporters for APS include the following persons acting in their professional capacity:

1. Any person licensed, certified, or registered by health regulatory boards listed in §54.1-2503, with the exception of persons licensed by the Board of Veterinary Medicine;
2. Any mental health services provider as defined in §54.1-2400.1;
3. Any emergency medical services personnel certified by the Board of Health pursuant to §32.1-111.5, unless such provider immediately reports the suspected abuse, neglect or exploitation directly to the attending physician at the hospital to which the adult is transported, who shall make such report forthwith;
4. Any guardian or conservator of an adult;
5. Any person employed by or contracted with a public or private agency or facility and working with adults in an administrative, supportive or direct care capacity;
6. Any person providing full, intermittent or occasional care to an adult for compensation, including but not limited to, companion, chore, homemaker, and personal care workers; and
7. Any law-enforcement or probation officer.

Mandated reporters for CPS include the following persons acting in their professional or official capacity:
1. Any person licensed to practice medicine or any of the healing arts;
2. Any hospital resident or intern, and any person employed in the nursing profession;
3. Any person employed as a social worker or family-services specialist;
4. Any probation officer;
5. Any teacher or other person employed in a public or private school, kindergarten or nursery school;
6. Any person providing full-time or part-time child care for pay on a regularly planned basis;
7. Any mental health professional;
8. Any law-enforcement officer or animal control officer;
9. Any mediator eligible to receive court referrals pursuant to § 8.01-576.8;
10. Any professional staff person, not previously enumerated, employed by a private or state-operated hospital, institution or facility to which children have been committed or where children have been placed for care and treatment;
11. Any person 18 years of age or older associated with or employed by any public or private organization responsible for the care, custody or control of children;
12. Any person who is designated a court-appointed special advocate pursuant to Article 5 (§ 9.1-151 et seq.) of Chapter 1 of Title 9.1;
13. Any person 18 years of age or older who has received training approved by the Department of Social Services for the purposes of recognizing and reporting child abuse and neglect;
14. Any person employed by a local department as defined in § 63.2-100 who determines eligibility for public assistance;
15. Any emergency medical services provider certified by the Board of Health pursuant to § 32.1-111.5, unless such provider immediately reports the matter directly to the attending physician at the hospital to which the child is transported, who shall make such report forthwith;
16. Any athletic coach, director or other person 18 years of age or older employed by or volunteering with a private sports organization or team;
17. Administrators or employees 18 years of age or older of public or private day camps, youth centers and youth recreation programs; and

18. Any person employed by a public or private institution of higher education other than an attorney who is employed by a public or private institution of higher education as it relates to information gained in the course of providing legal representation to a client.

Local departments or the APS 24-hour, toll-free hotline, upon receiving the initial report, must immediately notify the local law-enforcement agency when in receipt of a report describing any of the following:

1. Sexual abuse as defined in §18.2-67.10;
2. Death that is believed to be the result of abuse or neglect;
3. Serious bodily injury or disease as defined in § 18.2-369 that is believed to be the result of abuse or neglect;
4. Suspected financial exploitation of an adult; or
5. Any other criminal activity involving abuse or neglect that places the individual in imminent danger of death or serious bodily harm.

For CPS, the local department must notify the local attorney for the Commonwealth and the local law-enforcement agency immediately, but in no case more than two hours of receipt of the complaint, for all complaints of suspected child abuse or neglect involving the following:
1. Death of a child;
2. Injury or threatened injury to the child in which a felony or Class 1 misdemeanor is also suspected;
3. Sexual abuse, suspected sexual abuse or other sexual offense involving a child, including but not limited to the use or display of the child in sexually explicit visual material, as defined in § 18.2-374.1;
4. Abduction of a child;
5. Felony or Class 1 misdemeanor drug offense involving a child; and
6. Contributing to the delinquency of a minor in violation of § 18.2-371

APS has 45 days to complete the investigation and 10 days after the investigation closes to notify the responsible parties of the results.

CPS has 45 days to complete investigations but there are exceptions and circumstances that allow longer time. CPS timeframes are found in §§ 63.2-1505 and 63.2-1506 of the Code of Virginia.

II. FOR DBHDS-LICENSED PROVIDERS
Licensing and Human Rights regulations [12 VAC 35-105-160 and 12 VAC 35-115-230] state that the provider shall collect, maintain and report:

1. Each allegation of abuse or neglect to the assigned human rights advocate within 24 hours from the receipt of the initial allegation. These reports are currently made electronically through the Computerized Human Rights Information System (CHRIS). The provider shall provide a report through CHRIS of the results of the investigation of abuse or neglect to the provider and the human rights advocate within 10 working days from the date the investigation began. The report shall include but not be limited to the following: whether abuse, neglect or exploitation occurred; type of abuse; and whether the act resulted in physical or psychological injury.

2. Deaths and serious injuries via CHRIS to DBHDS within 24 hours of discovery, and by phone to the legally authorized representative as applicable within 24 hours. This report should include: the date and place of death or serious injury; nature of injuries and treatment required and circumstances of death or serious injury.

3. Each instance of restraint that does not comply with the human rights regulations or approved variances, or that results in injury to an individual within 24 hours to the legally authorized representative and, via CHRIS, to the assigned human rights advocate.

The Human Rights Advocate and the Local Human Rights Committee (LHRC) receive information from providers on the type, resolution level, and findings of each complaint of a human rights violation and implementation of variances in accordance with the LHRC meeting schedule or as requested by the advocate.

DMAS receives telephone reports of complaints (some involving critical incidents) related to Medicaid providers. These are referred to VDSS, DARS, DBHDS or other appropriate agency for follow-up, if appropriate. Also, these complaints may result in provider getting a DMAS Quality Management Review (QMR). During on-site visits, QMR staff report any identified health and safety violations to DBHDS, VDSS, DARS or other appropriate agency as required by law. The QMR includes seeking information on incidents that should have been reported and the actual disposition.

New providers are trained by the Human Rights Advocate on what would be considered elements of a good investigation during the initial onsite provider review. This happens between 30-60 days of licensing. The Human Rights Advocate also provides ongoing regional training on human rights, to include investigations, for all existing providers. Information and training on investigations is available on the DBHDS website. A thorough investigation may include the following:
•Recognize the event (i.e., abuse, neglect) that requires an investigation;
•Take immediate action to ensure safety of individual(s);
•Complete and document required initial reporting (CHRIS, DSS, Law Enforcement as applicable);
•Collect relevant facts (medical records, case notes, incident reports, photographs, videos, etc.);

•Conduct interviews and collect written statements from everyone involved or knowledgeable of the incident;
•Analyze, inventory, and maintain evidence in accordance with procedures;
•Identify Corrective Action;
•Summarize and report findings along with corrective action plan to DBHDS and individual(s) involved;
•Implement and track any appropriate administrative or clinical care and treatment-related actions in order to prevent future occurrences, when it is determined that a violation has occurred; and
•Decide whether an administrative intervention is necessary (i.e., policy review, continued fact-finding), when it is determined that a violation has not occurred.

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.

Information and training regarding human rights protections required by DBHDS Office of Human Rights regulations (12 VAC 35-115-10-260) is provided to the individual and family/caregiver, as applicable, by the case manager and all DBHDS-licensed providers at the initiation of Waiver services and annually thereafter. These include the individuals' right to be free from abuse, neglect and exploitation. Individuals are also informed by their case manager that they may make a report directly to Adult/Child Protective Services, the local human rights committee or other direct care providers or professionals, to register a complaint on his or her behalf.

DMAS offers annual training to QMR staff on how to recognize and report abuse, neglect and exploitation.

DMAS continues to stress the importance of the protection from abuse, neglect, and exploitation of the Commonwealth's elderly and citizens with disabilities. The Guide for Long-Term Care Services in Virginia (rev. 7/1/2013), available on the DMAS website and distributed to all local departments of social services, contains information on reporting abuse, neglect and exploitation. The Consumer-Directed Employer of Record Manual (rev. March 2015), utilized by consumer-directed employers and services facilitators, includes information about abuse, neglect and exploitation as well as the APS/CPS hotlines.

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.

I. APS receives and responds to all reports of critical incidents of abuse, neglect or exploitation, as required by their regulations. Reports are investigated by assigned APS staff members who must initiate an investigation of a valid report within 24 hours of report receipt. Investigations are finalized and closed as soon as possible given the nature and extent of the complaint. The complainant is informed of the investigation disposition in need or not in need of protective services at case closure. APS has 45 days to complete the investigation and 10 days after the investigation closes to notify the complainant of the results.

CPS responds to valid reports of child abuse or neglect as required by their regulations 22VAC40-705 and 22VAC40-730 and guidance manual.

II. The DBHDS Office of Licensing receive reports of critical incidents (i.e., serious injuries or deaths) of individuals in DBHDS-licensed settings) via a self-report, provider staff, family members, advocates and other community members. Providers are required to make these reports within 24 hours of discovery. DBHDS staff conducts announced and unannounced onsite reviews at any time and as part of the investigations of complaints or incidents as needed. Providers must report each allegation of abuse or neglect to the assigned human rights advocate within 24 hours from the receipt of the initial allegation. The provider submits a report via CHRIS of the results of the investigation of abuse or neglect to the Office of Human Rights within 10 working days from the date the investigation began unless an exemption has been granted. The report shall include but not be limited to the following: whether abuse, neglect or exploitation occurred; the type of abuse; and whether the act resulted in physical or psychological injury. Deaths and serious injuries must be reported to DBHDS within 24 hours of discovery. The report must include the date and place of death or serious injury, the nature of injuries and treatment required and the circumstances of death or serious injury.

If the DBHDS Office of Licensing detects noncompliance with any licensing regulations, including critical incident reporting, DBHDS develops a findings report requiring that the provider submit a corrective action plan to DBHDS within 15 business days of the issuance of the licensing report. Extensions may be granted when requested but are not to exceed an additional 10 business days.

III. DBHDS Office of Human Rights Advocates are required to close CHRIS cases within 60 days of initial notification. This is monitored by the Human Rights Regional Manager.

Office of Human Rights protocols require the responsible Advocate to verify that all provider corrective actions are being implemented. Cases are not closed until verification of implementation is documented by the Advocate in the advocate action section of CHRIS. In the event that the timeframe is extended due to a “pending higher level appeal” or when there is a delayed response from the provider, the assigned Advocate refers the case for further action to the Regional Manager.

The advocate may verify implementation of any corrective action through additional onsite visits and/or reviews of policies and/or other documents.

Proposed updates to waiver regulations will require providers with a history of noncompliance with regulations, as evidenced by multiple citations by either DBHDS Office of Licensing or DMAS QMR, resulting in the need for a corrective action plan in key identified areas such as health, safety, or failure to address the identified needs of the individual, will be required to undergo mandatory training and technical assistance in the specific area(s) of noncompliance. Failure to complete the mandatory training or identified technical assistance may result in referral to DMAS Provider Integrity or termination of the provider's Medicaid participation agreement.

Investigations:
Licensed providers are required to conduct internal investigations of serious incidents and allegations of abuse and neglect and report their findings to the Department. Newly licensed providers receive on-site training by the Office of Human Rights regarding what is reportable as abuse, neglect and serious injury and how to submit the report in CHRIS. Providers also have access to training resources and tools related to conducting abuse/neglect investigations via the DBHDS website.

Licensing and Human Rights staff monitor provider reports and investigations through CHRIS. Licensing and Human Rights staff conduct independent investigations when reported incidents result in an individual's death or are otherwise determined to require additional oversight.
All Human Rights and Licensing staff attend a three day competency-based training course resulting in certification to conduct serious incident investigations. The following are standard components that staff is taught during this training:

*Systematic process of evidence collection for the purpose of describing and explaining an incident.
*How to draw conclusions and utilize standardized tools for reporting investigative findings
*Effective ways of collecting relevant facts through interviewing witnesses, reviewing documentation and examining physical evidence.
*Utilization of agency protocols regarding when to include other agencies like Social Services, Law Enforcement etc. and instruction to defer to the Investigator Manual for ongoing consistency.

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 DBHDS Office of Human Rights (OHR) has an electronic reporting system ("CHRIS") that relays information from all DBHDS-licensed providers to OHR regarding reported instances of abuse, neglect and exploitation violations. The Quality Review Team (QRT), made up of DMAS and DBHDS staff, reviews information from CHRIS quarterly regarding individuals served by this waiver.

DMAS is responsible for monitoring the report of and response to critical incidents/events affecting individuals receiving this waiver through a review of reports provided by DARS. These reports are reviewed on a quarterly basis by the QRT and examine investigations of critical incidents, i.e., incidents of neglect, self-neglect, physical abuse, mental abuse, sexual abuse, financial exploitation, other exploitation and the percentage of individuals who accepted and refused protective services. The data collected will be reviewed and analyzed to identify trends. Any trends noted will be used to provide information for future training and provider development.

The QRT also reviews reports from the DBHDS Mortality Review Committee of deaths of individuals receiving services from DBHDS-licensed providers.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (1 of 3)

a. **Use of Restraints.** *(Select one)*: *(For waiver actions submitted before March 2014, responses in Appendix G-2-a will display information for both restraints and seclusion. For most waiver actions submitted after March 2014, responses regarding seclusion appear in Appendix G-2-c.)*

○ **The State does not permit or prohibits the use of restraints**

Specify the State agency (or agencies) responsible for detecting the unauthorized use of restraints and how this oversight is conducted and its frequency:

◉ **The use of restraints is permitted during the course of the delivery of waiver services**. Complete Items G-2-a-i and G-2-a-ii.

i. **Safeguards Concerning the Use of Restraints.** Specify the safeguards that the State has established concerning the use of each type of restraint (i.e., personal restraints, drugs used as restraints, mechanical restraints). State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

The human rights regulations define restrictions as anything that limits or prevents an individual from freely exercising his rights and privileges. Restrictions on Freedom of everyday life are outlined in 12 VAC35-115-100. The use of seclusion, restraint and time out is outlined in 12VAC35-115-110. Restraints (defined in regulation as the use of a mechanical device, medication, physical intervention or hands-on hold to prevent an individual from moving his body to engage in a behavior that places him or others at imminent risk" [12 VAC 35-115-30]) may only be used in an emergency or when recommended by a qualified professional ("Providers may use restraint in a behavioral treatment plan to address behaviors that present an immediate danger to the individual or others, but only after a licensed professional has conducted a detailed and systematic assessment of the behavior and the situations in which the behavior occurs." [12 VAC 35-115-105])

DBHDS encourages the use of evidence based positive behavioral supports to support individuals with challenging behaviors over more restrictive interventions ("Providers shall not use . . . restraint for any behavioral, medical or protective purpose unless other less restrictive techniques have been considered and documentation is placed in the individual's services plan that these less restrictive techniques did not or would not succeed in reducing or eliminating behaviors that are self-injurious or dangerous to other people or that no less restrictive measure was possible in the event of a sudden emergency." [12 VAC 35-115-110])

Parameters for the use of restraints are detailed in the DBHDS Human Rights regulations (12 VAC 35-115-110) and the DBHDS Licensing regulations (12 VAC 35-105-830) and include:

* Providers shall not use restraint as a punishment or reprisal or for the convenience of staff.
* Providers shall not use restraint solely because criminal charges are pending against the individual.
* Providers shall not use restraint for any behavioral, medical or protective purpose unless other less restrictive techniques have been considers and the service plan includes documentation that these less restrictive techniques did not or would not succeed in reducing or eliminating behaviors that are self-injurious or dangerous to other people or that no less restrictive measure was possible in the event of a sudden emergency.
* Providers that use restraint shall develop written policies and procedures (to be reviewed by Office of Licensing staff) that comply with applicable federal and state laws and regulations.
* Providers shall submit all proposed restraint and time out policies and procedures to the DBHDS Human Rights Advocate and upon request to the Local Human Rights Committee for review and comment .
* Application of restraint shall be documented in the individual's record and, at a minimum, include physician's order, date and time, employees involved, circumstances and reasons for use, duration, type of technique used and outcomes.

Pharmacological restraints would NOT be appropriate in this waiver's venues. Therefore, providers may ONLY employ:
* mechanical restraints, which is defined as "the use of a mechanical device that cannot be removed by the individual to restrict the freedom of movement or function of a limb or portion of an individual's body when that behavior places him or others at imminent risk," [12 VAC 35-115-30] or
* physical restraints (also referred to as "manual hold") which is defined as "the use of a physical intervention or hands-on hold to prevent an individual from moving his body when that individual's behavior places him or others at imminent risk.""[12 VAC 35-115-30]

Providers must have a written policy that states who is qualified/trained to implement any restraint or time out ("Providers that use . . . restraint shall develop written policies and procedures that comply with applicable federal and state laws and regulations . . . and sound therapeutic practice. These policies and procedures shall include . . . trained, qualified staff shall monitor the individual's medical and mental condition continuously while the restriction is being used."[12 VAC 35-115-110]). Further, regulations state that, "Providers shall ensure that only staff who have been trained in the proper and safe use of . . . restraint techniques may initiate, monitor and discontinue their use."" [12 VAC 35-115-110]. In addition, the Office of Licensing requires that, "The use . . . shall be consistent with the provider's policies and procedures."

Providers implementing physical restraints generally have staff trained in using either the Mandt or Therapeutic Options [See http://www.therops.com/therapeuticoptions.html] systems. Providers implementing a mechanical restraint (most commonly the protective wearing of a helmet, glove or mitten) must have staff trained by the appropriate professional to administer whatever restrictive device/procedure according to the needs of the individual and as defined in policy. Ideally, as staff are trained to recognize the individual's cues as to when the restraint or time out is needed, so should they work with the individual to help him recognize when he needs the protective device/time apart from others so that he can self-administer (at that point the device/removal ceases to be a restraint/time out, as "the voluntary use of protective equipment [is] not considered restraints." [12 VAC 35-115-110]

In addition to the safeguards mentioned above, human rights regulations state the following:
"Each individual is entitled to be completely free from any unnecessary use of . . . restraint."

The provider's duties [regarding the use of restraint include]:
1. Providers shall meet with the individual or his authorized representative upon admission to the service to discuss and document in the individual's services record, his preferred interventions in the event his behaviors or symptoms become a danger to himself or others and under what circumstances, if any, the intervention may include restraint.

2. Providers shall document in the individual's services record all known contraindications to the use of . . . any form of physical or mechanical restraint including medical contraindications and a history of trauma and shall flag the record to alert and communicate this information to staff.

3. Individuals shall be given the opportunity for motion and exercise, to eat at normal meal times and take fluids to use the restroom and to bathe as needed.

4. Each use of restraint shall end immediately when criteria for removal are met.

5. Providers shall ensure that a qualified professional who is involved in providing services to the individual reviews every use of physical restraint as soon as possible after it is carried out and documents the results of his review in the individual's services record.

6. Providers shall ensure that review and approval by a qualified professional for the use or continuation of restraint for medical or protective purposes is documented in the individual's services record. Documentation includes:
a. Justification for any restraint
b. Time-limited approval for the use or continuation of restraint; and
c. Any physical or psychological conditions that would place the individual at greater risk during restraint.

7. Providers may use . . . mechanical restraint for behavioral purposes in an emergency only if a qualified professional involved in providing services to the individual has, within one hour of the initiation of the procedure:
a. conducted a face-to-face assessment of the individual and documented that alternatives to the proposed use of . . . mechanical restraint have not been successful in changing the behavior or were not attempted, taking into account the individuals' medical and mental condition, behavior, preferences, nursing and medication needs and ability to function independently;
b. determined that the proposed . . . mechanical restraint is necessary to protect the individual or others from harm injury or death;
c. documented in the individual's services record the specific reason for the . . . mechanical restraint;
d. documented in the individual's services record the behavioral criteria that the individual must meet for release from . . . mechanical restraint; and
e. explained to the individual, in a way that he can understand, the reason for using mechanical restraint . . ., the criteria for its removal, and the individual's right to a fair review of whether the mechanical restraint . . . was permissible.

8. Providers shall limit each approval for restraint for behavioral purposes . . . to four hours for individuals age 18 and older, two hours for children and adolescents ages 9 to 17 and one hour for children under age nine.

9. Providers shall not issue standing orders for the use of . . . restraint for behavioral purposes.

10. Providers shall ensure that no individual is in time out for more than 30 minutes per episode.

11. Providers shall monitor the use of restraint for behavioral purposes . . . through continuous face-to-face observation, rather than by an electronic surveillance device." [12 VAC 35-115-110]

Each instance of restraint shall be compiled on a monthly basis and the report shall include:
• Type(s) (physical restraint or mechanical restraint)
• Rationale for the use of restraint (behavioral purpose, medical purpose or protective purpose).
• Duration of the restraint.

Providers shall submit an annual report of each instance of restraint and seclusion by the 15th of January each year or more frequently if requested by DBHDS. Each instance of restraint or seclusion shall be compiled on a monthly basis and available for review by DBHDS as requested. The DBHDS Computerized Human Rights Information System (CHRIS) captures use of restraints that result in allegations of abuse or neglect.

DBHDS human rights regulations require that providers report to the Human Rights Advocate (an employee of DBHDS) the use of any restraint not included in their policies or permitted by regulation ("Any instance of . . . restraint that does not comply with these regulations or approved variances, or that results in injury to an individual, shall be reported to the authorized representative, as applicable, and the assigned human rights advocate within 24 hours." [12 VAC 35-115-230])

If it is discovered through a DBHDS Licensing or Human Rights review of a provider's services or individual/employee report that an unauthorized use of restraints (or any use of seclusion) occurred and was not properly reported, the provider will be required to develop a corrective action plan and may face additional sanctions.

ii. **State Oversight Responsibility.** Specify the State agency (or agencies) responsible for overseeing the use of restraints and ensuring that State safeguards concerning their use are followed and how such oversight is conducted and its frequency:

DBHDS Office of Licensing and Human Rights are responsible for overseeing the use of restraints in DBHDS-licensed programs. Providers that use restraint shall develop written policies and procedures (to be reviewed by Office of Licensing staff prior to the issuance of a license) that comply with applicable federal and state laws and regulations. .

This responsibility is shared by DBHDS and DMAS. The DBHDS Office of Licensing, Office of Human Rights, and DMAS Quality Management Review staff visit providers onsite on an on-going basis to examine records and may talk to staff and individuals receiving services to determine unauthorized use of restraints.
Approaches Used to Detect Unauthorized Use of Restraint and Other Restrictive Interventions

A. Providers shall notify the department whenever a regulatory, accreditation or certification agency or third party payer identifies problems in the provider's compliance with any applicable restraint standard

B. Individuals receiving services or their authorized representatives have a right to complain that the provider has violated any of their rights, including violations of regulations governing the use of restraint.

C. All employees of a provider must, as a condition of employment report all suspected abuse or neglect to the director, including acts such the use of physical or mechanical restraints on a person that is not in compliance with federal and state laws, regulations, and policies, professionally accepted standards of practice, or the person's individualized plan; use of more restrictive services to punish the person or that is not consistent with the individualized service plan; the failure to comply with standards related to monitoring, motion and exercise, meals, fluid intake, use of restroom and bathing.

D. Whenever abuse or neglect are reported: (1) the provider investigates the allegation and makes a determination as to whether the allegation is substantiated, (2) the Human Rights Advocate reviews the findings of the provider's investigation and ensures that its corrective action plan is implemented, as appropriate.

E. The DBHDS Quality Improvement Committee quarterly reviews aggregate data related to the use of alleged and founded abuse and neglect, including abuse and neglect related to the use of restraint and other restrictive procedures.

A Local Human Rights Committee (LHRC) is a group of at least five people appointed by the State Human Rights Committee (SHRC). At least two members are individuals who are receiving, or have received within 5 years of their appointment, Mental Health, Developmental Disability or Substance Abuse services. At least one member must be a health care provider. At least one-third of the members are individuals or family members of individuals. The remaining appointments include persons with interest, knowledge or training in the MH, DD or SA field. There are numerous LHRCs statewide. All DBHDS-licensed providers are required comply with requests of the LHRC to investigate and correct conditions or practices that interfere with the free exercise of individuals' human rights. In this way, there is Virginia citizen oversight of these providers and assurance to the community that DBHDS-licensed providers are held accountable for respecting the human rights of those they support.

LHRCs are required to meet at least quarterly and are responsible for:
1. review of any restriction on the dignity rights of any individual imposed pursuant to 12VAC35-115-100 or freedoms of everyday life pursuant to 12VAC35-115-100 that lasts longer than 7 days or is imposed 3 or more times in a 30 day period,
2. review of provider policies, procedures, practices or behavior plans that could jeopardize the rights of individuals receiving services from that provider,
3. review any behavioral treatment plan that involves the use of restraint or time out, and its independent review committee approval to determine whether the plan is in accordance with the Human Rights Regulations prior to implementation,
4. review behavioral treatment plans involving use of restraint and time out quarterly to determine if the use of restraint has resulted in improvements in functionality of the individual.

If the LHRC finds that a provider's plan violates or has the potential to violate the rights of the individual, the LHRC shall notify and make recommendation to the director of the Office of Human Rights.

The process of oversight includes the following chain of command: all meetings of LHRCs are attended by a Human Rights Advocate (DBHDS staff), who reports to the state Director of Human Rights, who is a member of the DMAS-DBHDS Quality Review Team and can thus relay information to the Medicaid agency at that meeting and at other appropriate junctures.

The Office of Human Rights relies on provider self-report through the DBHDS Computerized Human Rights Information System (CHRIS) within 24 hours of any use of restraint that does not comply with the regulations or approved variances or that results in injury to an individual.

Detection of inappropriate/ineffective, misapplication or unauthorized use of restraints may also occur in the context of a Licensing, Human Rights or DMAS Quality Management Review on-site review of the provider's services. Such events would warrant a plan of correction.

Should a human rights violation complaint be filed by an individual or his/her representative, the provider is responsible for providing to the Human Rights Advocate information on the type, resolution level and findings of the complaint.

Per 12 VAC 35-115-230, DBHDS licensed providers shall submit an annual report of each instance of restraint by the 15th of January each year, or more frequently if requested by DBHDS. Each instance of restraint shall be compiled on a monthly basis and the report shall include:
a. The type(s) of restraint employed (e.g., physical or mechanical);
b. The rationale for the use of restraint (e.g., behavioral purpose, medical purpose, protective purpose); and
c. The duration of the restraint.

In addition, the QRT monitors, through data collected from DBHDS Offices of Licensing and Human Rights, providers that are cited for abuse as a result of unauthorized use of restraints.

DMAS is responsible for monitoring the reporting of and response to critical incidents and events affecting waiver individuals through a review of reports provided by VDSS, as detailed in G-1-e. DMAS also participates (through the QRT) in a discussion of DBHDS Human Rights and Office of Licensing findings.

All providers are required to collect and maintain on a monthly basis, and report at least annually to the DBHDS the following information concerning the use of each instance of restraint:

a. Type of restraint to include physical restraint (manual hold), mechanical restraint, and pharmacological restraint
b. Rational for use to include, behavioral purpose, medical purpose or protective purpose
c. Duration of restraint used. Duration for behavioral purposes is defined as the actual time the individual is in restraint from the time of initiation of restraint until the time the individual is released. Duration of restraint for medical and protective purposes is defined as the length of the episode as indicated in the order.

Providers shall report each instance of restraint that does not comply with the human rights regulations or approved variance that result in injury to an individual to the individual's authorized representative and the assigned Human Rights Advocate within 24 hours.

Providers shall report each instance of serious injury resulting from the use of restraint to the department's assigned Licensing Specialist with 24 hours of discovery and by phone to the individual's authorized representative.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (2 of 3)

b. Use of Restrictive Interventions. *(Select one)*:

○ **The State does not permit or prohibits the use of restrictive interventions**

Specify the State agency (or agencies) responsible for detecting the unauthorized use of restrictive interventions and how this oversight is conducted and its frequency:

◉ **The use of restrictive interventions is permitted during the course of the delivery of waiver services** Complete Items G-2-b-i and G-2-b-ii.

i. Safeguards Concerning the Use of Restrictive Interventions. Specify the safeguards that the State has in effect concerning the use of interventions that restrict participant movement, participant access to other individuals, locations or activities, restrict participant rights or employ aversive methods (not including restraints or seclusion) to modify behavior. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency.

The following restrictive interventions/actions are prohibited in DBHDS-licensed settings [12 VAC 35-105-820]:

1. Prohibition of contacts and visits with attorney, probation officer, placing agency representative, minister or chaplain;
2. Any action that is humiliating, degrading, or abusive;

3. Subjection to unsanitary living conditions;
4. Deprivation of opportunities for bathing or access to toilet facilities except as ordered by a licensed physician for a legitimate medical purpose and documented in the individual's record;
5. Deprivation of appropriate services and treatment;
6. Deprivation of health care;

7. Administration of laxatives, enemas, or emetics except as ordered by a physician or other professional acting within the scope of his license for a legitimate medical purpose and documented in the individual's record;
8. Limitation on contacts with regulators, advocates or staff attorneys employed by the department or the disAbility Law Center of Virginia.
9. Deprivation of drinking water or food necessary to meet an individual's daily nutritional needs except as ordered by a licensed physician for a legitimate medical purpose and documented in the individual's record;
10. Prohibition on contacts and visits with family or legal guardian except as permitted by other applicable state regulations or by order of a court of competent jurisdiction;
11. Delay or withholding of incoming or outgoing mail except as permitted by other applicable state and federal regulations or by order of a court of competent jurisdiction; and
12. Deprivation of opportunities for sleep or rest except as ordered by a licensed physician for a legitimate medical purpose and documented in the individual's record.

The use of time out (defined as the involuntary removal of an individual by a staff person from a source of reinforcement to a different, open location for a specified period of time or until the problem behavior has subsided to discontinue or reduce the frequency of problematic behavior) is permitted. Parameters for its use are detailed in the DBHDS Human Rights regulations (12 VAC 35-115-110) and the DBHDS Licensing regulations (12 VAC 35-105-830) and include:

1. Providers shall not use time out as a punishment or reprisal or for the convenience of staff.

2. Providers shall not use time out for any behavioral, medical or protective purpose unless other less restrictive techniques have been considered and the ISP includes documentation that these less restrictive techniques did not or would not succeed in reducing or eliminating behaviors that are self-injurious or dangerous to other people or that no less restrictive measure was possible in the event of a sudden emergency.

3. Providers that use time out shall develop written policies and procedures (to be reviewed by Office of Licensing staff in the initial application) that comply with applicable federal and state laws and regulations.
4. Use of time out shall be documented in the individual's record and at a minimum includes:

a. Physician's order;
b. Date and time;
c. Employees or contractors involved;
d. Circumstances and reasons for use, including but not limited to other behavior management techniques attempted;
e. Duration;
f. Type of technique used; and
g. Outcomes, including documentation of debriefing of the individual and staff involved following the incident.

Restrictive procedures are only to be used in an emergency or when recommended by a qualified professional ("Providers may use time out in a behavioral treatment plan to address behaviors that present an immediate danger to the individual or others, but only after a licensed professional has conducted a detailed systematic assessment of the behavior and the situations in which the behavior occurs" [12 VAC 35-115-105]). DBHDS strongly encourages the use of a proactive behavioral approach to handling challenging behavior over more restrictive procedures. "Each individual is entitled to be completely free from any unnecessary use of . . . time out." [12 VAC 35-115-110]

Providers must have a policy to state who is qualified/trained to implement time out ("Providers that use . . . time out shall develop written policies and procedures that comply with applicable federal and state laws and regulations . . . and sound therapeutic practice. These policies and procedures shall include . . . trained, qualified staff shall monitor the individual's medical and mental condition continuously while the restriction is being used." [12 VAC 35-115-110]). Further, regulations state that, "Providers shall ensure that only staff who have been trained in the proper and safe use of . . . time out techniques may initiate, monitor and discontinue their use." [12 VAC 35-115-110]

The providers' duties regarding the use of time out include:

1. Providers shall meet with the individual or his authorized representative upon admission to the service to discuss and document in the individual's services record, his preferred interventions in the event his behaviors or symptoms become a danger to himself or others and under what circumstances, if any, the intervention may include time out.

2. Providers shall document in the individual's services record all known contraindications to the use of . . . time out including medical contraindications and a history of trauma and shall flag the record to alert and communicate this information to staff.

3. Providers shall not use time out as a punishment or reprisal for the convenience of staff.

4. Individuals shall be given the opportunity for motion and exercise, to eat at normal meal times and take fluids to use the restroom and to bathe as needed.

5. Each use of time out shall end immediately when criteria for removal are met.

6. Providers shall ensure that no individual is in time out for more than 30 minutes per episode.

Below are the definitions of “Time out” and “seclusion” as well as further description of how they are different and the protocols required to appropriately conduct a “time-out”.

Definitions:
"Time out" is defined as the involuntary removal of an individual by a staff person from a source of reinforcement to a different, open location for a specified period of time or until the problem behavior has subsided to discontinue or reduce the frequency of problematic behavior.

"Seclusion" is defined as the involuntary placement of an individual alone in an area secured by a door that is locked or held shut by a staff person, by physically blocking the door, or by any other physical or verbal means, so that the individual cannot leave it.

If conducted in accordance with the regulations, “time out” is not “seclusion”. When time out is used, there should be no verbal directive or physical barrier preventing the individual to leave. The language dictating the proper use of “time out” is noted below:

12VAC35-115-105 B: Providers may use individualized restrictions such as restraint or time out in a behavioral treatment plan to address challenging behaviors that present an immediate danger to the individual or others, but only after a licensed professional has conducted a detailed and systematic assessment of the behavior and the situations in which the behavior occurs. Providers shall document in the individual's services record that the lack of success or probable success of less restrictive procedures attempted or considered, and the risks associated with not treating the behavior, are greater than any risks associated with the use of the proposed restrictions.

DBHDS relies largely on self-reporting to detect any unauthorized use of time out and other restrictive procedures. Reports are typically made to the Human Rights Advocate through the DBHDS web based reporting system known as CHRIS. This is also monitored by site visits by Office of Licensing and Human Rights staff. If it is discovered through a DBHDS Licensing or Human Rights review of a provider’s services or individual/employee report that a restrictive intervention was employed that conflicts with Licensing or Human Rights regulations, the provider will be required to develop a corrective action plan and may face additional sanctions.
In addition, DBHDS employs a contractor (Delmarva) to conduct on-site “Person Centered Reviews” and “Provider Quality Reviews” throughout the year. Delmarva reports all instances of restrictive interventions (including restraints and seclusion) noted to DBHDS. Each quarter the OHR Director or designee will receive and review each incident in the above mentioned report. Any incident of seclusion, as defined in 12 VAC35-115-110, that’s identified will be forwarded to the regional manager for immediate investigation and possible citation for human rights violation.

While self-report is a critical element of the Commonwealth’s safeguards of this aspect, per G.2.aii, “The DBHDS Office of Licensing, Office of Human Rights, and DMAS Quality Management Review staff visit providers onsite on an on-going basis to examine records and may talk to staff and individuals receiving services to determine unauthorized use of restraints.” Per G.2.a.i, “If it is discovered through a DBHDS Licensing or Human Rights review of a provider's services or individual/employee report that an unauthorized use of restraints (or any use of seclusion) occurred and was not properly reported, the provider will be required to develop a corrective action plan and may face additional sanctions.” QMR would also result in a corrective action plan and report to DBHDS for follow-up. These on-site reviews by DBHDS and DMAS staff are a means to identify unauthorized use of restrictive interventions. Information about unauthorized use of restrictive interventions is also collected by the DBHDS contractor Delmarva (see response to question #19), reported to DBHDS and then acted upon.

The use of restrictive interventions is also reviewed by DMAS Quality Management Review staff as they conduct on-site visits. Unapproved/inappropriate uses (e.g., lack of staff training, lack of appropriate procedures, failure to follow established procedures) result in a required corrective action plan for the provider.

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:

The state agencies responsible for overseeing the use of restrictive interventions in DBHDS-licensed agencies are the DBHDS Office of Licensing and Office of Human Rights. Representatives of both of these offices participate on the Quality Review Team with DMAS and thus communicate at least quarterly through that forum. The DBHDS Office of Licensing, Office of Human Rights, and DMAS Quality Management Review staff, visit providers onsite to examine records, and may talk to staff and individuals receiving services to determine unauthorized use of restraints.

Providers that use time out shall develop written policies and procedures (to be reviewed and approved by DBHDS Office of Licensing staff) that comply with applicable federal and state laws and regulations. In addition, providers shall submit all proposed time out policies and procedures to the Human Rights Advocate for review at the initial new provider site visit and comment when proposing changes or upon request. LHRCs are required to meet at least quarterly. If the

LHRC finds that a provider's plan violates or has the potential to violate the rights of the individual, the LHRC shall notify and make recommendation to the program director.

DBHDS relies largely on self-reporting to detect any unauthorized or inappropriate use of restrictive procedures. This is also monitored by regular site visits by Office of Licensing and Human Rights staff. If it is discovered through a DBHDS Licensing or Human Rights review of a provider's services or individual/employee report that any of the regulatory safeguards concerning the use of time out were not followed, the provider will be required to develop a corrective action plan and may face additional sanctions. DMAS Quality Management Review staff also monitor incidents of the use of restrictive interventions in completing on-site provider reviews. These are delineated as approved/appropriate or unapproved/inappropriate. The latter are reported to DBHDS Office of Licensing and also result in the requirement that the provider submit a corrective action plan.

DMAS does not pay for devices used for the purpose of restraint.

Approaches Used to Detect Unauthorized Use of Restraint and Other Restrictive Interventions

A. Providers shall notify DBHDS whenever a regulatory, accreditation or certification agency or third party payer identifies problems in the provider's compliance with any applicable restraint standard

B. Individuals receiving services or their authorized representatives have a right to complain that the provider has violated any of the rights, including violations of regulations governing the use of restraint.

C. All employees of a providers must, as a condition of employment report all suspected abuse or neglect to the director, including acts such the use of physical or mechanical restraints on a person that is not in compliance with federal and state laws, regulations, and policies, professionally accepted standards of practice, or the person's individualized plan; use of more restrictive services to punish the person or that is not consistent with the individualized service plan; the failure to comply with standards related to monitoring, motion and exercise, meals, fluid intake, use of restroom and bathing.

D. Whenever abuse or neglect are reported: (1) advocate, monitor, review, consult and investigate, as appropriate. A trained investigator, investigates the allegation and makes a recommendation to the provider.

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (3 of 3)

c. Use of Seclusion. *(Select one)*: *(This section will be blank for waivers submitted before Appendix G-2-c was added to WMS in March 2014, and responses for seclusion will display in Appendix G-2-a combined with information on restraints.)*

◉ **The State does not permit or prohibits the use of seclusion**

Specify the State agency (or agencies) responsible for detecting the unauthorized use of seclusion and how this oversight is conducted and its frequency:

Providers of services through this waiver are NOT permitted to use seclusion. Because of this, any use of seclusion is viewed as abuse and must be reported as such electronically through the Computerized Human Rights Information System (CHRIS). In order to identify cases for review by OHR, search terms have been established to qualitatively screen the complaints and abuse allegations data in CHRIS in an automated manner (via SQL code). By design, the dataset to be screened by OHR will include false positives as to decrease the probability of missing potential cases. Each quarter the OHR will receive and review a report from the above screening. Any incident of seclusion, as defined in 12 VAC35-115-110, that is identified will be forwarded to the Office of Human Rights Regional Manager for immediate investigation and possible citation for human rights violation.

If, during the course of regular site visits made to providers by staff with DBHDS Offices of Licensing and Human Rights or through individual or provider staff report, it is discovered that a provider has used seclusion, the provider will be required to develop a corrective action plan and may face additional sanctions. DMAS Quality Management Review staff also look for evidence of the unauthorized use of seclusion in completing on-site provider reviews. If detected, such instances are reported to DBHDS Office of Licensing and Office of Human Rights, and the provider is required to submit to DMAS a corrective action plan.

○ **The use of seclusion is permitted during the course of the delivery of waiver services**. Complete Items G-2-c-i and G-2-c-ii.

i. Safeguards Concerning the Use of Seclusion. Specify the safeguards that the State has established concerning the use of each type of seclusion. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

ii. **State Oversight Responsibility.** Specify the State agency (or agencies) responsible for overseeing the use of seclusion and ensuring that State safeguards concerning their use are followed and how such oversight is conducted and its frequency:

Appendix G: Participant Safeguards

Appendix G-3: Medication Management and Administration (1 of 2)

This Appendix must be completed when waiver services are furnished to participants who are served in licensed or unlicensed living arrangements where a provider has round-the-clock responsibility for the health and welfare of residents. The Appendix does not need to be completed when waiver participants are served exclusively in their own personal residences or in the home of a family member.

a. **Applicability.** Select one:

- ○ **No. This Appendix is not applicable** *(do not complete the remaining items)*
- ◉ **Yes. This Appendix applies** *(complete the remaining items)*

b. **Medication Management and Follow-Up**

i. **Responsibility.** Specify the entity (or entities) that have ongoing responsibility for monitoring participant medication regimens, the methods for conducting monitoring, and the frequency of monitoring.

The licensed provider is required to monitor medication administration errors and develop quality assurance activities in relation to medication errors In Virginia, DBHDS-licensed providers responsible for medication administration and storage shall provide in-service training to employees and consultation to individuals and authorized representatives on issues of basic pharmacology including medication side effects. Staff should be familiar with that information and observant for signs of deleterious side effects. In addition, staff who administer medications are required to learn about side effects as part of the mandatory medication administration training contained in the Board of Nursing Regulations 18VAC90-21-10 through 18VAC90-21-40. Providers shall report such errors in the DHBDS Computerized Human Rights Information System (CHRIS) if licensed medical attention is received. The DBHDS Office of Human Rights would then review and monitor this information if the error is being investigated by the provider as neglect.

Licensed providers are required to conduct internal investigations of serious incidents and allegations of abuse and neglect and report their findings to the Department. Newly licensed providers receive on-site training by the Office of Human Rights regarding what is reportable as abuse, neglect and serious injury and how to submit the report in CHRIS. Providers also have access to training resources and tools related to conducting abuse/neglect investigations via the DBHDS website.
Licensing and Human Rights staff monitor provider reports and investigations through CHRIS. Licensing and Human Rights staff conduct independent investigations when reported incidents result in an individual's death or are otherwise determined to require additional oversight.
All Human Rights and Licensing staff attend a three day competency-based training course resulting in certification to conduct serious incident investigations. The following are standard components that staff is taught during this training:
*Systematic process of evidence collection for the purpose of describing and explaining an incident.
*How to draw conclusions and utilize standardized tools for reporting investigative findings
*Effective ways of collecting relevant facts through interviewing witnesses, reviewing documentation and examining physical evidence.
*Utilization of agency protocols regarding when to include other agencies like Social Services, Law Enforcement etc. and instruction to defer to the Investigator Manual for ongoing consistency.

The DBHDS Office of Licensing conducts monitoring of medication administration during annual inspections of each provider. The Office of Licensing will take negative action (i.e., issue a provisional license or even pursue the revocation of a provider's license) against a provider due to a pattern of serious, medication related issues. Medication toxicity is considered an injury to the body and, as such, is a reportable event under the Human Rights regulations.

Similarly, DMAS QMR staff are trained to look critically at situations in which individuals are prescribed medications for behavioral reasons or have multiple medications prescribed. These scenarios are reported back to the QMR supervisor for referral to DMAS's Medical Director for additional perspective and guidance.

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.

DBHDS Office of Licensing staff monitors medication regimens when they conduct their on-site provider reviews. Unannounced inspections may also occur in response to complaints or reports of serious incidents or events. Should

potentially harmful practices be identified, the provider is required to develop a Corrective Action Plan and submit it to the reviewing agency. Very serious findings regarding medication practices may lead to a provisional license, which entails monthly monitoring of the provider by Office of Licensing staff. Failure to resolve the issues that led to the provisional license will result in pursuit of license revocation. A provider may hold no more than two consecutive provisional licenses of six months duration each before action to pursue revocation of that license is pursued.

DMAS Quality Management Reviews are conducted on a random sample of providers throughout the year. DMAS may take action to terminate the DMAS provider agreement as a result of its own reviews or the revocation of a provider's license.

Appendix G: Participant Safeguards

Appendix G-3: Medication Management and Administration (2 of 2)

c. Medication Administration by Waiver Providers

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

- ○ **Not applicable.** *(do not complete the remaining items)*
- ◉ **Waiver providers are responsible for the administration of medications to waiver participants who cannot self-administer and/or have responsibility to oversee participant self-administration of medications.** *(complete the remaining items)*

ii. State Policy. Summarize the State policies that apply to the administration of medications by waiver providers or waiver provider responsibilities when participants self-administer medications, including (if applicable) policies concerning medication administration by non-medical waiver provider personnel. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

DBHDS-licensed providers may administer medication. All medications shall be administered in accordance with the physician's instructions and the provider shall document all medications administered, including over-the-counter medications. Licensing regulations [12 VAC 35-105-770 through 12 VAC 35-105-790] require each provider to develop and implement written policies addressing:

-the safe administration, handling, storage and disposal of medications;
-the use of medication orders;
-the handling of packaged medications brought by individuals from home/other residences;
-staff authorized to administer medication and training required for administration of medication (a Virginia Board of Nursing approved Medication Administration Curriculum is required in accordance with 18 VAC 90-21-10 to 40);
-the use of professional samples; and
-the window within which medications can be given in relation to the ordered time of administration.

The provider must maintain a daily log of all medicines received and refused by each individual. This log shall identify the staff who administered the medication, the name of the medication and dosage administered or refused, and the time the medication was administered or refused.

Virginia Department of Health licensed providers of personal assistance and respite services may administer medication. Direct support staff are monitored by a registered nurse, licensed to practice in the Commonwealth of Virginia The RN is required to provide monthly supervision and oversight to the personal or respite assistant in regards to medication administration, as well as other tasks.

Consumer-directed personal assistance or respite employees may assist with the administration of medication that would typically be self-administered, but because of a disability, they are unable to do so. The individual must be able to supervise and direct the attendant in how to administer the medication. This is monitored by the services facilitator, who is required to either be a registered nurse or establish a relationship with the individual's primary care provider in order to review medical concerns, including medication.

State policy requires that all nonmedical provider personnel responsible for medication administration successfully complete the 32 hour medication course in accordance with the Board of Nursing Regulations 18VAC90-21-10 through 40. Upon completion of the course, personnel who administer medications or supervise self-administration of medication must pass a written and practical exam at the conclusion of training that measures minimum competency in medication administration.

The curriculum shall include a minimum of 32 hours of classroom instruction and practice in the following:

1. Preparing for safe administration of medications to individuals in specific settings by:

a. Demonstrating an understanding of the individual's rights regarding medications, treatment decisions and confidentiality.
b. Recognizing emergencies and other health-threatening conditions and responding accordingly.
c. Identifying medication terminology and abbreviations.

2. Maintaining aseptic conditions by:
a. Implementing universal precautions.
b. Insuring cleanliness and disinfection.
c. Disposing of infectious or hazardous waste.

3. Facilitating individual self-administration or assisting with medication administration by:
a. Reviewing administration records and prescriber's orders.
b. Facilitating individual's awareness of the purpose and effects of medication.
c. Assisting the individual to interpret prescription labels.
d. Observing the five rights of medication administration and security requirements appropriate to the setting.
e. Following proper procedure for preparing medications.
f. Measuring and recording vital signs to assist the individual in making medication administration decisions.
g. Assisting the individual to administer oral medications.
h. Assisting the individual with administration of prepared instillations and treatments of:
(1) Eye drops and ointments.
(2) Ear drops.
(3) Nasal drops and sprays.
(4) Topical preparations.
(5) Compresses and dressings.
(6) Vaginal and rectal products.
(7) Soaks and sitz baths.
(8) Inhalation therapy.
(9) Oral hygiene products.
i. Reporting and recording the individual's refusal to take medication.
j. Documenting medication administration.
k. Documenting and reporting medication errors.
l. Maintaining client records according to facility policy.
m. Sharing information with other staff orally and by using documents.
n. Storing and securing medications.
o. Maintaining an inventory of medications.
p. Disposing of medications.

4. Facilitating the individual's self-administration or assisting with the administration of insulin. Instruction and practice in the administration of insulin shall be included only in those settings where required by individual needs and shall include:

a. Cause and treatment of diabetes;
b. The side effects of insulin;
c. Preparation and administration of insulin; and
d. Signs of severe hypoglycemia and administration of glucagon.

5. Facilitating individual self-administration or assisting with the administration of auto-injectable epinephrine pursuant to an order issued by the prescriber for a specific individual in a facility licensed by DBHDS under the provisions of subsection D of section 54.1-3408 of the Code of Virginia.

6. Pursuant to subsection L of § 54.1-3408 of the Code of Virginia, the board requires successful completion of the curriculum approved by the DBHDS for unlicensed persons to administer medication via a gastrostomy tube to a person receiving services from a program licensed by the DBHDS.

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

○ **Providers that are responsible for medication administration are required to both record and report medication errors to a State agency (or agencies).**
Complete the following three items:

(a) Specify State agency (or agencies) to which errors are reported:

(b) Specify the types of medication errors that providers are required to *record:*

(c) Specify the types of medication errors that providers must *report* to the State:

◉ **Providers responsible for medication administration are required to record medication errors but make information about medication errors available only when requested by the State.**

Specify the types of medication errors that providers are required to record:

DBHDS-licensed providers are required to record the following medication errors:
(1) the wrong medication is given to an individual,
(2) the wrong individual is given the medication,
(3) the wrong dosage is given to an individual,
(4) medication is given to an individual at the wrong time or not at all, or
(5) the proper method is not used to give the medication to the individual.

In the event of medication errors or adverse drug reactions in DBHDS-licensed agencies, regulations [12 VAC 35-105-780] require that:

-first aid shall be administered if indicated;
-staff shall contact a poison control center or the appropriate medical personnel and take actions as directed;
-the individual's physician shall be notified as soon as possible;
-actions taken by staff shall be documented;
-errors must be recorded in the individual's medication log; and
-the provider shall review medication errors at least quarterly.

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.

For DBHDS-licensed providers, monitoring of medication administration occurs through the DBHDS Office of Licensing, which reviews each provider agency annually. Licensing specialists review medication administration records at least annually during announced and unannounced reviews. Providers failing to comply with state regulations or their own policies regarding medication administration are cited and must submit and implement corrective action plans.

DMAS Quality Management Review staff also review medication regimens and medication administration records when they conduct on-site provider reviews. Identification of potential harmful practices result in the requirement that the provider develop a corrective action plan to be submitted to DMAS. Very serious findings regarding medication practices may lead to a referral to DBHDS Office of Licensing or Virginia Department of Health, depending on the licensing entity. DMAS may take action to terminate the DMAS provider agreement as a result of its own reviews or the revocation of a provider's license due to egregious health and safety concerns.

Proposed updates to waiver regulations will require providers with a history of noncompliance with regulations, as evidenced by multiple citations by either DBHDS Office of Licensing or DMAS QMR, resulting in the need for a corrective action plan in key identified areas such as health (which could include medication errors), safety, or failure to address the identified needs of the individual, will be required to undergo mandatory training and technical assistance in the specific area(s) of noncompliance. Failure to complete the mandatory training or identified technical assistance may result in referral to DMAS Provider Integrity or termination of the provider's Medicaid participation agreement.

Appendix G: Participant Safeguards

Quality Improvement: Health and Welfare

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

a. Methods for Discovery: Health and Welfare

The state demonstrates it has designed and implemented an effective system for assuring waiver participant health and welfare. *(For waiver actions submitted before June 1, 2014, this assurance read "The State, on an ongoing basis, identifies, addresses, and seeks to prevent the occurrence of abuse, neglect and exploitation.")*

i. Sub-Assurances:

a. ***Sub-assurance: The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instancesof abuse, neglect, exploitation and unexplained death.*** *(Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.)*

Performance Measures

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

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

Performance Measure:
1. Number and percent of closed cases of abuse/neglect/exploitation for which DBHDS verified that the investigation conducted by the provider was done in accordance with regulations. N = number of closed cases of abuse/neglect/exploitation verified that the investigation was conducted in accordance with regulations D = number of closed cases of abuse/neglect/exploitation that were reviewed

Data Source (Select one):
Other
If 'Other' is selected, specify:
Office of Human Rights Retrospective Review

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number and percent of substantiated cases of abuse/neglect/exploitation for which the required corrective action was verified by DBHDS as being implemented. N = number of substantiated cases of abuse/neglect/exploitation for which the required corrective action was verified as being implemented within 90 days D = number of substantiated cases of abuse/neglect/exploitation

Data Source (Select one):
Other
If 'Other' is selected, specify:
CHRIS via Data Warehouse

Responsible Party for data collection/generation*(check each that applies):*	**Frequency of data collection/generation***(check each that applies):*	**Sampling Approach***(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
3. # &% of unexpected deaths where the cause of death/a factor in the death, was potentially preventable & some intervention to remediate was taken. N= # of unexpected deaths where the cause of death/a factor in the death, was potentially preventable & some intervention to remediate was taken D= # of unexpected deaths where the cause of death/a factor in the death, was potentially preventable

Data Source (Select one):
Other
If 'Other' is selected, specify:
Mortality Review Committee Data Tracking

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 Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
4. Number and percent of individuals who receive annual notification of rights and information to report ANE. N= Number of records containing documentation confirming notification of rights and how to report ANE. D= Number of records reviewed.

Data Source (Select one):
Other
If 'Other' is selected, specify:
Quality Service Review (QSR) Contractor

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 Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☑ **Other** Specify: A representative sample(95/5) of total CL, FIS, BI waiver enrollees. Using a percent of the total each waiver represents, a calculation will be made for the # of enrollees to review for each waiver.
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

b. ***Sub-assurance: The state demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.***

Performance Measures

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

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

Performance Measure:
1. Number and percent of critical incidents reported to the Office of Licensing within the required time frames as specified in the approved waiver. N = Number of critical incidents reported to the Office of Licensing within the required timeframe. D = Number of critical incidents reported to the Office of Licensing regarding individuals receiving DD waiver services.

Data Source (Select one):
Other
If 'Other' is selected, specify:
CHRIS via Data Warehouse

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☐ **State Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:

	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number and percent of licensed DD providers that administer medications that were not cited for failure to review medication errors at least quarterly. N: # of licensed DD providers that administer medications not cited for failure to review medication errors at least quarterly D: # of licensed DD providers that administer medications that were reviewed by Office of Licensing in the quarter

Data Source (Select one):
Other
If 'Other' is selected, specify:
DBHDS Office of Licensing

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 Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:

	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

c. ***Sub-assurance: The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.***

Performance Measures

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

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

Performance Measure:
1. Number and percent of individuals reviewed who did not have unauthorized restrictive interventions. N = number of individuals reviewed who did not have unauthorized restrictive interventions. D = number and percent of individuals reviewed

Data Source (Select one):
Other
If 'Other' is selected, specify:
Quality Service Review (QSR) Contractor alerts

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 Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other**	☐ **Annually**	☐ **Stratified**

Specify:		Describe Group:
	☑ **Continuously and Ongoing**	☑ **Other** Specify: Multifaceted data: individuals receiving services, providers, case managers, family & medical records. Methods- Interviews, observations & Likert scales. Sample: 400 randomly selected. 95% confidence
	☐ **Other** Specify:	

Data Source (Select one):
Record reviews, on-site
If 'Other' is selected, specify:
DBHDS Office of Licensing and Office of Human Rights. DMAS QMR staff will also report incidents to DBHDS staff.

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 Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number and percent of individuals who did not have unauthorized seclusion. N = number of individuals who did not have unauthorized seclusion D = number of abuse allegations + complaints submitted via CHRIS

Data Source (Select one):
Critical events and incident reports
If 'Other' is selected, specify:
CHRIS

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 Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☑ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

d. ***Sub-assurance: The state establishes overall health care standards and monitors those standards based on the responsibility of the service provider as stated in the approved waiver.***

Performance Measures

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

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

Performance Measure:
1. Number and percent of participants 20 years and older who had an ambulatory or preventive care visit during the year. N: Number of participants 20 years and older who had an ambulatory or preventive care visit during the prior year. D: Number of participants 20 years and older

Data Source (Select one):
Other
If 'Other' is selected, specify:
NCAQ

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 Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☑ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number and percent of participants 19 and younger who had an ambulatory or preventive care visit during the year. N: Number of participants 19 and younger who had an ambulatory or preventive care visit during the prior year. D: Number of participants 19 and younger

Data Source (Select one):
Other
If 'Other' is selected, specify:
NCQA

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 Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☑ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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):*

Responsible Party for data aggregation and analysis *(check each that applies):*	**Frequency of data aggregation and analysis** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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.
Subassurance (a) PM #1's reference to "in accordance with the regulations" includes the following considerations: that the investigation was conducted by a person properly trained to conduct investigations with documentary evidence of witness interviews and/or investigations of other relevant factors, notification to the State within 10 working days and a positive determination by DBHDS on the efficacy of findings.

b. Methods for Remediation/Fixing Individual Problems

i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
As DBHDS Office of Licensing or DMAS Quality Management Review (QMR) staff identifies problems with any of the above measures for a given provider, they each require a Corrective Action Plan to be developed and implemented by that provider. Failure to do so jeopardizes the provider's license/Medicaid provider agreement. DMAS QMR staff follow up on all corrective action plans by reviewing records to ensure corrections have been made within 45 days. Serious violations may be referred to DMAS's Provider Integrity unit for billing retraction.

Individual providers with systemic problems will be targeted for technical assistance/training from DBHDS. These events and their results will be documented in a quarterly report of technical assistance provided in response to Office of Licensing and DMAS identified issues.

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):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **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.

- (●) **No**
- ( ) **Yes**

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

Appendix H: Quality Improvement Strategy (1 of 2)

Under §1915(c) of the Social Security Act and 42 CFR §441.302, the approval of an HCBS waiver requires that CMS determine that the State has made satisfactory assurances concerning the protection of participant health and welfare, financial accountability and other elements of waiver operations. Renewal of an existing waiver is contingent upon review by CMS and a finding by CMS that the assurances have been met. By completing the HCBS waiver application, the State specifies how it has designed the waiver's critical processes, structures and operational features in order to meet these assurances.

- Quality Improvement is a critical operational feature that an organization employs to continually determine whether it operates in accordance with the approved design of its program, meets statutory and regulatory assurances and requirements, achieves desired outcomes, and identifies opportunities for improvement.

CMS recognizes that a state's waiver Quality Improvement Strategy may vary depending on the nature of the waiver target population, the services offered, and the waiver's relationship to other public programs, and will extend beyond regulatory requirements. However, for the purpose of this application, the State is expected to have, at the minimum, systems in place to measure and improve its own performance in meeting six specific waiver assurances and requirements.

It may be more efficient and effective for a Quality Improvement Strategy to span multiple waivers and other long-term care services. CMS recognizes the value of this approach and will ask the state to identify other waiver programs and long-term care services that are addressed in the Quality Improvement Strategy.

Quality Improvement Strategy: Minimum Components

The Quality Improvement Strategy that will be in effect during the period of the approved waiver is described throughout the waiver in the appendices corresponding to the statutory assurances and sub-assurances. Other documents cited must be available to CMS upon request through the Medicaid agency or the operating agency (if appropriate).

In the QIS discovery and remediation sections throughout the application (located in Appendices A, B, C, D, G, and I) , a state spells out:

- The evidence based discovery activities that will be conducted for each of the six major waiver assurances;
- The *remediation* activities followed to correct individual problems identified in the implementation of each of the assurances;

In Appendix H of the application, a State describes (1) the *system improvement* activities followed in response to aggregated, analyzed discovery and remediation information collected on each of the assurances; (2) the correspondent *roles/responsibilities* of those conducting assessing and prioritizing improving system corrections and improvements; and (3) the processes the state will follow to continuously *assess the effectiveness of the OIS* and revise it as necessary and appropriate.

If the State's Quality Improvement Strategy is not fully developed at the time the waiver application is submitted, the state may provide a work plan to fully develop its Quality Improvement Strategy, including the specific tasks the State plans to undertake during the period the waiver is in effect, the major milestones associated with these tasks, and the entity (or entities) responsible for the completion of these tasks.

When the Quality Improvement Strategy spans more than one waiver and/or other types of long-term care services under the Medicaid State plan, specify the control numbers for the other waiver programs and/or identify the other long-term services that are addressed in the Quality Improvement Strategy. In instances when the QIS spans more than one waiver, the State must be able to stratify information that is related to each approved waiver program. Unless the State has requested and received approval from CMS for the consolidation of multiple waivers for the purpose of reporting, then the State must stratify information that is related to each approved waiver program, i.e., employ a representative sample for each waiver.

Appendix H: Quality Improvement Strategy (2 of 2)

H-1: Systems Improvement

a. System Improvements

i. Describe the process(es) for trending, prioritizing, and implementing system improvements (i.e., design changes) prompted as a result of an analysis of discovery and remediation information.

The Department of Medical Assistance Services (DMAS) Quality Management Review (QMR) team, and the Department of Behavioral Health and Developmental Services (DBHDS) divisions of Developmental Services (DDS) and Quality Management (QMD) are responsible for oversight and improvement of the quality of services delivered under the DD waivers. Performance data is collected across a broad range of monitoring activities, including licensing and human rights investigations and inspections; quality management reviews (QMR); serious incident reporting; case management data reporting; quality service reviews (QSR); mortality reviews; post-move monitoring; and reports on Community Services Board (CSB) performance.

The Offices of Licensing and Human Rights assure the health and welfare of individuals through the oversight and monitoring of licensed providers to assure that providers are operating within regulatory requirements, are providing services that meet individuals' needs in a safe and secure manner, and that individuals' human rights are respected.

Performance measure data is reviewed by the Quality Review Team (QRT), which meets quarterly, and the DBHDS Quality Improvement Committee (QIC), which meets monthly. The QRT reviews data related to the waiver assurances, while the QIC reviews the quality of community services provided to individuals with DD. Information flows freely between the QIC and the QRT and is used to determine priorities and oversee the implementation of system changes. Representatives from DMAS and DBHDS participate on the QRT and QIC.

QRT
The QRT is co-led by DMAS and DBHDS and includes staff from DMAS QMR and the DBHDS Division of Developmental Services (DDS), Office of Human Rights (OHR), Office of Licensing (OL), and Division of Quality Management and Development (QMD)

Performance measure data related to each of the waiver assurances is reviewed. When performance is not meeting goals, the team reviews data from each unit noted above to monitor progress toward attainment of performance measures. The team also reviews data from:

DBHDS OHR – reports on performance measures and other data related to the health and welfare of waiver recipients. This includes allegations of abuse and neglect reported through the Computerized Human Rights Information System (CHRIS), use of seclusion and restraint, and implementation of corrective action plans.
DBHDS OL - staff conduct reviews on-site, unannounced inspections, as well as investigations of serious incidents. OL reports on provider reviews conducted during the last quarter. These reports address any deficiencies found and plans of correction issued.

DBHDS DDS - reports on CSB performance in the following area:
*Timely completion of individuals' VIDES (level of care tool.

DBHDS QMD - reports on the efficacy of case management services and the support activities being met in individuals' ISPs.

DMAS QMR - aggregates data associated with waiver performance measures from their ongoing provider reviews.

DMAS QMR conducts on-site and desk audit reviews. When an issue regarding an individual's services and supports is identified, DMAS takes action at the individual level. For example, if an individual is found not to have had services delivered as required in the support plan, DMAS instructs the provider to re-evaluate the needs of the individual and ensure that services are delivered accordingly. The provider must complete a corrective action plan (CAP) to explain how the matter will be remediated. DMAS then follows up on all CAPs.

The information collected from these reviews is presented on a quarterly basis to the QRT. The team reviews this aggregated data, recommends remediation, and monitors for changes in the data. This can be done through methods such as: retraining of providers; IT system enhancements for the collection of data; review of regulations to identify needed changes; and review of policy manuals for changes.

The team identifies barriers to attainment and the steps needed to address them. These remediation steps are in addition to any provider or individual remediation. Remediation can include: statewide or regional provider training (DBHDS Provider Development staff may provide targeted training and technical assistance as part of remediation efforts), policy revisions, strengthening health and safety for the individual receiving supports, making changes to systems (e.g., payment, IT), change in licensing status, targeted QMR, payment retraction or ceasing referrals to providers.

QIC
The DBHDS QIC meets monthly and focuses on the following key performance areas: health and well-being, community integration/inclusion, person centeredness, and provider capacity/competence
The QIC is chaired by the Commissioner of DBHDS and includes representatives from Quality Management, Developmental Services, DMAS, training centers, community providers, CSBs, and Regional Quality Councils. QIC subcommittees include 5 Regional Quality Councils, Mortality Review Committee, and the Risk Management Committee.

Mortality Review Committee (MRC) - monitors the mortality among individuals with developmental disabilities who fall under the auspices of DBHDS. This includes data analysis and information review for individuals of all ages whose death was

reported while receiving Medicaid DD waiver services or services from state facilities.

The DBHDS supports a culture that seeks to reduce risk and promote safety in the life of every individual served. The DBHDS mortality review process enhances quality by providing information that triggers corrective action to reduce future risk and affords a retrospective examination that results in actions to decrease adverse events and lead to continuous improvement. This process generates review and changes in policy and procedure, development of protocols, best practice standards, focused training, and strategies for system improvement.

The membership of the MRC includes the Department's Medical Director, who also serves as the Committee Chair, the Assistant Commissioner for Quality Management and Development, the Director of the Office of Integrated Health, the Associate Director of the Office of Licensing, the Director of Data Quality & Visualization, the Director of Quality and Risk Management, and others as designated by the Committee Chair.

Following review of a death, the Committee may take one or more of the following actions:
•Request additional information relevant to the death from the provider or others;
•Identify safety issues that require action to reduce the risk of future adverse events;
•Communicate to the provider issues identified as part of the mortality review;
•Issue a Safety and Quality Alert to all providers regarding risks identified as part of a single mortality review or a pattern of findings;
•Establish a subcommittee to study or take action to address an identified risk;
•Make recommendations to the DBHDS Quality Improvement Committee to reduce the risk of death, based on a single finding or a pattern of findings;
•Take other actions deemed necessary to reduce the risk to individuals served in community and facility programs.

Issuing Health, Safety and Quality Alerts is one approach the MRC has developed to educate providers about risk factors and risk reduction strategies. These alerts are distributed to providers via email and posted on the DBHDS website. Some of the past alerts' topics include choking and constipation risks, medication administration issues, and information about specific medical conditions or experiences. The topics of Safety Alerts are available at:
http://www.dbhds.virginia.gov/office-of-integrated-health/safety-alerts-archive

Data quality and monitoring efforts are led by the Office of Data Quality & Visualization. At least annually, the MRC conducts a trend analysis of mortality data to identify patterns at the individual service-delivery and system levels. The MRC reports its findings to the QIC and the Commissioner for further assessment and recommendations. A new process for collection of Committee determinations is related to whether a cause of death, or a factor in the death, was potentially preventable. The MRC will begin capturing three additional fields for the SFY2018 death reviews.

A. An indicator of whether the cause of death, or a factor in the death1, was potentially preventable2.
1.Factor in the death: In an effort to identify, address and prevent unexpected deaths the MRC is not only considering whether actions leading to the death itself were preventable but also whether there were co-morbid conditions that were potentially preventable. For example if an individual had an unexpected heart attack that was not deemed potentially preventable but had a Stage 2 Decubitus ulcer, data would be captured that there was a potentially preventable factor. This allows for the collection of data for prevention efforts of information that may otherwise be lost.
2.Potentially Preventable: The actions and events immediately surrounding the individual's death, that may be related to deficits in the timeliness or absence of:
a. Coordination of care (including medication management)
b. Access to care, including delay in seeking treatment
c. Execution of established protocols
d. Assessment of the individual's needs or changes in status.

B. A narrative text of the potentially preventable factor
C. A narrative of the follow-up action

Regional Quality Councils (RQC) - work in conjunction with the Quality Improvement Committee (QIC) to assess relevant data, identify trends, and recommend regional quality improvement initiatives or responsive actions in the region.

The Regional Quality Councils focus on improvement of the quality of services for individuals with developmental disabilities who 1) are currently residing at any of the Training Centers, 2) are receiving DD Waiver services, 3) meet the criteria for the DD waiver wait list and are receiving services under the Commonwealth Coordinated Care – Plus waiver, or 4) currently reside in a nursing home or ICF/IID.

The functions of the RQCs are as follows:
1. To systematically review regional data generated from quality management reports; all data shall be aggregate and contain no protected health information.
2. To assess the data as it relates to the specific region.
3. To identify trends in the region.

4. To monitor quality improvement efforts.
5. To plan and recommend regional quality improvement initiatives or responsive actions in the region for submission to the DBHDS QIC.

The RQC' voting membership includes individuals experienced in data analysis (DBHDS staff), residential, day support, employment, and case management providers, CSB quality assurance/quality improvement staff, individuals receiving services (self-advocates), family members, and may include other relevant stakeholders. The work of the RQC is directed by the DBHDS QIC and each RQC meets quarterly to carry out the functions assigned by the DBHDS QIC.

Risk Management Review Committee (RMRC) - The goal of the Risk Management Review Committee is to improve quality and safety by learning from past performance, errors, and near misses, and to gain awareness of areas of vulnerability in practice and to improve these areas, thereby creating a safer environment for the delivery of services.
See Main- Optional

ii. System Improvement Activities

Responsible Party*(check each that applies):*	**Frequency of Monitoring and Analysis***(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**
☑ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Quality Improvement Committee**	☐ **Annually**
☐ **Other** Specify:	☐ **Other** Specify:

b. System Design Changes

i. Describe the process for monitoring and analyzing the effectiveness of system design changes. Include a description of the various roles and responsibilities involved in the processes for monitoring & assessing system design changes. If applicable, include the State's targeted standards for systems improvement.

Recommendations for system design changes may be made to both the QRT and the QIC. Recommendations are based upon specific performance measure data and in addition to specific interventions, may also include a timeline for implementation, improvements that are expected to occur, and the specific data that will be measured to assess the effectiveness of system design changes.
The DBHDS Office of Data Quality and Visualization (DQV) is a resource for assisting staff in developing a plan to monitor and analyze the effectiveness of system changes. DQV assists programs to develop questions and further plan their analyses. This process has been facilitated by the DBHDS OneSource Data Warehouse providing ease of access to a wide breadth of information about providers and individuals receiving services. In an effort to exercise the versatility of the process and establish models for ongoing quality monitoring for program areas, the DQV regularly applies a process established by Avedis Donabedian, a physician and founder of the study of quality in health care and medical outcomes research, to the development of its quality monitoring efforts.

General Steps in Quality Monitoring and Improvement:
1. Determining what to monitor
2. Determining priorities in monitoring
3. Selecting an assessment approach
4. Formulating criteria and standards
5. Obtaining the necessary information
6. Choosing when and how to monitor
7. Constructing a monitoring system
8. Bringing about behavior change

DQV assists in establishing a plan for monitoring data which is then reported back to the QRT and/or the QIC. Results are evaluated over time to determine whether or not the system changes are having their intended impact. When the desired outcomes are not achieved, staff will seek input from relevant stakeholders to determine additional barriers that are impacting performance and identify and implement additional actions. The QRT and QIC are responsible for monitoring and assuring the successful implantation of system change.

Information about recommended systems changes and their outcomes are communicated to stakeholders through a variety of

forums including; quarterly RQC meetings, QIC meetings, quarterly Settlement Agreement Stakeholder meetings, as well as annual quality improvement reports posted on the DBHDS website.

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

The quality improvement strategy is evaluated on an annual basis by the QRT through the review of performance indicators and data collected regarding remediation success/failure, as well as an assessment regarding the adequacy of the current performance measures. In conducting this review, the QRT incorporates feedback from the QIC. The annual review may result in changes to performance measures, priorities, data collection and/or performance measures, or modifications to committees or the roles of key entities.

Appendix I: Financial Accountability

I-1: Financial Integrity and Accountability

Financial Integrity. Describe the methods that are employed to ensure the integrity of payments that have been made for waiver services, including: (a) requirements concerning the independent audit of provider agencies; (b) the financial audit program that the state conducts to ensure the integrity of provider billings for Medicaid payment of waiver services, including the methods, scope and frequency of audits; and, (c) the agency (or agencies) responsible for conducting the financial audit program. State laws, regulations, and policies referenced in the description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

DMAS requires all providers of services to comply with state and federal laws and regulations and holds them accountable for this. While DMAS does not impose an independent audit requirement for participating providers, provider agencies may be required to obtain an independent audit as a part of the licensing process through DBHDS. Some agencies are exempt from licensing according as agencies approved for payment by the DMAS per section 32.1-162.8 of the Code of Virginia. Providers exempt from licensing remain subject to complaint investigations in keeping with state law. The provider is responsible to provide DMAS all documentation that will verify services were rendered as billed. This would entail both medical and personnel records.

DMAS' Medicaid Management Information System (MMIS) is an automated claims processing and review system. The MMIS system has built in controls (system edits) to ensure provider billings are in accordance with state and federal regulations prior to claims being approved for payment. Currently there are over 1,550 system edits in the Virginia MMIS, which rejects duplicate claims, and claims for services or service levels that are not authorized under Medicaid policy as example. As a part of claims processing, DMAS also utilizes two products that consists of regularly-updated system edits which prevent improper payments. These packages are Correct Coding Initiative edits which were developed by CMS and Claim Check, a commercial software product. Changes or updates to the MMIS system edits are submitted on an Information Service Request form and reviewed by a MMIS change committee. Upon approval by the committee, the changes or updates are programmed. The MMIS is updated quarterly to include the CMS updates to the National Correct Coding Initiative (NCCI) edits. Other covered service and service limit system edits are continually updated as needed due to changes to Virginia Medicaid policies.
DMAS ensures financial integrity and accountability through multiple processes occurring across several divisions. The Fiscal and Purchases Division is responsible for the timely and accurate processing and recording of financial transactions to include collection of provider and recipient overpayments The fiscal division is charged with recovering overpayments and verifying proper documentation of the amounts. This division does not perform reviews.

The Internal Audit Division reviews claims for correct billing performing tests on claims in the MMIS for patterns that are anomalies across provider types. The Division focuses on the accurate processing of claims through MMIS to identify possible patterns of fraud, waste abuse. This division uses concurrent auditing of claims to uncover any problems in the waiver, using over 300 checks on a continuous basis before claims are paid. They also review claims after they are paid to identify irregularities in payment patterns.

The Division of Program Integrity conducts financial reviews utilizing internal staff as well as contractors acquired through a competitive procurement process. The Provider Review Unit (PRU) in the Division of Program Integrity investigates allegations of provider fraud and abuse that result in overpayments of Medicaid benefits. The PRU receives allegations from providers, state agencies, law enforcement agencies, individuals, and other DMAS units. These allegations typically involve misspent funds involving fee-for-service provider issues such as: billing for a service using a code that the provider has previously been instructed not to use, billing for more expensive services or procedures than were actually provided or performed (commonly known as up-coding), billing for services that were never rendered, performing medically unnecessary services, and misrepresenting non-covered treatments as medically necessary covered treatments.

The PRU and DMAS contractors could potentially review any provider group, though all audits are designated to specific provider types and services through an annual comprehensive risk-based audit plan. On average, 60-65 audits per year by PRU and DMAS contractors are designated specifically for waiver services. The PRU utilizes JAVA Surveillance and Utilization Review System (J-SURS). This claims-based data mining software packages is used to determine which providers are exceeding the billing norms for their peer groups. Contractors use proprietary algorithms to select providers to review and claims to review for those providers.

The division monitors provider activity; to identify potentially fraudulent or abusive billing practices; develop corrective action plans; and when necessary recommend policy changes to prevent abusive billing practices; and to refer abusive providers to other state agencies. Cases are referred to Medicaid Fraud Control Unit (MFCU) when potentially egregious abuse is identified. The PRU supervisor serves as the liaison to the MFCU and is responsible for reviewing and submitting all fraud referrals from DMAS and its

contractors. The MFCU determines if the case warrants further investigation as fraud.
The Program Integrity Division and contract auditors conduct almost all reviews as desk reviews of medical and personnel records to determine if services were provided as billed. In certain cases, such as those where fraud is suspected, record collection will be conducted on-site. In addition to ensuring that services are appropriate and adequately documented, these reviews also determine if the services were provided by qualified staff members.

PRU Cases selected for review are tracked in an Oracle database system. Contractor cases are tracked using a standardized case tracking spreadsheet. Using this data, management reports can be generated detailing the status of each review. Reviews look at a focused sample of records from a 12-month period. The sample is selected using all claims of a selection of recipients for that 12-month period, with a focus on recipients with claims that are most likely to contain overpayments. After reviewing the records, the PRU Analyst completes the Integrity Review and closes the case if there is no abuse (no billing errors are identified) and send them correspondence indicating such. When billing errors have been identified, an overpayment letter is sent to the provider and recovery is sought regardless of the dollar value. If the provider disagrees, they have the right to appeal.
Overpayments are recovered either by submission of a check from the provider, or through offsets of future provider payments from our MMIS claims payment system. To ensure that all provider overpayments are handled appropriately to meet Federal timelines, each month, the PRU technical support staff produces a report, Authorization to Recover Provider Overpayment Log, from the Fiscal database, and the PRU supervisor checks the overpayments against the monthly submissions to Fiscal. In addition, the report goes to PRU analysts to double check against their case activity.

The provider has four opportunities to provide input to the audit: Response to Preliminary Investigation, Request for an Informal Fact Finding Conference (IFFC), Formal Evidential Hearing, and Circuit Court. All are dictated by State regulations and handled by the Department's Appeals Division.
DMAS and DBHDS undergo an annual independent audit through the Virginia Auditor of Public Accounts, which includes a review of the waiver, to ensure compliance with state and federal accounting practices. The Virginia Auditor of Public Accounts is the entity responsible for conducting the periodic independent audit of the waiver program under the provisions of Single Audit Act. DMAS is also subject to audits from CMS through the medical integrity audits.

Appendix I: Financial Accountability

Quality Improvement: Financial Accountability

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

a. **Methods for Discovery: Financial Accountability Assurance:**
The State must demonstrate that it has designed and implemented an adequate system for ensuring financial accountability of the waiver program. *(For waiver actions submitted before June 1, 2014, this assurance read "State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.")*
   i. **Sub-Assurances:**

      a. ***Sub-assurance: The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.*** *(Performance measures in this sub-assurance include all Appendix I performance measures for waiver actions submitted before June 1, 2014.)*

Performance Measures

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

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

Performance Measure:
1. Number and percent of adjudicated waiver claims that were submitted and reimbursed using the correct rate in accordance with the approved DMAS rate schedule. N: # of adjudicated claims reimbursed using the approved rate. D: Total # of adjudicated claims

Data Source (Select one):
Other
If 'Other' is selected, specify:
MMIS

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 Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample** Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

Performance Measure:
2. Number and percent of adjudicated waiver claims that were submitted using the correct procedure codes. N= Number of adjudicated claims that were submitted using the correct procedure codes. D= Total number of adjudicated claims.

Data Source (Select one):
Other
If 'Other' is selected, specify:
MMIS

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 Medicaid Agency**	☐ **Weekly**	☑ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☐ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☐ **Representative Sample**

		Confidence Interval =
☐ **Other** Specify:	☐ **Annually**	☐ **Stratified** Describe Group:
	☑ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

b. ***Sub-assurance: The state provides evidence that rates remain consistent with the approved rate methodology throughout the five year waiver cycle.***

Performance Measures

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

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

Performance Measure:
1. Number and percent of claims adhering to the approved rate/rate methodology in the waiver application N: # of claims adhering to the approved rate/rate methodology D: total # of claims

Data Source (Select one):
Financial records (including expenditures)
If 'Other' is selected, specify:

Responsible Party for data collection/generation *(check each that applies):*	**Frequency of data collection/generation** *(check each that applies):*	**Sampling Approach** *(check each that applies):*
☑ **State Medicaid Agency**	☐ **Weekly**	☐ **100% Review**
☐ **Operating Agency**	☐ **Monthly**	☑ **Less than 100% Review**
☐ **Sub-State Entity**	☐ **Quarterly**	☑ **Representative Sample** Confidence Interval = 95%
☐ **Other** Specify:	☑ **Annually**	☐ **Stratified** Describe Group:
	☐ **Continuously and Ongoing**	☐ **Other** Specify:
	☐ **Other** Specify:	

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 Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **Other** Specify:

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

b. Methods for Remediation/Fixing Individual Problems

i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
If DMAS staff identifies problems with the above measure for providers, they require a corrective action plan to be developed and implemented by the provider. Failure to do so jeopardizes the Medicaid provider agreement.

If claims have been paid inappropriately, referral is made to DMAS Program Integrity Division for collection of overpayment

Individual providers with systemic problems will be targeted for technical assistance/training from DMAS. These events and their results will be documented in quarterly reports of technical assistance.

The provider has four opportunities to provide input to the audit: Request for Reconsideration, Request for an Informal Fact Finding Conference (IFFC), Formal Evidential Hearing, and Circuit Court. All are dictated by State regulations and handled by the Department's Appeals Division. To address the education letter upon receipt, the provider has thirty days to submit additional documentation or information to explain their understanding of the regulations and policy. An exit conference is held telephonically with provider. Preliminary report is revised if applicable and then the final report is written. A total of 99 referrals were made in the last fiscal year. This includes both provider and recipient referrals. DMAS does not perform on-site, unannounced visits for payment review. DMAS QMR staff reviews claims submitted by selected providers based on a statistically valid sample of 95/5 confidence level.

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):*
☑ **State Medicaid Agency**	☐ **Weekly**
☐ **Operating Agency**	☐ **Monthly**
☐ **Sub-State Entity**	☑ **Quarterly**
☐ **Other** Specify:	☐ **Annually**
	☐ **Continuously and Ongoing**
	☐ **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 Financial Accountability that are currently non-operational.

◉ **No**
○ **Yes**
Please provide a detailed strategy for assuring Financial Accountability, the specific timeline for implementing identified strategies, and the parties responsible for its operation.

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (1 of 3)

a. **Rate Determination Methods.** In two pages or less, describe the methods that are employed to establish provider payment rates for waiver services and the entity or entities that are responsible for rate determination. Indicate any opportunity for public comment in the process. If different methods are employed for various types of services, the description may group services for which the same method is employed. State laws, regulations, and policies referenced in the description are available upon request to CMS through the Medicaid agency or the operating agency (if applicable).

Rate determination and oversight is a shared responsibility between the Department of Medical Assistance Services (DMAS) and the Department of Behavioral Health and Developmental Services (DBHDS). The DMAS Provider Reimbursement Division ensures that rates are based on the approved methodologies; are in accordance with authorized funding; and consistent with economy, efficiency, and quality of care' and are sufficient to attract a sufficient number of providers. A complete listing of all current waiver services rates are maintained on the DMAS Web site (http://www.dmas.virginia.gov/Content_pgs/pr-rsetting.aspx) and is available to the public for review. Individuals may call DMAS to request a written copy of the rate schedule.

Services are reimbursed on a prospective, fee-for-service basis, with the exceptions discussed below. Rates vary by region with higher rates paid for services in Northern Virginia to account for higher wage and other costs compared to the rest of the Commonwealth. All providers – including public providers – are paid the same rates for waiver services. There is no rate reconciliation methodology for public providers or Medicaid cost report for these services. In general, rates are adequate to attract a sufficient number of providers to furnish services to individuals.

DBHDS engaged Burns & Associates, Inc. (B&A), a national consultant experienced in developing provider reimbursement rates for home and community based services, to conduct a rate study. The rate study process began in 2014 and the same process is used in new rates. The rate study encompassed several activities, including varied opportunities for public comment.
• DBHDS identified policy goals that could be affected by the rates. These goals included providing adequate funding for direct support professionals' wages, benefits, and training to reduce turnover and professionalize the workforce; moving away from one-size-fits-all rates to better support members across the continuum of needs, including those transitioning from institutional settings; and encouraging individualized and person-centered supports, consistent with the home and community based services rule.
• A rate-setting advisory group comprised of providers was convened several times during the rate-setting process to serve as a 'sounding board' to discuss project goals and materials.
• All providers were invited to complete a survey related to their service design and costs. A second survey directed towards consumer-directed services facilitation providers was administered in 2016 in order to finalize those rate models.
• Benchmark data was identified and researched, including the Bureau of Labor Statistics' cross-industry wage and benefit data as well as rates for comparable services in other waiver programs.
• Proposed rate models that outline the specific assumptions related to each category of costs were developed.
• Analysis was conducted to use Supports Intensity Scale® (SIS®) assessment data to create 'tiered' rates for residential and day habilitation services to recognize the need for more intensive staffing for individuals with more significant needs. Specifically, each member is assigned to one of seven levels based on assessment results in the areas of home living support needs, community living support needs, health and safety needs, medically-related support needs, and behaviorally-related support needs. These seven levels, in turn, are cross-walked to four rate categories: low needs (level 1), modest needs (level 2), moderate to significant needs (levels 3 and 4), and highest needs (levels 5, 6, and 7).
• The proposed rate models and supporting documentation were posted on a dedicated website. Providers and other stakeholders were notified of the posting via email. A webinar was conducted and recorded to explain the proposals. A dedicated email address was created to accept comments and suggestions for a period of approximately one month. DBHDS reviewed every comment submitted and prepared a written document summarizing its response to each, including any resulting revision to the rate models or an explanation for why no change was made. This non-required comment period occurred before the proposed rates were formally incorporated into the waiver application. The entire application, including the rates, was then subject to a formal comment period overseen by DMAS.

Based on the rate study, B&A developed independent rate models intended to reflect the costs that providers face in delivering a given service. Specific assumptions are made for these various costs, including:
• The wage of the direct support professional
• Benefits for the direct support professional
• The productivity of the direct support professional (to account for non-billable responsibilities)
• Other direct care costs, such as transportation and program supplies
• Agency overhead costs
• Programmatic factors that impact per-person costs, such as staffing ratios

Specific cost assumptions were based on provider-reported data as well as other benchmarks. Wage and benefit assumptions were derived primarily from BLS data to ensure waiver providers' competitiveness. Assumptions related to agency overhead costs are based primarily on cost data from private (non-public) providers. Specifically, overhead is divided into administrative and program support. Administrative costs are those associated with the operation of an organization, but which are not program-specific, including general management, financial/accounting, and human resource staff. Program support costs are expenses that are neither direct care nor administrative. Such activities are program-specific, but not on behalf of an individual member, such as training of direct care workers, program development, supervision, and quality assurance. The rate models assume that 11 percent of the total rates support agency administrative costs. Another 10 percent (on average) of the total rate is assumed to cover program support costs.
The rate setting methodology described above was used to establish benchmark rates for the following services:

- Shared living
- Supported living residential
- In-Home Support
- Skilled and Private Duty Nursing
- Therapeutic Consultation
- Crisis Support
- PERS
- Group supported employment
- Community engagement
- Group day support
- Workplace assistance services
- Personal assistance (agency and consumer direction)
- Respite Care (agency and consumer direction)
- Companion Care (agency and consumer direction)
- Service Facilitation
- Benefits Planning Services

The rate model assumptions are used to construct the fee-for-services rates, but the individual assumptions are not prescriptive to

service providers. For instance, providers are not required to pay the wages assumed in the rate models. Rather, providers have the flexibility within the total rate to design programs that meet members' needs, consistent with service requirements and members' individual support plans.
While there is no formal schedule for annual cost of living increases to the rates, the use of detailed and transparent rate models allows for periodic review and adjustment of the rates. For example, the rate models were revised in March 2016 to account for more current BLS wage information and a change in the Internal Revenue Services. Rates are not increased automatically for inflation but may be increased if authorized by the state budget through the VA General Assembly. Rate increases are subject to funding by the General Assembly as part of the state budgeting process. Recommendations for rate adjustments as part of budget deliberations may come from DMAS and DBHDS or service recipients, providers, and other members of the public.

Most of the rate models have been fully funded, but for certain services a lesser 'adopted' rate has been implemented:
• Skilled Nursing rates for registered nurses are funded at 61 percent of the rate model for Northern Virginia and 63 percent for the rest of the state.
• Skilled Nursing rates for licensed practical nurses are funded at 71 percent of the rate model for Northern Virginia and 71 percent for the rest of the state.
• Private Duty Nursing rates for registered nurses are funded at 61 percent of the rate model for Northern Virginia and 63 percent for the rest of the state.
• Private Duty Nursing rates for licensed practical nurses are funded at 73 percent of the rate model for Northern Virginia and 74 percent for the rest of the state.
• Agency rates for Personal Assistance, Respite, and Companion Care are funded at 65 percent of the rate model for Northern Virginia and 67 percent for the rest of the state.
• Consumer-directed rates for Personal Assistance, Respite, and Companion Care are funded at 69 percent of the rate model for Northern Virginia and 66 percent for the rest of the state.
• Across all consumer-directed services facilitation supports, rates are funded at an average of 88 percent of the rate model for Northern Virginia and 83 percent for the rest of the state.

Rate and reimbursement methodologies for services not included in the rate-setting effort described above are as follows:
• For Supported Employment-Individual services, providers are reimbursed at the same rate as their agreements with the Department of Aging and Rehabilitative Services (DARS) in order to encourage the seamless delivery of employment supports. DARS establishes each provider's Supported Employment rates on an annual basis through a Purchase of Service Application, which is similar to a cost report. The hourly rate is calculated by dividing budgeted costs by budgeted service hours. Budgeted costs include employee compensation allocated to services, professional fees, supplies, communications, building expenses, rental and maintenance of equipment, printing and publications, travel, training, membership dues, non-mortgage interest and capital depreciation.
• Reimbursement for Environmental Modifications, Assistive Technology, and Electronic Home-Based Supports is based on approved cost up to a $5,000 annual limit. Reimbursement for Transition Services is based on approved cost up to a $5,000 lifetime limit. Reimbursement for Individual and Family/ Caregiver Training is based on approved cost up to a $4,000 annual limit.

• For Personal Emergency Response Services, which has low utilization and few providers, the Commonwealth's rates were compared to the rates paid by other states in order to ensure reasonableness. PERS monthly monitoring rates were identified in 1915 (c) waivers for persons with intellectual and developmental disabilities in twenty-two other states for validation. This comparison found that the average Virginia rate falls within the third or middle quintile of these other states.

See Optional Attachment.

b. Flow of Billings. Describe the flow of billings for waiver services, specifying whether provider billings flow directly from providers to the State's claims payment system or whether billings are routed through other intermediary entities. If billings flow through other intermediary entities, specify the entities:

Provider billings flow directly to the State's claims payment system, with the exception of those provider billings for consumer-directed services and those services (Assistive Technology, Environmental Modifications and Transition Services) for which the CSBs is not the service provider and acts as a conduit between DMAS and non-provider agencies in the community. Providers submit claims on the CMS-1500 to the private contractor, Xerox, the fiscal agent for DMAS. Xerox reviews the claims and determines whether it should be paid, denied or pended. If it is denied, the provider is notified and the reason is explained. If a claim is pended, DMAS is responsible for reviewing and making a determination to either pay or deny.

Consumer-directed services are paid through the limited fiscal management services agent (FMS), Public Partnerships LLC. DMAS procures fiscal agent services through an RFP process and contracts with the vendor for all payroll functions. Time sheets for consumer-directed personal assistants, respite assistants and companions are submitted directly to the FMS by the individual/employer after authorization and approval of the employer. PPL submits payment to the employee attendant for authorized services. DMAS provides direct oversight of the contract to ensure compliance with federal and state law. DMAS contract monitors on a weekly basis sample approved assistant applications to ensure all qualifications are met. Payments are made only to those assistants that have approved assistant applications.

The CSB may enter into a contractual arrangement with non-providers such as building contractors, stores that may provide AT items or even on-line vendors. After making the purchase, the CSB then bills DMAS for the modification/item. Those vendors (such as DME companies or others) who wish to become DMAS enrolled providers may do so. There is no requirement that billing for these

services flow through the CSBs. It is merely one option.

On a quarterly basis, the contractor (PPL) obtains payroll information for CD attendants to determine if payroll information was properly supported by testing a judgmental sample of the entries from the payroll register and other state and federal tax forms.

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (2 of 3)

c. Certifying Public Expenditures *(select one)*:

- (●) **No. State or local government agencies do not certify expenditures for waiver services.**
- ( ) **Yes. State or local government agencies directly expend funds for part or all of the cost of waiver services and certify their State government expenditures (CPE) in lieu of billing that amount to Medicaid.**

***Select at least one*:**

☐ **Certified Public Expenditures (CPE) of State Public Agencies.**

Specify: (a) the State government agency or agencies that certify public expenditures for waiver services; (b) how it is assured that the CPE is based on the total computable costs for waiver services; and, (c) how the State verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR §433.51(b).*(Indicate source of revenue for CPEs in Item I-4-a.)*

☐ **Certified Public Expenditures (CPE) of Local Government Agencies.**

Specify: (a) the local government agencies that incur certified public expenditures for waiver services; (b) how it is assured that the CPE is based on total computable costs for waiver services; and, (c) how the State verifies that the certified public expenditures are eligible for Federal financial participation in accordance with 42 CFR §433.51(b). *(Indicate source of revenue for CPEs in Item I-4-b.)*

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (3 of 3)

d. Billing Validation Process. Describe the process for validating provider billings to produce the claim for federal financial participation, including the mechanism(s) to assure that all claims for payment are made only: (a) when the individual was eligible for Medicaid waiver payment on the date of service; (b) when the service was included in the participant's approved service plan; and, (c) the services were provided:

DMAS ensures that, when claims are paid, the individual is Medicaid-eligible at the time the services were rendered and the services being billed are approved services in the service plan for that individual. As noted in section I-1, all services must be pre-authorized by DBHDS. Secondly, prior to payment, all claims are processed using automated edits that:

1. Verify individual eligibility;
2. Check for a valid pre-authorization;
3. Verify there is no duplicate billing;
4. Verify that the provider submitting claims meets provider participation criteria and has a valid participation agreement with DMAS;
5. Check for any service limits.

Quality Management Review (QMR) ensures that services are approved and appropriate for the individual. The purpose of the QMR is to determine whether services delivered were appropriate, continue to be needed by the individual, and the amount and kind of services were required. DMAS analysts conduct QMR of all documentation that shows the individual's level of care. Visits are conducted on-site and are unannounced.

The QMR visit is accomplished through a review of the individual's record, evaluation of the individual's medical and functional status, and consultation with the individual and family/caregiver, as appropriate. Specific attention is paid to all applicable documentation, which may include service plans, supervisory notes, services facilitator notes, daily logs, self-directed employee time sheets, progress notes, case manager notes and any other documentation.

The DD waivers will all utilize a web-based, electronic submission service authorization process. Providers relay their information (such as plans for support) to the case manager who then ensures that all requests meet the individual's needs and are in line with the discussions during the person-centered planning meeting. The case manager submits required documentation via the electronic system to DBHDS service authorization staff. These staff ensure that all services being requested are justified by assessed needs, service limits are observed, and that the individual requires the services being requested. Once these have been confirmed, the staff will authorize: notification goes back to the case manager and provider and entry into VAMMIS is accomplished. If required elements are missing, the request may be pended for more information, rejected or denied (depending on the circumstances).

Individuals seeking case management services through the Community Services Board Single Point of Entry are offered a choice of case manager.
Choice of providers is always an option and can be exercised at any time by individuals once they have a Waiver slot. The CSB/BHA support coordinator/ case manager is responsible for reviewing with the individual and AR, as appropriate, the list of available providers and documenting choice of providers on the Virginia Informed Choice form 1) at initiation of Waiver services 2) whenever requested thereafter for any reason by the individual and AR, as appropriate 3) if the support coordinator/ case manager has a documented reason to believe that the individual may benefit from offering choice of providers (e.g., if the support coordinator/ case manager, in consultation with the individual and AR, as appropriate, determines that the individual's person-centered plan outcomes are consistently not being achieved); or 4) if the individual and AR, as appropriate, expresses dissatisfaction with current services. Choice of providers is offered whenever a new service is offered. The annual Person-Centered Planning meeting includes a discussion of services options and satisfaction with supports and services received.
The Individual Choice form documents choice of waiver vs. institution and is completed following initial waiver eligibility screening, as well as annually while the individual is on the statewide waiting list.

For PTs and OTs, The evaluations may be directly reimbursed through the State Plan or through Therapeutic Consultation, if the individual is already receiving those services. CRSs/Rehab Engineers may be reimbursed directly through either EM or AT if their services are required.

Individuals seeking case management services through the Community Services Board Single Point of Entry are offered a choice of case manager.

e. **Billing and Claims Record Maintenance Requirement.** Records documenting the audit trail of adjudicated claims (including supporting documentation) are maintained by the Medicaid agency, the operating agency (if applicable), and providers of waiver services for a minimum period of 3 years as required in 45 CFR §92.42.

Appendix I: Financial Accountability

I-3: Payment (1 of 7)

a. **Method of payments -- MMIS** (*select one*):

○ **Payments for all waiver services are made through an approved Medicaid Management Information System (MMIS).**
◉ **Payments for some, but not all, waiver services are made through an approved MMIS.**

Specify: (a) the waiver services that are not paid through an approved MMIS; (b) the process for making such payments and the entity that processes payments; (c) and how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

Consumer-directed payroll for personal assistance, respite and companion services are paid through the Fiscal Management Services (FMS) contractor, Public Partnerships, LLC. The individual/employer directly submits authorized employee time sheets to PPL, which processes the billing and makes payment directly to the individual's employee. The claim information is still captured in the VAMMIS system to satisfy reporting requirements to CMS and are subject to all audit and accounting oversight measures.

Self-directed personal assisted personal assistance, respite, and companion service providers are not able to receive direct payment from DMAS. There is no option for consumer-directed providers to bill DMAS.

The administrative activity is a per member per month fee and includes the contractor's direct and indirect costs. Direct costs include staffing, project supplies and materials, facilities, software, equipment, telecommunications, postage, printing, and subcontracts. Indirect costs include administrative staffing and services, general purpose equipment, facilities, telecommunications and general use office supplies.

DMAS employs contract monitoring staff within the Division of Long-Term Care to provide ongoing oversight for the administration of the contract for fiscal management services. The vendor provides a bi-weekly payroll register documenting the individual payments associated with eligible waiver individuals for each service provided to the individual by qualified assistant (s) for the pay period. DMAS staff authorize each voucher for payment through DMAS's Fiscal and Purchases Division for generation of payment through the Virginia Department of Accounts. The payroll process is subject to random audit through the various oversight entities, including the auditor of public accounts (Virginia Department of Accounts) and the DMAS Division of Internal Audit.

In addition, DMAS staff provide quarterly reports to the Budget and Contract Management Division within DMAS to ensure that the vendor complies with the requirements of the contract, including fiscal accountability.

○ **Payments for waiver services are not made through an approved MMIS.**

Specify: (a) the process by which payments are made and the entity that processes payments; (b) how and through which system (s) the payments are processed; (c) how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

○ **Payments for waiver services are made by a managed care entity or entities. The managed care entity is paid a monthly capitated payment per eligible enrollee through an approved MMIS.**

Describe how payments are made to the managed care entity or entities:

Appendix I: Financial Accountability

I-3: Payment (2 of 7)

b. Direct payment. In addition to providing that the Medicaid agency makes payments directly to providers of waiver services, payments for waiver services are made utilizing one or more of the following arrangements (*select at least one*):

- ☐ **The Medicaid agency makes payments directly and does not use a fiscal agent (comprehensive or limited) or a managed care entity or entities.**
- ☑ **The Medicaid agency pays providers through the same fiscal agent used for the rest of the Medicaid program.**
- ☑ **The Medicaid agency pays providers of some or all waiver services through the use of a limited fiscal agent.**

Specify the limited fiscal agent, the waiver services for which the limited fiscal agent makes payment, the functions that the limited fiscal agent performs in paying waiver claims, and the methods by which the Medicaid agency oversees the operations of the limited fiscal agent:

DMAS contracts with a Fiscal Management Service (FMS), Public Partnerships, LLC to make payment for all consumer-directed services. The fiscal employer agent ensures that attendants have completed required employment paperwork; processes individual/employer enrollment packets and attendant employment packets; obtains criminal record checks and child abuse background checks; processes time sheets, deducts and files state and federal income and employment taxes and pays consumer-directed employees. Oversight of the FMS operations is conducted by contract monitors employed by the Medicaid agency.

There is no option for self-directed providers to bill Medicaid directly.

DMAS employs contract monitoring staff within the Division of Long-Term Care to provide ongoing oversight for the administration of the contract for fiscal management services. PPL provides weekly estimated and reconciled payroll registers, documenting the individual payments associated with eligible waiver individuals for each service provided to the individual by qualified assistant(s) for the pay period. DMAS staff authorizes each voucher for payment through DMAS' Fiscal and Purchases Division for generation of payment through the Virginia Department of Accounts. The payroll process is subject to random audit through the various oversight entities, including the auditor of public accounts (Virginia Department of Accounts) and the DMAS Division of Internal Audit. Data from the operation meetings are used to develop the annual performance audit.
In addition, the FMS provides the DMAS fiscal office with quarterly, tax accrual reconciliation reports, annual FICA refund voucher reports, and annual unclaimed property reports for checks that have not been cashed. The FMS also provides monthly reports to DMAS Provider Reimbursement (rate setting) staff and weekly financial operations reports to DMAS contract monitors.
The FMS provides the following program reports to DMAS contract monitors: weekly operations reports that reflect employer and employee enrollment, background checks, discontinued employment, and timesheet processing; weekly Call Center activity reports; and quarterly program activity reports. DMAS contract monitors provide on-site weekly monitoring of the FMS and hold bi-weekly operations meetings with management, fiscal, IT, Call Center, and operations staff. DMAS contract monitors complete an annual performance audit of the FMS, develop corrective action plans, when necessary, and provide twice yearly reports to the DMAS Contract Management Division ensure contract compliance, including fiscal accountability.
In addition to the on-going monitoring conducted by the DMAS employed contract monitors, DMAS contracts with an independent auditor to conduct quarterly post payment reviews of the consumer directed payroll. The auditor conducts analysis of the F/EA payroll register showing employer, employee, pay rates, hours worked, gross pay, state and federal taxes, unemployment insurance and other withholdings. The independent auditor has the expertise and resources necessary to accurately and efficiently review large payroll registers and supporting tax and payroll bank account information ensuring fiscal controls.

For Environmental Modifications/Assistive Technology, when the CSB is not the provider, the CSBs may act as a conduit between the service provider and DMAS. They may be involved in purchasing items for Assistive Technology directly (from stores or online providers – particularly for items such as communication devices, computer programs, I-pads, etc. that regular DME companies do not deal with) or may work with a building contractor to perform some Environmental Modification for which the CSB bills DMAS and then reimburses the contractor. It is not advantageous to building contractors to become Medicaid waiver providers in general. Provider Integrity audits the CSBs in these instances, as they are the provider-of-record for the service. At this time the CSBs do not receive payments for processing payments. Some CSBs have contracts with certain vendors. Some CSBs require three bids.

☐ **Providers are paid by a managed care entity or entities for services that are included in the State's contract with the entity.**

Specify how providers are paid for the services (if any) not included in the State's contract with managed care entities.

Appendix I: Financial Accountability

I-3: Payment (3 of 7)

c. **Supplemental or Enhanced Payments.** Section 1902(a)(30) requires that payments for services be consistent with efficiency, economy, and quality of care. Section 1903(a)(1) provides for Federal financial participation to States for expenditures for services under an approved State plan/waiver. Specify whether supplemental or enhanced payments are made. *Select one:*

◉ **No. The State does not make supplemental or enhanced payments for waiver services.**

○ **Yes. The State makes supplemental or enhanced payments for waiver services.**

Describe: (a) the nature of the supplemental or enhanced payments that are made and the waiver services for which these payments are made; (b) the types of providers to which such payments are made; (c) the source of the non-Federal share of the supplemental or enhanced payment; and, (d) whether providers eligible to receive the supplemental or enhanced payment retain 100% of the total computable expenditure claimed by the State to CMS. Upon request, the State will furnish CMS with detailed information about the total amount of supplemental or enhanced payments to each provider type in the waiver.

Appendix I: Financial Accountability

I-3: Payment (4 of 7)

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

○ **No. State or local government providers do not receive payment for waiver services.** Do not complete Item I-3-e.

◉ **Yes. State or local government providers receive payment for waiver services.** Complete Item I-3-e.

Specify the types of State or local government providers that receive payment for waiver services and the services that the State or local government providers furnish:

CSBs are eligible to be providers of waiver services for which they meet provider criteria. Some choose to be waiver providers and others do not. Their provision of waiver services depends on historical factors and the guidance of their local governance. Some provide only case management and emergency services (required by state statute). Others also provide some combination of waiver services that may include any of the following: residential supports, respite, day supports, supported employment, crisis stabilization, assistive technology, environmental modifications, behavior consultation, personal assistance, or companion services.

CSBs are established by local governments pursuant to section 37.2-500 or 37.2-601 of the Code of Virginia and are under the control of local elected officials (city council and board of supervisors members who establish the CSB, approve its annual "performance contract" with DBHDS and appoint CSB board members).

Appendix I: Financial Accountability

I-3: Payment (5 of 7)

e. **Amount of Payment to State or Local Government Providers.**

Specify whether any State or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed its reasonable costs of providing waiver services and, if so, whether and how the State recoups the excess and returns the Federal share of the excess to CMS on the quarterly expenditure report. *Select one:*

- (●) **The amount paid to State or local government providers is the same as the amount paid to private providers of the same service.**
- ( ) **The amount paid to State or local government providers differs from the amount paid to private providers of the same service. No public provider receives payments that in the aggregate exceed its reasonable costs of providing waiver services.**
- ( ) **The amount paid to State or local government providers differs from the amount paid to private providers of the same service. When a State or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed the cost of waiver services, the State recoups the excess and returns the federal share of the excess to CMS on the quarterly expenditure report.**

Describe the recoupment process:

Appendix I: Financial Accountability

I-3: Payment (6 of 7)

f. Provider Retention of Payments. Section 1903(a)(1) provides that Federal matching funds are only available for expenditures made by states for services under the approved waiver. *Select one:*

- (●) **Providers receive and retain 100 percent of the amount claimed to CMS for waiver services.**
- ( ) **Providers are paid by a managed care entity (or entities) that is paid a monthly capitated payment.**

Specify whether the monthly capitated payment to managed care entities is reduced or returned in part to the State.

Appendix I: Financial Accountability

I-3: Payment (7 of 7)

g. Additional Payment Arrangements

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

- (●) **No. The State does not provide that providers may voluntarily reassign their right to direct payments to a governmental agency.**
- ( ) **Yes. Providers may voluntarily reassign their right to direct payments to a governmental agency as provided in 42 CFR §447.10(e).**

Specify the governmental agency (or agencies) to which reassignment may be made.

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

- ( ) **No. The State does not employ Organized Health Care Delivery System (OHCDS) arrangements under the provisions of 42 CFR §447.10.**
- (●) **Yes. The waiver provides for the use of Organized Health Care Delivery System arrangements under the provisions of 42 CFR §447.10.**

Specify the following: (a) the entities that are designated as an OHCDS and how these entities qualify for designation as an OHCDS; (b) the procedures for direct provider enrollment when a provider does not voluntarily agree to contract with a designated OHCDS; (c) the method(s) for assuring that participants have free choice of qualified providers when an OHCDS arrangement is employed, including the selection of providers not affiliated with the OHCDS; (d) the method(s)

for assuring that providers that furnish services under contract with an OHCDS meet applicable provider qualifications under the waiver; (e) how it is assured that OHCDS contracts with providers meet applicable requirements; and, (f) how financial accountability is assured when an OHCDS arrangement is used:

a) In Virginia, CSBs are OHCDS entities for the waiver services of assistive technology, environmental modifications and transition services. CSBs are all licensed by DBHDS to provide at least one other waiver or State Plan service.

(b) Providers of these three waiver services have the option to directly enroll as a DMAS provider should they not desire to work through the CSB.

(c) Individuals have the right to choose their provider of services despite the OHCDS arrangement and frequently tell the CSB staff whom they would like to provide the device, complete their home modification, etc. QMR staff inquire about whether this choice took place when they meet with individuals and family/caregivers.

(d) While those agencies or individuals who provide these three services may not actually enter into a contractual arrangement with the CSB through which they are paid (as these services generally represent short-term or single purchase transactions), those who provide goods and services through an OHCDS arrangement must still meet all ID waiver requirements. Furthermore, the CSB case manager is required to document the successful delivery or completion of the item/modification/service once completed.

(e) & (f) An independent professional consultation shall be obtained from staff knowledgeable of that item (e.g., Physical Therapist, Occupational Therapist, Speech and Language Therapist, etc.) for each AT request prior to service authorization. All AT items to be covered shall meet applicable standards of manufacture, design, and installation. The AT provider shall obtain, install, and demonstrate, as necessary, such AT prior to submitting his claim to DMAS for reimbursement. The provider shall provide all warranties or guarantees from the AT's manufacturer to the individual and family/caregiver, as appropriate.

A physical therapist or occupational therapist may be utilized to evaluate the needs for environmental modifications and make recommendations about what is required, when appropriate. Alternately, a rehabilitation engineer or Certified Rehabilitation Specialist may be used in cases where structural modifications of the primary residence are requested to evaluate the individual's needs and subsequently act as project manager, assuring functionality of the environmental modification through quality assurance inspections once the project is finished. The rehabilitation engineer may actually design and personally complete the modification.

A rehabilitation engineer/CRS may be required if (for example):
- The environmental modification involves combinations of systems which are not designed to go together.
- The structural modification requires a project manager to assure that the design and functionality meet ADA accessibility guidelines.
- Where structural modifications of the primary residence are requested to ensure the residence is structurally sound for the modifications.

The case manager must document notification by the individual or individual's representative of satisfactory completion or receipt of the service or item of Assistive Technology. For Environmental Modifications the case manager must, upon completion of each modification, meet face-to-face with the individual and the family/caregiver, as appropriate, to ensure that the modification was completed satisfactorily and is able to be used by the individual.

All three services must be preauthorized and are thus scrutinized for need for service, appropriate professional recommendation (particularly Assistive Technology), cost effectiveness, and remaining within the monetary limits for the service. DMAS QMR staff further review these elements during their service reviews. DMAS Provider Integrity Audits ensure that services performed under these contracts meet applicable requirements and meet financial accountability standards.

For PTs and OTs, The evaluations may be directly reimbursed through the State Plan or through Therapeutic Consultation, if the individual is already receiving those services. CRSs/Rehab Engineers may be reimbursed directly through either EM or AT if their services are required.

Part of the service authorization process for EM/AT is the review (by DBHDS staff who perform service authorization) of documentation by the appropriate professional that the particular item or modification is necessary for the individual. Without this information accompanying the service authorization request, the request will not move forward. In addition, the service authorization staff ensure that all service limits (including monetary limits for EM/AT) are observed before authorization is finalized.

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

- (●) **The State does not contract with MCOs, PIHPs or PAHPs for the provision of waiver services.**
- ( ) **The State contracts with a Managed Care Organization(s) (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 voluntarily elect to receive waiver and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the State Medicaid agency.

Describe: (a) the MCOs and/or health plans that furnish services under the provisions of §1915(a)(1); (b) the geographic areas served by these plans; (c) the waiver and other services furnished by these plans; and, (d) how payments are made to the health plans.

○ **This waiver is a part of a concurrent §1915(b)/§1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The §1915(b) waiver specifies the types of health plans that are used and how payments to these plans are made.**

○ **This waiver is a part of a concurrent ◆1115/◆1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The ◆1115 waiver specifies the types of health plans that are used and how payments to these plans are made.**

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (1 of 3)

a. **State Level Source(s) of the Non-Federal Share of Computable Waiver Costs.** Specify the State source or sources of the non-federal share of computable waiver costs. *Select at least one*:

☑ **Appropriation of State Tax Revenues to the State Medicaid agency**

☐ **Appropriation of State Tax Revenues to a State Agency other than the Medicaid Agency.**

If the source of the non-federal share is appropriations to another state agency (or agencies), specify: (a) the State entity or agency receiving appropriated funds and (b) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if the funds are directly expended by State agencies as CPEs, as indicated in Item I-2-c:

☐ **Other State Level Source(s) of Funds.**

Specify: (a) the source and nature of funds; (b) the entity or agency that receives the funds; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by State agencies as CPEs, as indicated in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (2 of 3)

b. **Local Government or Other Source(s) of the Non-Federal Share of Computable Waiver Costs.** Specify the source or sources of the non-federal share of computable waiver costs that are not from state sources. *Select One*:

◉ **Not Applicable**. There are no local government level sources of funds utilized as the non-federal share.

○ **Applicable**

Check each that applies:

☐ **Appropriation of Local Government Revenues.**

Specify: (a) the local government entity or entities that have the authority to levy taxes or other revenues; (b) the source(s) of revenue; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement (indicate any intervening entities in the transfer process), and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

☐ **Other Local Government Level Source(s) of Funds.**

Specify: (a) the source of funds; (b) the local government entity or agency receiving funds; and, (c) the mechanism that is used to transfer the funds to the State Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (3 of 3)

c. **Information Concerning Certain Sources of Funds.** Indicate whether any of the funds listed in Items I-4-a or I-4-b that make up the non-federal share of computable waiver costs come from the following sources: (a) health care-related taxes or fees; (b) provider-related donations; and/or, (c) federal funds. *Select one*:

- (●) **None of the specified sources of funds contribute to the non-federal share of computable waiver costs**
- ( ) **The following source(s) are used**

  Check each that applies:
  - [ ] **Health care-related taxes or fees**
  - [ ] **Provider-related donations**
  - [ ] **Federal funds**

For each source of funds indicated above, describe the source of the funds in detail:

Appendix I: Financial Accountability

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

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

- ( ) **No services under this waiver are furnished in residential settings other than the private residence of the individual.**
- (●) **As specified in Appendix C, the State furnishes waiver services in residential settings other than the personal home of the individual.**

b. **Method for Excluding the Cost of Room and Board Furnished in Residential Settings.** The following describes the methodology that the State uses to exclude Medicaid payment for room and board in residential settings:

The amount of waiver services an individual is authorized to receive is based on documentation that demonstrates the adequacy and appropriateness of the services with regard to the individual's current functioning, cognitive status, health, safety and social needs. The Department of Medical Assistance Services pays providers an established rate to cover the costs of providing waiver services to the individual. Rates do not cover the costs of individuals' room and board. Providers are only permitted to bill for allowable activities described for each waiver service.

Generally, the fees collected from federal benefits (SSI, SSA, SSDI, Railroad Retirement, etc.) cover the costs of room and board for residential services. If not, providers use other sources of revenue to cover the remainder. Other revenue sources that are used include, but are not limited to:

* private pay fees;
* fees from consulting, training, and other contractual services;
* charitable sources (endowments, organization or private foundations, United Way, fundraising efforts);
* HUD 811 and Section 8 programs; or
* State General Fund and local funding.

Appendix I: Financial Accountability

I-6: Payment for Rent and Food Expenses of an Unrelated Live-In Caregiver

Reimbursement for the Rent and Food Expenses of an Unrelated Live-In Personal Caregiver. *Select one:*

- ( ) **No. The State does not reimburse for the rent and food expenses of an unrelated live-in personal caregiver who resides in the same household as the participant.**

◉ **Yes. Per 42 CFR §441.310(a)(2)(ii), the State will claim FFP for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the waiver participant. The State describes its coverage of live-in caregiver in Appendix C-3 and the costs attributable to rent and food for the live-in caregiver are reflected separately in the computation of factor D (cost of waiver services) in Appendix J. FFP for rent and food for a live-in caregiver will not be claimed when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of Medicaid services.**

The following is an explanation of: (a) the method used to apportion the additional costs of rent and food attributable to the unrelated live-in personal caregiver that are incurred by the individual served on the waiver and (b) the method used to reimburse these costs:

a) The state will make an individual-by-individual determination of the actual costs of room and board apportioned to the live-in companion up to the average Department of Housing and Urban Development (HUD) Fair Market Rent (FMR) amount in the highest rent region in "Rest of State" (ROS) (Tidewater) and in Northern Virginia (NOVA). Room and board payments to the live-in companion will include the reimbursable monthly cost of rent/mortgage, food, and internet service.*

• The room and board expenses for the live-in companion are determined to be equal, on the average, to one-half of the lesser of the HUD FMR amount of room and board paid by the individual receiving services.
• The reimbursement would incorporate statewide estimates to project costs. The reimbursement formula would include ½ the amount of monthly rent, food, and internet service, with a flat 11% administrative overhead fee provided to the provider agency. The rental reimbursement range will incorporate a maximum amount (cap) for both geographic regions Tidewater (ROS) and NOVA.
• The assistance being received by the individual from any federal benefit programs will be deducted to offset the rent amount paid by the waiver.
• The state has determined that the amount of any benefits the individual may be eligible to receive (i.e., SNAP) will be deducted from the household costs for rent, food and utilities prior to calculating costs associated with the live-in companion.
• If the lease is a related party transaction, total payment for the portion of rent attributable to the live-in companion is further limited to the landlord's actual cost of ownership.
• If the individual owns their own home and is making mortgage payments, the annual interest paid on the mortgage will be included in the rental amount.

* NOTE: Research by our subcontractor, Burns and Associates, indicated that the HUD FMR rent amounts include utility costs, so separate assumptions were removed. Internet is not included in the FMR so that assumption was built into the model.

b) The licensed coordinating agency will bill DMAS for the live-in companion's rent and food expenses and then transmit that to the individual for paying the expenses.

The enrolled provider agency will bill DMAS monthly for the live-in companion's rent and food expenses and will reimburse the waiver participant monthly for these expenses.

Documentation (e.g., copy of the actual lease/mortgage payment statement) must be submitted to service authorization staff with the request for authorization of Shared Living.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (1 of 5)

a. **Co-Payment Requirements.** Specify whether the State imposes a co-payment or similar charge upon waiver participants for waiver services. These charges are calculated per service and have the effect of reducing the total computable claim for federal financial participation. *Select one:*

◉ **No. The State does not impose a co-payment or similar charge upon participants for waiver services.**
○ **Yes. The State imposes a co-payment or similar charge upon participants for one or more waiver services.**

i. **Co-Pay Arrangement.**

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

Charges Associated with the Provision of Waiver Services *(if any are checked, complete Items I-7-a-ii through I-7-a-iv):*

☐ **Nominal deductible**
☐ **Coinsurance**
☐ **Co-Payment**
☐ **Other charge**

Specify:

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (2 of 5)

a. Co-Payment Requirements.

ii. Participants Subject to Co-pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (3 of 5)

a. Co-Payment Requirements.

iii. Amount of Co-Pay Charges for Waiver Services.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (4 of 5)

a. Co-Payment Requirements.

iv. Cumulative Maximum Charges.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (5 of 5)

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

- (●) **No. The State does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.**
- ( ) **Yes. The State imposes a premium, enrollment fee or similar cost-sharing arrangement.**

Describe in detail the cost sharing arrangement, including: (a) the type of cost sharing (e.g., premium, enrollment fee); (b) the amount of charge and how the amount of the charge is related to total gross family income; (c) the groups of participants subject to cost-sharing and the groups who are excluded; and, (d) the mechanisms for the collection of cost-sharing and reporting the amount collected on the CMS 64:

Appendix J: Cost Neutrality Demonstration

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

Composite Overview. Complete the fields in Cols. 3, 5 and 6 in the following table for each waiver year. The fields in Cols. 4, 7 and 8 are auto-calculated based on entries in Cols 3, 5, and 6. The fields in Col. 2 are auto-calculated using the Factor D data from the J-2-d Estimate of Factor D tables. Col. 2 fields will be populated ONLY when the Estimate of Factor D tables in J-2-d have been completed.

Level(s) of Care: ICF/IID

Col. 1	Col. 2	Col. 3	Col. 4	Col. 5	Col. 6	Col. 7	Col. 8
Year	Factor D	Factor D'	Total: D+D'	Factor G	Factor G'	Total: G+G'	Difference (Col 7 less Column4)
1	35084.36	12893.77	47978.13	227228.86	6709.42	233938.28	185960.15
2	35076.24	13273.95	48350.19	239408.06	6955.42	246363.48	198013.29

Col. 1	Col. 2	Col. 3	Col. 4	Col. 5	Col. 6	Col. 7	Col. 8
Year	Factor D	Factor D'	Total: D+D'	Factor G	Factor G'	Total: G+G'	Difference (Col 7 less Column4)
3	35117.55	13665.33	48782.88	252240.05	7210.45	259450.50	210667.62
4	35128.22	14068.26	49196.48	265759.83	7474.82	273234.65	224038.17
5	29704.38	14483.07	44187.45	280004.24	7748.89	287753.13	243565.68

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (1 of 9)

a. **Number Of Unduplicated Participants Served.** Enter the total number of unduplicated participants from Item B-3-a who will be served each year that the waiver is in operation. When the waiver serves individuals under more than one level of care, specify the number of unduplicated participants for each level of care:

Table: J-2-a: Unduplicated Participants

Waiver Year	Total Unduplicated Number of Participants (from Item B-3-a)	Distribution of Unduplicated Participants by Level of Care (if applicable)	
		Level of Care:	
		ICF/IID	
Year 1	2176		2176
Year 2	2983		2983
Year 3	3033		3033
Year 4	3082		3082
Year 5	3132		3132

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (2 of 9)

b. **Average Length of Stay.** Describe the basis of the estimate of the average length of stay on the waiver by participants in item J-2-a.

The State updated the average length of stay data using data from CMS 372 reports for SFY 2012 - SFY 2016.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (3 of 9)

c. **Derivation of Estimates for Each Factor.** Provide a narrative description for the derivation of the estimates of the following factors.

i. **Factor D Derivation.** The estimates of Factor D for each waiver year are located in Item J-2-d. The basis for these estimates is as follows:

The Commonwealth limits the number of participants that it serves at any point in time during a waiver year. As of July 1, 2017 (FY 2018), the budget authorized 1,762 participants to be served at any point during the year. The final budget passed by the Virginia General Assembly and signed by the Governor for FY 2019 and FY 2020 (waiver year 1 and 2) included funds to increase the number of available FIS slots by 414 in FY 2019 and 807 in FY 2020. Appendix B-3-b reflects this increase in Waiver Years 1 and 2 by assuming that the maximum number of individuals to be served in the waiver in those years will be 2,502 in FY19 and 2,983 in FY20. Because the budget does not authorize additional slots for future years, the same number of slots is assumed for FY21, FY 22, and FY23 (Waiver Years 3-5) as in FY20. In estimating the number of unduplicated participants, it was assumed that in a year where new waiver slots were brought online, 100% of them would be filled in the year. In WY3-WY5, since no new slots are assumed to be added, it is assumed that those slots are gradually filled to 105% by WY5. It is assumed that unduplicated participants would equal 105% of available slots in a year where all slots are filled, as slots may have more than one individual using the slot in the year as individuals exit and enter the waiver throughout the year.

In 2016, DBHDS analyzed FY 2014 claims data to establish baseline users and units estimates at the service level for the first 5 years of the redesigned FIS waiver. These estimates were compared against actual data on users and units from FY 2016 (final data as reported on the CMS-372 based on service date) and FY 2017 (preliminary data based on paid date). For each service where the average percent of participants utilizing specific services was higher in 2016 and 2017 than the estimates based on 2014 data, the percent was increased to reflect the actual observed percentage of participants utilizing the service in 2016 and 2017. The ratios of users to enrollment and units to user were assumed to be constant over the waiver period, except in instances in which certain policy goals are anticipated to change utilization trends. Cost information reflects the results of DBHDS' provider rate study.

When DHBDS conducted its analysis of 2014 claims, the number of individuals receiving services, the number of users of

each covered service, and the number of units used for each service were determined. For existing services the State has assumed that the ratio of users to total enrollees will remain constant, as will the number of units consumed per user. Unit costs are based on the State's fee schedule. DBHDS conducted a review of provider payment rates in 2014 and 2015. Based on the results of the review, a new fee schedule was established. The General Assembly provided funding for the implementation of the new rates, which will began July 2016.

The average cost per unit estimates are directly based on the fee schedule, accounting for estimated distributions of services in Northern Virginia and the rest of the State and other applicable factors (such as members' levels of need or group home size). Estimated distributions are based on analyses of claims data, the results of Supports Intensity Scale assessments included in a pilot study, and provider survey results.

The average cost per unit estimates for in-home residential support, community coaching, group day, and supported living also account for customized rates for these services. Customized rates are established for individuals requiring more support than assumed in the rate model to which they would otherwise be assigned. The average cost per unit for these services incorporates slightly higher rates for a limited number of individuals utilizing the specific services.

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:

Calculations and projections are updated based on historical expenditure trends and utilization patterns as reported in the CMS-372 for SFY 2012 - SFY 2016, and preliminary SFY 2017 data based on paid date. Factor D' estimates incorporate the average annual expected cost (weighted to reflect waiver proportion of children) of providing coverage of skilled nursing, private duty nursing, and assistive technology through EPSDT rather than through the waiver.

Expenditures for Part D are paid for and recorded to a unique accounting code. Payments in that accounting code were excluded from historical expenditures used to estimate Factor 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:

Calculations and projections are updated based on historical expenditure trends and utilization patterns of individuals in Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICFs/IID) as reported in the CMS-372 for SFY 2012 - SFY 2016.

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:

Calculations and projections are updated based on historical expenditure trends and utilization patterns of individuals with intellectual disability in ICFs/IID) as reported in the CMS-372 for SFY 2012 - SFY 2016. However, data from SFY 2015 was not included to determine a trend because per person expenditures in that year increased 24% over the previous year. In the following year, SFY 2016, the change in per person expenditures resumed a pattern more similar to the years preceding 2015, so it was determined that the change in per person expenditures in 2015 was an outlier and it was not included.

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (4 of 9)

Component management for waiver services. If the service(s) below includes two or more discrete services that are reimbursed separately, or is a bundled service, each component of the service must be listed. Select "*manage components*" to add these components.

Waiver Services	
Group Day Services	
In-Home Support Services	
Individual Supported Employment	
Personal Assistance Services	
Respite Services	
Services Facilitation	
Assistive Technology	
Benefits Planning	
Center-based Crisis Supports	
Community Coaching	
Community Engagement	
Community Guide	
Community-based Crisis Supports	
Companion Services	
Crisis Support Services	
Electronic Home-Based Supports	

Waiver Services	
Employment and Community Transportation	
Environmental Modifications	
Group Supported Employment	
Individual and Family/Caregiver Training	
Peer Mentor Supports	
Personal Emergency Response System (PERS)	
Private Duty Nursing	
Shared Living	
Skilled Nursing	
Supported Living Residential	
Therapeutic Consultation	
Transition Services	
Workplace Assistance	

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (5 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 1

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Group Day Services Total:						**3592694.04**
Group Day Services	hour	318	914.80	12.35	**3592694.04**	
In-Home Support Services Total:						**17772201.22**
In-Home Support Services	hour	539	1267.20	26.02	**17772201.22**	
Individual Supported Employment Total:						**1114253.25**
Individual Supported Employment	hour	131	137.50	61.86	**1114253.25**	
Personal Assistance Services Total:						**34263676.60**
CD Personal Care	service	1503	1844.80	10.07	**27921435.41**	
Personal Assistance Services	hour	253	1769.10	14.17	**6342241.19**	
Respite Services Total:						**3747304.98**
Respite Services	hour	160	174.80	14.22	**397704.96**	
CD Respite Care	hour	1256	271.30	9.83	**3349600.02**	
Services Facilitation Total:						**586246.65**
Services Facilitation	visit	1503	5.70	68.43	**586246.65**	
				GRAND TOTAL:		**76343570.74**
				Total Estimated Unduplicated Participants:		**2176**
				Factor D (Divide total by number of participants):		**35084.36**
				Average Length of Stay on the Waiver:		353

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Assistive Technology Total:						**246935.75**
Assistive Technology	service	174	1.30	1091.67	**246935.75**	
Benefits Planning Total:						**7499.10**
Benefits Planning	hour	15	14.00	35.71	**7499.10**	
Center-based Crisis Supports Total:						**43385.40**
Crisis Supervision	hour	2	206.60	26.59	**10986.99**	
Crisis Intervention	hour	4	84.60	95.74	**32398.42**	
Community Coaching Total:						**257978.50**
Community Coaching	hour	65	130.00	30.53	**257978.50**	
Community Engagement Total:						**1183066.85**
Community Engagement	hour	318	214.80	17.32	**1183066.85**	
Community Guide Total:						**81734.40**
Community Guide	unit	33	60.00	41.28	**81734.40**	
Community-based Crisis Supports Total:						**70571.60**
Crisis Intervention	hour	6	84.60	95.74	**48597.62**	
Crisis Supervision	hour	4	206.60	26.59	**21973.98**	
Companion Services Total:						**4007943.02**
Companion Services	hour	39	1350.70	14.53	**765401.17**	
CD Companion Services	hour	261	1271.60	9.77	**3242541.85**	
Crisis Support Services Total:						**113957.00**
Crisis Supervision	service	6	206.60	26.59	**32960.96**	
Crisis Intervention	service	10	84.60	95.74	**80996.04**	
Electronic Home-Based Supports Total:						**9120.00**
Electronic Home-Based Supports	service	19	12.00	40.00	**9120.00**	
Employment and Community Transportation Total:						**91636.24**
Trips under 10 miles	trip	44	19.30	9.18	**7795.66**	
Trips 10-20 miles	trip	152	19.30	18.35	**53831.56**	
Trips over 20	trip	44	19.30	30.59	**25977.03**	
		GRAND TOTAL:				**76343570.74**
		Total Estimated Unduplicated Participants:				**2176**
		Factor D (Divide total by number of participants):				**35084.36**
		Average Length of Stay on the Waiver:				353

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Public Transportation	trip	56	24.00	3.00	4032.00	
Environmental Modifications Total:						515037.60
Environmental Modifications	service	126	1.10	3716.00	515037.60	
Group Supported Employment Total:						554891.61
Group Supported Employment	hour	65	648.20	13.17	554891.61	
Individual and Family/Caregiver Training Total:						32728.13
Individual and Family/Caregiver Training	hour	12	59.20	46.07	32728.13	
Peer Mentor Supports Total:						9097.20
Peer Mentor Supports	hour	6	60.00	25.27	9097.20	
Personal Emergency Response System (PERS) Total:						35035.25
PERS Monthly	month	119	9.80	29.83	34787.75	
PERS Install	month	5	1.00	49.50	247.50	
Private Duty Nursing Total:						146185.43
Private Duty Nursing	hour	5	3067.90	9.53	146185.44	
Shared Living Total:						218905.08
Shared Living	month	19	12.00	960.11	218905.08	
Skilled Nursing Total:						86892.12
Skilled Nursing	hour	12	594.50	12.18	86892.12	
Supported Living Residential Total:						5955677.60
Supported Living Residential	unit	109	285.80	191.18	5955677.60	
Therapeutic Consultation Total:						283395.44
Therapeutic Consultation	hour	131	24.60	87.94	283395.44	
Transition Services Total:						13815.06
Transition Services	service	10	4.20	328.93	13815.06	
Workplace Assistance Total:						1301705.60
Workplace Assistance	hour	83	520.00	30.16	1301705.60	
				GRAND TOTAL:		76343570.74
				Total Estimated Unduplicated Participants:		2176
				Factor D (Divide total by number of participants):		35084.36
				Average Length of Stay on the Waiver:		353

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (6 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 2

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Group Day Services Total:						**4925832.08**
Group Day Services	unit	436	914.80	12.35	**4925832.08**	
In-Home Support Services Total:						**24366710.02**
In-Home Support Services	hour	739	1267.20	26.02	**24366710.02**	
Individual Supported Employment Total:						**1522529.25**
Individual Supported Employment	hour	179	137.50	61.86	**1522529.25**	
Personal Assistance Services Total:						**46961056.16**
CD Personal Care	hour	2061	1844.80	10.07	**38287477.30**	
Personal Assistance Services	hour	346	1769.10	14.17	**8673578.86**	
Respite Services Total:						**5136543.08**
Respite Services	hour	220	174.80	14.22	**546844.32**	
CD Respite Care	hour	1721	271.30	9.83	**4589698.76**	
Services Facilitation Total:						**803895.11**
Services Facilitation	visit	2061	5.70	68.43	**803895.11**	
Assistive Technology Total:						**339181.87**
Assistive Technology	service	239	1.30	1091.67	**339181.87**	
Benefits Planning Total:						**9998.80**
Benefits Planning	hour	20	14.00	35.71	**9998.80**	
Center-based Crisis Supports Total:						**56978.50**
Crisis Supervision	hour	3	206.60	26.59	**16480.48**	
Crisis Intervention	hour	5	84.60	95.74	**40498.02**	
Community Coaching Total:						**353232.10**
Community Coaching	hour	89	130.00	30.53	**353232.10**	
Community Engagement Total:						**1622066.50**
Community Engagement	hour	436	214.80	17.32	**1622066.50**	
Community Guide Total:						
				GRAND TOTAL:		**104632413.95**
				Total Estimated Unduplicated Participants:		**2983**
				Factor D (Divide total by number of participants):		**35076.24**
				Average Length of Stay on the Waiver:		353

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
						113932.80
Community Guide	hour	46	60.00	41.28	113932.80	
Community-based Crisis Supports Total:						100363.91
Crisis Intervention	hour	9	84.60	95.74	72896.44	
Crisis Supervision	hour	5	206.60	26.59	27467.47	
Companion Services Total:						5487785.02
Companion Services	hour	53	1350.70	14.53	1040160.56	
CD Companion Services	hour	358	1271.60	9.77	4447624.46	
Crisis Support Services Total:						162835.90
Crisis Supervision	hour	9	206.60	26.59	49441.45	
Crisis Intervention	hour	14	84.60	95.74	113394.46	
Electronic Home-Based Supports Total:						12960.00
Electronic Home-Based Supports	service	27	12.00	40.00	12960.00	
Employment and Community Transportation Total:						125616.06
Trips under 10 miles	trip	60	19.30	9.18	10630.44	
Trips 10-20 miles	trip	209	19.30	18.35	74018.40	
Trips over 20	trip	60	19.30	30.59	35423.22	
Public Transportation	trip	77	24.00	3.00	5544.00	
Environmental Modifications Total:						707154.80
Environmental Modifications	service	173	1.10	3716.00	707154.80	
Group Supported Employment Total:						759774.67
Group Supported Employment	hour	89	648.20	13.17	759774.67	
Individual and Family/Caregiver Training Total:						46364.85
Individual and Family/Caregiver Training	hour	17	59.20	46.07	46364.85	
Peer Mentor Supports Total:						12129.60
Peer Mentor Supports	hour	8	60.00	25.27	12129.60	
Personal Emergency Response System (PERS) Total:						47996.94
PERS Monthly	month	163	9.80	29.83	47650.44	
				GRAND TOTAL:		104632413.95
				Total Estimated Unduplicated Participants:		2983
				Factor D (Divide total by number of participants):		35076.24
				Average Length of Stay on the Waiver:		353

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
PERS Install	hour	7	1.00	49.50	346.50	
Private Duty Nursing Total:						204659.61
Private Duty Nursing	15 mins	7	3067.90	9.53	204659.61	
Shared Living Total:						311075.64
Shared Living	month	27	12.00	960.11	311075.64	
Skilled Nursing Total:						123097.17
Skilled Nursing	hour	17	594.50	12.18	123097.17	
Supported Living Residential Total:						8141247.36
Supported Living Residential	hour	149	285.80	191.18	8141247.36	
Therapeutic Consultation Total:						387235.00
Therapeutic Consultation	service	179	24.60	87.94	387235.00	
Transition Services Total:						17959.58
Transition Services	service	13	4.20	328.93	17959.58	
Workplace Assistance Total:						1772201.60
Workplace Assistance	hour	113	520.00	30.16	1772201.60	
				GRAND TOTAL:		104632413.95
				Total Estimated Unduplicated Participants:		2983
				Factor D (Divide total by number of participants):		35076.24
				Average Length of Stay on the Waiver:		353

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (7 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 3

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Group Day Services Total:						5004916.54
Group Day Services	unit	443	914.80	12.35	5004916.54	
In-Home Support Services Total:						24762380.54
In-Home Support Services	hour	751	1267.20	26.02	24762380.54	
Individual Supported Employment Total:						1548046.50
				GRAND TOTAL:		106511514.01
				Total Estimated Unduplicated Participants:		3033
				Factor D (Divide total by number of participants):		35117.55
				Average Length of Stay on the Waiver:		353

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Individual Supported Employment	hour	182	137.50	61.86	1548046.50	
Personal Assistance Services Total:						47743087.66
CD Personal Care	hour	2095	1844.80	10.07	38919099.92	
Personal Assistance Services	hour	352	1769.10	14.17	8823987.74	
Respite Services Total:						5221339.54
Respite Services	hour	223	174.80	14.22	554301.29	
CD Respite Care	hour	1750	271.30	9.83	4667038.25	
Services Facilitation Total:						817156.84
Services Facilitation	service	2095	5.70	68.43	817156.84	
Assistive Technology Total:						344858.55
Assistive Technology	service	243	1.30	1091.67	344858.55	
Benefits Planning Total:						9998.80
Benefits Planning	hour	20	14.00	35.71	9998.80	
Center-based Crisis Supports Total:						56978.50
Crisis Supervision	hour	3	206.60	26.59	16480.48	
Crisis Intervention	hour	5	84.60	95.74	40498.02	
Community Coaching Total:						480236.90
Community Coaching	hour	121	130.00	30.53	480236.90	
Community Engagement Total:						1648108.85
Community Engagement	hour	443	214.80	17.32	1648108.85	
Community Guide Total:						116409.60
Community Guide	hour	47	60.00	41.28	116409.60	
Community-based Crisis Supports Total:						100363.91
Crisis Intervention	hour	9	84.60	95.74	72896.44	
Crisis Supervision	hour	5	206.60	26.59	27467.47	
Companion Services Total:						5581951.88
Companion Services	hour	54	1350.70	14.53	1059786.23	
CD Companion Services	hour	364	1271.60	9.77	4522165.65	
Crisis Support Services Total:						
			GRAND TOTAL:			106511514.01
			Total Estimated Unduplicated Participants:			3033
			Factor D (Divide total by number of participants):			35117.55
			Average Length of Stay on the Waiver:			353

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
						170935.51
Crisis Supervision	hour	9	206.60	26.59	49441.45	
Crisis Intervention	hour	15	84.60	95.74	121494.06	
Electronic Home-Based Supports Total:						12960.00
Electronic Home-Based Supports	service	27	12.00	40.00	12960.00	
Employment and Community Transportation Total:						127518.08
Trips under 10 miles	trip	61	19.30	9.18	10807.61	
Trips 10-20 miles	trip	212	19.30	18.35	75080.86	
Trips over 20	trip	61	19.30	30.59	36013.61	
Public Transportation	trip	78	24.00	3.00	5616.00	
Environmental Modifications Total:						719417.60
Environmental Modifications	service	176	1.10	3716.00	719417.60	
Group Supported Employment Total:						776848.25
Group Supported Employment	hour	91	648.20	13.17	776848.25	
Individual and Family/Caregiver Training Total:						46364.85
Individual and Family/Caregiver Training	hours	17	59.20	46.07	46364.85	
Peer Mentor Supports Total:						12129.60
Peer Mentor Supports	hour	8	60.00	25.27	12129.60	
Personal Emergency Response System (PERS) Total:						48873.94
PERS Monthly	month	166	9.80	29.83	48527.44	
PERS Install	month	7	1.00	49.50	346.50	
Private Duty Nursing Total:						204659.61
Private Duty Nursing	15 mins	7	3067.90	9.53	204659.61	
Shared Living Total:						311075.64
Shared Living	month	27	12.00	960.11	311075.64	
Skilled Nursing Total:						123097.17
Skilled Nursing	15 mins	17	594.50	12.18	123097.17	
Supported Living Residential Total:						8305165.09
Supported Living Residential					8305165.09	
			GRAND TOTAL:			106511514.01
			Total Estimated Unduplicated Participants:			3033
			Factor D (Divide total by number of participants):			35117.55
			Average Length of Stay on the Waiver:			353

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	unit	152	285.80	191.18		
Therapeutic Consultation Total:						**393724.97**
Therapeutic Consultation	hour	182	24.60	87.94	**393724.97**	
Transition Services Total:						**19341.08**
Transition Services	service	14	4.20	328.93	**19341.08**	
Workplace Assistance Total:						**1803568.00**
Workplace Assistance	hour	115	520.00	30.16	**1803568.00**	
				GRAND TOTAL:		**106511514.01**
				Total Estimated Unduplicated Participants:		**3033**
				Factor D (Divide total by number of participants):		**35117.55**
				Average Length of Stay on the Waiver:		353

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (8 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 4

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Group Day Services Total:						**5095298.78**
Group Day Services	hour	451	914.80	12.35	**5095298.78**	
In-Home Support Services Total:						**25191023.62**
In-Home Support Services	hour	764	1267.20	26.02	**25191023.62**	
Individual Supported Employment Total:						**1573563.75**
Individual Supported Employment	hour	185	137.50	61.86	**1573563.75**	
Personal Assistance Services Total:						**48525119.17**
CD Personal Care	hour	2129	1844.80	10.07	**39550722.54**	
Personal Assistance Services	hour	358	1769.10	14.17	**8974396.63**	
Respite Services Total:						**5305954.77**
Respite Services	hour	227	174.80	14.22	**564243.91**	
CD Respite Care	hour	1778	271.30	9.83	**4741710.86**	
Services Facilitation Total:						
				GRAND TOTAL:		**108265177.59**
				Total Estimated Unduplicated Participants:		**3082**
				Factor D (Divide total by number of participants):		**35128.22**
				Average Length of Stay on the Waiver:		353

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
						830418.58
Services Facilitation	service	2129	5.70	68.43	830418.58	
Assistive Technology Total:						350535.24
Assistive Technology	service	247	1.30	1091.67	350535.24	
Benefits Planning Total:						10498.74
Benefits Planning	hour	21	14.00	35.71	10498.74	
Center-based Crisis Supports Total:						65078.11
Crisis Supervision	hour	3	206.60	26.59	16480.48	
Crisis Intervention	hour	6	84.60	95.74	48597.62	
Community Coaching Total:						488174.70
Community Coaching	hour	123	130.00	30.53	488174.70	
Community Engagement Total:						1677871.54
Community Engagement	hour	451	214.80	17.32	1677871.54	
Community Guide Total:						116409.60
Community Guide	hour	47	60.00	41.28	116409.60	
Community-based Crisis Supports Total:						100363.91
Crisis Intervention	hour	9	84.60	95.74	72896.44	
Crisis Supervision	hour	5	206.60	26.59	27467.47	
Companion Services Total:						5676118.75
Companion Services	hour	55	1350.70	14.53	1079411.90	
CD Companion Services	hour	370	1271.60	9.77	4596706.84	
Crisis Support Services Total:						170935.51
Crisis Supervision	hour	9	206.60	26.59	49441.45	
Crisis Intervention	hour	15	84.60	95.74	121494.06	
Electronic Home-Based Supports Total:						13440.00
Electronic Home-Based Supports	service	28	12.00	40.00	13440.00	
Employment and Community Transportation Total:						129774.26
Trips under 10 miles	trip	62	19.30	9.18	10984.79	
Trips 10-20 miles					76497.48	
				GRAND TOTAL:		108265177.59
				Total Estimated Unduplicated Participants:		3082
				Factor D (Divide total by number of participants):		35128.22
				Average Length of Stay on the Waiver:		353

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	trip	216	19.30	18.35		
Trips over 20	trip	62	19.30	30.59	36603.99	
Public Transportation	trip	79	24.00	3.00	5688.00	
Environmental Modifications Total:						731680.40
Environmental Modifications	service	179	1.10	3716.00	731680.40	
Group Supported Employment Total:						785385.05
Group Supported Employment	hour	92	648.20	13.17	785385.05	
Individual and Family/Caregiver Training Total:						46364.85
Individual and Family/Caregiver Training	hours	17	59.20	46.07	46364.85	
Peer Mentor Supports Total:						12129.60
Peer Mentor Supports	hour	8	60.00	25.27	12129.60	
Personal Emergency Response System (PERS) Total:						49750.95
PERS Monthly	service	169	9.80	29.83	49404.45	
PERS Install	initial installation	7	1.00	49.50	346.50	
Private Duty Nursing Total:						204659.61
Private Duty Nursing	hour	7	3067.90	9.53	204659.61	
Shared Living Total:						322596.96
Shared Living	hour	28	12.00	960.11	322596.96	
Skilled Nursing Total:						123097.17
Skilled Nursing	one quarter hour	17	594.50	12.18	123097.17	
Supported Living Residential Total:						8414443.58
Supported Living Residential	unit	154	285.80	191.18	8414443.58	
Therapeutic Consultation Total:						400214.94
Therapeutic Consultation	hour	185	24.60	87.94	400214.94	
Transition Services Total:						19341.08
Transition Services	service	14	4.20	328.93	19341.08	
Workplace Assistance Total:						1834934.40
Workplace Assistance	hour	117	520.00	30.16	1834934.40	
				GRAND TOTAL:		108265177.59
				Total Estimated Unduplicated Participants:		3082
				Factor D (Divide total by number of participants):		35128.22
				Average Length of Stay on the Waiver:		353

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (9 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 5

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Group Day Services Total:						**5174383.24**
Group Day Services	hour	458	914.80	12.35	**5174383.24**	
In-Home Support Services Total:						**8578361.31**
In-Home Support Services	month	157	285.80	191.18	**8578361.31**	
Individual Supported Employment Total:						**1599081.00**
Individual Supported Employment	hour	188	137.50	61.86	**1599081.00**	
Personal Assistance Services Total:						**49325727.81**
CD Personal Care	hour	2164	1844.80	10.07	**40200922.30**	
Personal Assistance Services	hour	364	1769.10	14.17	**9124805.51**	
Respite Services Total:						**5393236.89**
Respite Services	hour	231	174.80	14.22	**574186.54**	
CD Respite Care	hour	1807	271.30	9.83	**4819050.35**	
Services Facilitation Total:						**844070.36**
Services Facilitation	service	2164	5.70	68.43	**844070.36**	
Assistive Technology Total:						**356211.92**
Assistive Technology	service	251	1.30	1091.67	**356211.92**	
Benefits Planning Total:						**10498.74**
Benefits Planning	hour	21	14.00	35.71	**10498.74**	
Center-based Crisis Supports Total:						**65078.11**
Crisis Supervision	hour	3	206.60	26.59	**16480.48**	
Crisis Intervention	hour	6	84.60	95.74	**48597.62**	
Community Coaching Total:						**496112.50**
Community Coaching	hour		130.00	30.53	**496112.50**	
				GRAND TOTAL:		**93034122.71**
				Total Estimated Unduplicated Participants:		**3132**
				Factor D (Divide total by number of participants):		**29704.38**
				Average Length of Stay on the Waiver:		353

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
		125				
Community Engagement Total:						**1703913.89**
Community Engagement	service	458	214.80	17.32	**1703913.89**	
Community Guide Total:						**118886.40**
Community Guide	hour	48	60.00	41.28	**118886.40**	
Community-based Crisis Supports Total:						**105857.40**
Crisis Intervention	hour	9	84.60	95.74	**72896.44**	
Crisis Supervision	hour	6	206.60	26.59	**32960.96**	
Companion Services Total:						**5770285.61**
Companion Services	hour	56	1350.70	14.53	**1099037.58**	
CD Companion Services	hour	376	1271.60	9.77	**4671248.03**	
Crisis Support Services Total:						**170935.51**
Crisis Supervision	hour	9	206.60	26.59	**49441.45**	
Crisis Intervention	hour	15	84.60	95.74	**121494.06**	
Electronic Home-Based Supports Total:						**13440.00**
Electronic Home-Based Supports	month	28	12.00	40.00	**13440.00**	
Employment and Community Transportation Total:						**131748.29**
Trips under 10 miles	trip	63	19.30	9.18	**11161.96**	
Trips 10-20 miles	trip	219	19.30	18.35	**77559.94**	
Trips over 20	trip	63	19.30	30.59	**37194.38**	
Public Transportation	trip	81	24.00	3.00	**5832.00**	
Environmental Modifications Total:						**743943.20**
Environmental Modifications	service	182	1.10	3716.00	**743943.20**	
Group Supported Employment Total:						**802458.64**
Group Supported Employment	hour	94	648.20	13.17	**802458.64**	
Individual and Family/Caregiver Training Total:						**46364.85**
Individual and Family/Caregiver Training	hours	17	59.20	46.07	**46364.85**	
Peer Mentor Supports Total:						**12129.60**
Peer Mentor Supports					**12129.60**	
			GRAND TOTAL:			**93034122.71**
			Total Estimated Unduplicated Participants:			**3132**
			Factor D (Divide total by number of participants):			**29704.38**
			Average Length of Stay on the Waiver:			353

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
	hour	8	60.00	25.27		
Personal Emergency Response System (PERS) Total:						**50335.61**
PERS Monthly	initial installation	171	9.80	29.83	**49989.11**	
PERS Install	initial installation	7	1.00	49.50	**346.50**	
Private Duty Nursing Total:						**204659.61**
Private Duty Nursing	15 mins	7	3067.90	9.53	**204659.61**	
Shared Living Total:						**322596.96**
Shared Living	month	28	12.00	960.11	**322596.96**	
Skilled Nursing Total:						**123097.17**
Skilled Nursing	15 mins	17	594.50	12.18	**123097.17**	
Supported Living Residential Total:						**8578361.31**
Supported Living Residential	month	157	285.80	191.18	**8578361.31**	
Therapeutic Consultation Total:						**406704.91**
Therapeutic Consultation	unit	188	24.60	87.94	**406704.91**	
Transition Services Total:						**19341.08**
Transition Services	service	14	4.20	328.93	**19341.08**	
Workplace Assistance Total:						**1866300.80**
Workplace Assistance	hour	119	520.00	30.16	**1866300.80**	
				GRAND TOTAL:		**93034122.71**
				Total Estimated Unduplicated Participants:		**3132**
				Factor D (Divide total by number of participants):		**29704.38**
				Average Length of Stay on the Waiver:		353