

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

PURPOSE OF THE HCBS WAIVER PROGRAM

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

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

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

1. Major Changes

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

1. The age for eligibility has been lowered to three (3) years of age.
2. The eligibility criteria has been expanded allowing the combination of deficit areas on the Pre-Admission Screen (PAS) from 13 to 17
3. The medical diagnosis of "anoxia" due to near drowning was added to the TBIW definition.
4. The eligibility process was changed by requiring the determination of financial eligibility before medical eligibility.
5. A cap of of 3,600 miles a year (300 miles average per month) was placed on the transportation service.
6. The service Cognitive Rehabilitation Therapy was removed.
7. WV Licensed Physician's Assistants and an Advanced Practice Registered Nurse Practitioners have been added as approved providers to complete and sign the Medical Necessity Evaluation Request.
8. Participant-Directed Goods and Services (PDGS) have been removed as an approved service.
9. The requirement for the WV Protective Record Services check for employees having direct contact with the person receiving services has been removed.
10. Added Transportation as a stand alone service.

Detailed information about these changes is located in Section Main-8-A-Attachment 1.

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

1. Request Information (1 of 3)

- A. The **State of West 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*):

Traumatic Brain Injury (TBI) Waiver**C. Type of Request: renewal**

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

3 years 5 years

Waiver Number: WV.0876.R01.00

Draft ID: WV.008.01.00

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

Regular Waiver

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

07/01/15

Approved Effective Date: 07/22/15

1. Request Information (2 of 3)

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

 Hospital

Select applicable level of care

 Hospital as defined in 42 CFR §440.10

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

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

Select applicable level of care

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

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

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

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

1. Request Information (3 of 3)

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

Select one:

 Not applicable **Applicable**

Check the applicable authority or authorities:

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

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

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

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

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

Specify the nature of the State Plan benefit and indicate whether the State Plan Amendment has been submitted or previously approved:

- A program authorized under §1915(i) of the Act.
- A program authorized under §1915(j) of the Act.
- A program authorized under §1115 of the Act.

Specify the program:

H. Dual Eligibility for Medicaid and Medicare.

Check if applicable:

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

2. Brief Waiver Description

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

The purpose of the Traumatic Brain Injury Waiver (TBIW) is to provide home and community-based services to West Virginia residents who are both medically and financially eligible to participate in the program. Applicants must also be at least three (3) years of age, if under the age of 18 years of age, the parent or legal guardian will choose home and community-based services rather than nursing home placement. If over the age of 18, the applicant or their legal guardian, if applicable, will choose home and community-based services rather than nursing home placement. The purpose of the TBI Waiver is to prevent unnecessary institutionalization by providing cost-effective services in a person's home and community. The goals and objectives of this program are focused on providing services that are person-centered and promote choice, independence, participant-direction, respect, dignity and community integration.

The Bureau for Medical Services (BMS) contracts with a Utilization Management Contractor (UMC) to implement the administrative functions related to the operations of the Waiver. The UMC also assesses medical eligibility for program applicants, as well as, conducts annual re-evaluations for those receiving Waiver services. The UMC also authorizes TBI services for eligible people. The UMC also completes initial and continuing Provider certifications.

BMS contracts with a claims processing entity to process claims and with a sole Government sub-agent Fiscal Employer Agent (F/EA) Financial Management Services (FMS), hereafter referred to as Personal Options, to support people on the Waiver who choose to direct their own services through the participant-directed model within the TBI Waiver.

Individualized annual budgets are established for each person on the TBIW based upon their assessed needs as documented on their person-centered Service Plan.

People on the TBIW have free choice of qualified providers for all Waiver services and can choose one of two service delivery models - Traditional or Personal Options. People choosing the Traditional Model receive their services from certified and enrolled TBI Waiver providers. The services they can access include Personal Attendant Services, Case Management, and Transportation. People who choose the Personal Options may use their participant-directed budget to hire employees of their choice to provide Personal Attendant Services and Transportation> People who choose Personal Options must access Case Management services from a certified TBWW Case Management Agency.

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 inpatients of a hospital, nursing facility or ICF/IID.
- C. Room and Board.** In accordance with 42 CFR §441.310(a)(2), FFP is not claimed for the cost of room and board except when: (a) provided as part of respite services in a facility approved by the State that is not a private residence or (b) claimed as a portion of the rent and food that may be reasonably attributed to an unrelated caregiver who resides in the same household as the participant, as provided in **Appendix I**.
- D. Access to Services.** The State does not limit or restrict participant access to waiver services except as provided in **Appendix C**.
- E. Free Choice of Provider.** In accordance with 42 CFR §431.151, a participant may select any willing and qualified provider to furnish waiver services included in the service plan unless the State has received approval to limit the number of providers under the provisions of §1915(b) or another provision of the Act.
- F. FFP Limitation.** In accordance with 42 CFR §433 Subpart D, FFP is not claimed for services when another third-party

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

- G. Fair Hearing:** The State provides the opportunity to request a Fair Hearing under 42 CFR §431 Subpart E, to individuals: (a) who are not given the choice of home and community-based waiver services as an alternative to institutional level of care specified for this waiver; (b) who are denied the service(s) of their choice or the provider(s) of their choice; or (c) whose services are denied, suspended, reduced or terminated. **Appendix F** specifies the State's procedures to provide individuals the opportunity to request a Fair Hearing, including providing notice of action as required in 42 CFR §431.210.
- H. Quality Improvement.** The State operates a formal, comprehensive system to ensure that the waiver meets the assurances and other requirements contained in this application. Through an ongoing process of discovery, remediation and improvement, the State assures the health and welfare of participants by monitoring: (a) level of care determinations; (b) individual plans and services delivery; (c) provider qualifications; (d) participant health and welfare; (e) financial oversight and (f) administrative oversight of the waiver. The State further assures that all problems identified through its discovery processes are addressed in an appropriate and timely manner, consistent with the severity and nature of the problem. During the period that the waiver is in effect, the State will implement the Quality Improvement Strategy specified in **Appendix H**.
- I. Public Input.** Describe how the State secures public input into the development of the waiver:
BMS solicited input from stakeholders in the development of this application prior to the renewal. BMS published a notice in the two main WV state-wide newspapers, the Charleston Gazette and the CHarleston Daily Mail on 3/18/15. BMS also published the draft application on the BMS website for 30 days of public comment as well as sending notifications to each TBIW provider along with a request to notify their members that a copy of the draft application was posted on the website and that a copy was available at each provider's office for review. The notification in the newspaper, on the website and in the provider's notice indicated that if the member did not have internet availability or needed an alternative format to contact BMS and a contact phone number was provided. BMS conducted a total of eight public forums were held in four locations along with a webinar in the spring of 2014 to gather public input from individuals, providers and other stakeholders. The TBIW Quality Improvement Council met quarterly since 2011 to work on issues pertinent to the development of this application. A draft of this application was also posted for public comment on the BMS website from March 16, 2015 to April 17, 2015.
- 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:

Nisbet

First Name:

Patricia

Title:

Director of Home and Community-Based Services

Agency:

Bureau for Medical Services

Address:
Address 2:
City:
State: **West Virginia**
Zip:
Phone: **Ext:** **TTY**
Fax:
E-mail:

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

Last Name:
First Name:
Title:
Agency:
Address:
Address 2:
City:
State: **West Virginia**
Zip:
Phone: **Ext:** **TTY**
Fax:
E-mail:

8. Authorizing Signature

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

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

Signature:

State Medicaid Director or Designee
Submission Date:

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

Last Name:
First Name:
Title:
Agency:
Address:
Address 2:
City:
State: **West Virginia**
Zip:
Phone: **Ext:** **TTY**
Fax:
E-mail:

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:

1. The age for eligibility has been lowered to three (3) years of age.
 - This is a new eligibility standard and more people will qualify for this program. The state will provide training and support to the QIA Council and then to current and potential providers regarding children's services. No one will be adversely affected by this new requirement. BMS wanted to allow for services for those who were age three and above to expand

capacity. Individuals under the age of three can access services through West Virginia's Birth to Three Program if they qualify.

2. The eligibility criteria has been expanded allowing the combination of deficit areas on the Pre-Admission Screen (PAS) from 13 to 17.

- The same Pre-Admission Screen (PAS) which requires five deficits to determine nursing home level of care will be used, but the combination of deficit areas has been expanded from 13 to 17. These areas of deficits already existed on the PAS but were not counted towards eligibility. The additional areas more accurately capture areas of deficit commonly displayed by people with a TBI diagnosis. The purpose is to increase applicant eligibility/re-determination for the TBIW program. Training will be provided to the UMC staff that conduct the eligibility/re-determination PAS assessment on counting the additional areas. No one will be adversely affected by this new requirement.

3. The medical diagnosis of "anoxia" due to near drowning was added to the definition of a TBI for the TBIW.

- The purpose of this change is to match the WV State Code and to increase the enrollment of the TBIW program. Training will be provided to the Utilization Management Contractor (UMC) staff who determines TBIW program eligibility and the new criteria. No one will be adversely affected by this new requirement.

4. The eligibility process was changed by requiring the determination of financial eligibility before medical eligibility.

- The purpose was to streamline the eligibility process by requiring the determination of financial eligibility before medical eligibility. This will be a cost saving measure for the state and will proactively deter a Managed Enrollment List (MEL) situation as with the other 2 HCBS waivers in the state. Training will be provided to the UMC regarding this change in the eligibility process and related letters will be edited to reflect the change. Anyone who applies for this program and is not found to be financially eligible will be offered Medicaid Fair Hearing rights by the local DHHR at point of application.

5. A cap of of 3,600 miles a year (300 miles average per month) was placed on the transportation service.

- The Non-Emergency Medical Transportation program is available for people that need more mileage to attend medical appointments. Training will be provided to the UMC and TBIW Providers regarding this change. Historical claims showed that the majority of program members did not access greater than 3,600 miles per year. The limit was instituted in order to avoid/prevent fraud, waste, and abuse. West Virginia also has contracted with a vendor to process and manage non-emergency medical transportation which can and would be used for all transportation to medical and other Medicaid appointments.

6. The service Cognitive Rehabilitation Therapy was removed.

- This service has not been utilized. It has been very difficult to keep CRT Therapists enrolled because of the lack of use of the service. People can still obtain this type of therapy under the current State Plan services through Occupation, Physical and Speech/Language Therapists. Training will be provided to Providers regarding this change. Anyone who feels they have been adversely affected by this reduction may request a Medicaid Fair Hearing.

7. WV Licensed Physician's Assistants and an Advanced Practice Registered Nurse Practitioners have been added as approved providers to complete and sign the Medical Necessity Evaluation Request.

- This will allow easier access for people to get the MNER application filled out and to get initial and re-evaluation forms completed quicker. Training will be provided to the UMC and Providers regarding this change. No one will be adversely affected by this change.

8. Participant-Directed Goods and Services (PDGS) have been removed as an approved service.

- This was recommended during the focus groups conducted with people currently receiving services and TBIW providers. The Traditional model does not offer a means for people to obtain a comparable services and it was stated many times that it was unfair that a comparable service was not available through the Traditional Model. Those who have not previously chosen to self-direct their services will not be impacted. For those who have accessed this service through self-direction in the past, the TBI Funds for You program can accommodate needs as previously provided through the service. All members have a Case Manager to assist them with arranging for needed resources.

9. The requirement for the WV Protective Record Services Check (WVPRSC) for employees having direct contact with the person receiving services has been removed.

- The current WV system regarding WVPRSC is not automated and involves a lengthy search, frequently resulting in erroneous reports. Agency providers will still be encouraged to utilize this system and consider the results but it is no longer mandatory. The WV CARES program will conduct monthly checks on all staff/employees having direct access to persons receiving services. These monthly checks will, at minimum, include the OIG LEIE, the WV Medicaid Exclusion List, the WV Nurse Aid Registry and the System Award Management (SAM) data base. Additionally, TBIW providers can still have this check run at no cost and the person/legal representative may request that the TBIW providers or Personal Options conduct this check also

10. Added Transportation as a stand alone service.
- This was done to allow better tracking of this service.

NOTE: Case Managers and/or Resource consultants will inform people on the TBIW of service changes that go into effect with this application. The application and then the new policy and procedure manual are posted for 30 days for public comment before implementation of the new policy.

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.

Transition Plan- Traumatic Brain Injury Waiver
WV can attest that:

West Virginia assures that the settings transition plan included with this waiver renewal 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

People utilizing TBIW services reside in their own homes or in their family homes and not in institutions; the states presumes that these settings meet the requirements of home and community-based settings.

People utilizing TBIW services receive these services in their home or in the community.

Staff of the UMC assess each applicant in their home, in-patient facilities, e.g. hospital, rehabilitation units, nursing homes, etc. for purposes of completing the initial medical eligibility determination and can verify that people using TBIW services reside in their own homes or in their natural family homes.

Staff of the UMC assess each person enrolled in the TBIW annually for purposes of completing the annual re-determination of medical eligibility and can verify that the person receiving TBIW services resides in their own home or in their natural family home.

ASSESSMENT

Compliance Area: General

Action Item: Conduct a review of West Virginia regulations and supporting documents across the 3 waiver programs with residential and non-residential settings.

Start Date: 10/20/14

End Date: 11/10/14

Responsible Person: Bureau for Medical Services

Compliance Area: General

Action Item: Develop and conduct a provider self-assessment survey across all three waivers; residential and non-residential via web and mail, mandatory for all providers to complete. Perform analyses of survey responses.

Start Date: 10/20/14

End Date: 6/30/15

Responsible Person: Bureau for Medical Services

Compliance Area: General

Action Item: Develop a survey for individuals and families to provide input on settings by type and location; residential and non-residential via web and mail. Perform analyses of survey responses.

Start Date: 10/20/14

End Date: 12/30/15

Responsible Person: Bureau for Medical Services

Compliance Area: General

Action Item: Prepare a list of settings that meet the residential and non-residential requirements, those that do not meet the residential and non-residential requirements, may meet the requirements with changes, and settings West Virginia chooses to submit under CMS heightened scrutiny. The list will be distributed to provider agencies and posted to the website.

Start Date: 10/24/14

End Date: 12/30/15

Responsible Person: Bureau for Medical Services

Compliance Area: General

Action Item: Post findings from the review of Action Item 1 and aggregate survey results to the website

Start Date: 2/1/15

End Date: 12/30/15

Responsible Person: Bureau for Medical Services

REMEDIAL ACTIONS:

Compliance Area: Provider Remediation - Residential

Action Item: Incorporate the outcomes of the assessment of settings within existing licensure and certification processes to identify existing settings as well as potential new settings in development that may not meet the requirements of the rule.

Start Date: 1/2/16

End Date: 6/30/16

Responsible Person: Bureau for Medical Services with assistance from individual Waiver Quality Councils

Compliance Area: Outreach and Education

Action Item: Provide training to licensure/certification staff, individuals and family members on new settings requirements.

Start Date: 7/1/15

End Date: 6/30/20

Responsible Person: Bureau for Medical Services and the appropriate Waiver's Administrative Services Organization (ASO)

Compliance Area: Provider Remediation

Action Item: Strengthen enrollment and re-enrollment procedures to identify settings that may have indicators of non-compliance and require more thorough review.

Start Date: 10/20/14

End Date: 6/30/20

Responsible Person: Bureau for Medical Services and the appropriate Waiver's Administrative Services Organization (ASO)

Compliance Area: Outreach and Education

Action Item: Conduct a webinar series to highlight the settings requirements (residential, non-residential including principles of person-centered planning). Post webinar archives on BMS website.

Start Date: 7/1/15

End Date: 6/30/20

Responsible Person: Bureau for Medical Services, appropriate Waiver QIA and ASO

Compliance Area: Outreach and Education

Action Item: Provide strategic technical assistance by issuing fact sheets, FAQ's and responding to questions related to the implementation of the transition plan (action steps, timelines, and available technical assistance).

Start Date: 7/1/15

End Date: 6/30/20

Responsible Person: Bureau for Medical Services, appropriate Waiver QIA and ASO

Compliance Area: Outreach and Education

Action Item: Provide training to enrollment staff to heighten scrutiny of new providers/facilities.

Start Date: 7/1/15

End Date: 6/30/20

Responsible Person: Bureau for Medical Services, appropriate Waiver ASO and Office of Health Facility and Licensure (OHFLAC), if applicable

Compliance Area: Outreach and Education

Action Item: Develop and include ongoing provider training on rights, protections, person-centered thinking, and community inclusion.

Start Date: 7/1/15

End Date: 6/30/20

Responsible Person: Bureau for Medical Services, appropriate Waiver QIA and ASO

Compliance Area: Outreach and Education

Action Item: Provide training to quality improvement system on new settings outcomes measures.

Start Date: 7/1/15

End Date: 6/30/20

Responsible Person: Bureau for Medical Services, appropriate Waiver QIA and ASO

Compliance Area: Outreach and Education

Action Item: Update applicable Member Handbooks to strengthen person centered HCBS requirements

Start Date: 7/1/15

End Date: 6/30/20

Responsible Person: Bureau for Medical Services, appropriate Waiver QIA and ASO

Compliance Area: Quality

Action Item: Quality Measures

a. Develop or revise on-site monitoring tools to meet compliance (e.g. opportunities for “informed” choice, choice of roommate and setting, freedom from coercion).

b. Include outcomes measures on settings within the current 1915c waiver quality improvement system.

c. Build community character indicators within the 6 CMS Quality Assurances reviewed through the provider self-review process.

Start Date: 7/1/15

End Date: 6/30/20

Responsible Person: Bureau for Medical Services, appropriate Waiver QIA and ASO

Compliance Area: Quality

Action Item: Expand upon the QIA council to include responsibility to monitor data associated with meeting transition plan action items and outcomes data. Establish a baseline of outcomes data and measure throughout transition plan implementation.

Start Date: 7/1/15

End Date: 6/30/20

Responsible Person: Bureau for Medical Services, appropriate Waiver QIA and ASO

Compliance Area: Quality

Action Item: Crosswalk quality assurance tools against settings characteristics and person-centered planning requirements to identify areas of potential enhancement to the quality improvement system.

Start Date: 7/1/15

End Date: 6/30/20

Responsible Person: Bureau for Medical Services, appropriate Waiver QIA and ASO

PUBLIC INPUT, STAKEHOLDER ENGAGEMENT and OVERSIGHT

Compliance Area: Oversight

Action Item: Convene a subcommittee across the WV Bureau for Medical Services to monitor the implementation of the transition plan.

Start Date: 10/20/14

End Date: 6/30/20

Responsible Person: Bureau for Medical Services

Compliance Area: Oversight

Action Item: Develop a communication strategy to manage the public input required by the rule as well as ongoing communication on the implementation of the transition plan. Adapt the strategy to different audiences including state legislators

Start Date: 10/20/14

End Date: 6/30/20

Responsible Person: Bureau for Medical Services

Compliance Area: Stakeholder Engagement

Action Item: Reach out to providers and provider associations to increase the understanding of the rule and maintain open lines of communication.

Start Date: 10/20/14

End Date: 6/30/20

Responsible Person: Bureau for Medical Services and other stakeholder associations

Compliance Area: Stakeholder Engagement

Action Item: Reach out to individuals, families and organizations representing these groups to increase the understanding of the rule and maintain open lines of communication.

Start Date: 10/20/14

End Date: 6/30/20

Responsible Person: Bureau for Medical Services and other stakeholder associations

Compliance Area: Stakeholder Engagement

Action Item: Create a space on an existing state website to post materials related to settings and person-centered planning.

Start Date: 10/20/14

End Date: 6/30/20

Responsible Person: Bureau for Medical Services

Compliance Area: Stakeholder Engagement

Action Item: Develop and issue required public notices. Collect comments and summarize for incorporation in the transition plan and within communication tools (e.g. FAQs).

Start Date: 10/20/14

End Date: 6/30/20

Responsible Person: Bureau for Medical Services

Compliance Area: Stakeholder Engagement

Action Item: Convene a cross-disability workgroup to identify solutions for compliance that represents all stakeholders including individuals, families, advocates and providers, among others.

Start Date: 6/1/15

End Date: 6/30/20

Responsible Person: Bureau for Medical Services

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

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:

Bureau for Medical Services

(Do not complete item A-2)

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

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

(Complete item A-2-a).

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

Specify the division/unit name:

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

Appendix A: Waiver Administration and Operation

2. Oversight of Performance.

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

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

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

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

Appendix A: Waiver Administration and Operation

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

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

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

BMS contracts with the following entities to perform operational and administrative functions as follows:

1. Operating Agency Overview and Functions:

1. Individual waiver enrollment
 2. Qualified provider enrollment and continuing certification
 3. Provider monitoring reviews (assessments, service plans, plan of care, employee qualifications, etc.)
 4. Quality assurance and quality improvement activities and data reporting
2. Utilization Management Contractor (UMC) Overview and Functions:
1. Level of Care evaluation/re-evaluations
 2. Prior authorization of Waiver services
 3. Data Reporting
 4. Management of the Managed Enrollment List (wait list) database
3. Claims Processing Entity Overview and Functions:
1. Pay provider claims in accordance with BMS guidelines and as prior authorized by the UMC;
 2. Provider education and technical assistance pertinent to claims; and
 3. Enrollment of qualified providers as directed by BMS.
 4. Data reporting
4. Government Fiscal Employer/Agent (F/EA) (Personal Options) Overview and Functions:
1. Assist those who Self-Direct to exercise their budget authority;
 2. Act as a neutral bank, receiving and disbursing public funds, tracking and reporting on the person's budget funds (received, disbursed and any balances);
 3. Assists in person exercising employer authority;
 4. Assures persons' workers meet employment requirements including citizenship or legal alien status as specified on the BCIS Form I-9;
 5. Process support worker's timesheets and transportation invoices;
 6. Operate a payroll service, (including withholding taxes from workers' pay, filing and paying Federal (e.g., income tax withholding, FICA and FUTA), state (e.g., income tax withholding and SUTA), and, when applicable, local employment taxes, and garnishments);
 7. Distribute payroll checks on the person's behalf;
 8. Executing provider agreements on behalf of the Medicaid agency;
 9. Provide orientation/skills training to persons about their responsibilities when they function as the common law employer of their Personal Attendant Professionals; and
 10. Provide ongoing information and assistance to person and/or their legal/non-legal representative.
- No. Contracted entities do not perform waiver operational and administrative functions on behalf of the Medicaid agency and/or the operating agency (if applicable).**

Appendix A: Waiver Administration and Operation

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

Not applicable

Applicable - Local/regional non-state agencies perform waiver operational and administrative functions.

Check each that applies:

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

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

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

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

Appendix A: Waiver Administration and Operation

- 5. Responsibility for Assessment of Performance of Contracted and/or Local/Regional Non-State Entities.** Specify the state agency or agencies responsible for assessing the performance of contracted and/or local/regional non-state entities in conducting waiver operational and administrative functions:
The West Virginia Department of Health and Human Resources Bureau for Medical Services (BMS) is responsible for assessing the performance of contracted entities with delegated Waiver operations and administrative functions.

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:
BMS conducts monthly contractual oversight meetings with the UMC and the Personal Options vendor. During these monthly meetings performance measures for each contractor are reviewed and any issues/concerns are identified and addressed.

The quality management data collected through discovery methods is compiled using the Quality Management Report Template and reviewed at least monthly by BMS at the contract meetings. The Quality Management Report is also compiled and reviewed quarterly by the TBIW Quality Improvement Advisory Council. A comprehensive report summarizing the findings of provider reviews is compiled at the end of each review cycle, reviewed and analyzed by Waiver staff and presented to the QIA Council for its review and analysis.

Reports:

BMS management staff will receive and review the following contract reports:

- (1) TBIW Quality Management Report on delegated functions and ad hoc reports as requested.
- (2) Personal Options Vendor Monthly Report on delegated functions and ad hoc reports as requested.
- (3) Claims Processing Vendor routine reports on claims data and ad hoc reports as requested.

Appendix A: Waiver Administration and Operation

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

Function	Medicaid Agency	Contracted Entity
Participant waiver enrollment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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

Appendix A: Waiver Administration and Operation

Quality Improvement: Administrative Authority of the Single State Medicaid Agency

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

a. Methods for Discovery: Administrative Authority

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

i. Performance Measures

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

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

Where possible, include numerator/denominator.

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

Performance Measure:

Percent of requests for prior authorizations responded to within established timelines
 Numerator= Number of requests for prior authorization responded to within established timelines. Denominator = Number of requests for prior authorizations.

Data Source (Select one):

Reports to State Medicaid Agency on delegated Administrative functions

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

Performance Measure:

Percent of written complaints followed up by the UMC within established timelines
 Numerator= Number of written complaints followed up on by the UMC within established timelines. Denominator = Number of written complaints submitted to the

UMC.

Data Source (Select one):

Reports to State Medicaid Agency on delegated Administrative functions

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

Percent of satisfaction surveys pertaining to UMC functions rated 80% or higher.
Numerator= Number of satisfaction surveys pertaining to UMC functions rated 80% or higher. Denominator = Number of satisfaction surveys submitted.

Data Source (Select one):

Analyzed collected data (including surveys, focus group, interviews, etc)

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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Performance Measure:

Percent of on-site provider reviews conducted within established timelines Numerator= Number of on-site Provider reviews conducted with established timelines Denominator = Number of Provider reviews conducted

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input style="width: 100%;" type="text"/>

Performance Measure:

Percent of required monthly reports provided by the contracted entities to BMS by the due date. Numerator: The number of required monthly reports provided to BMS by the due date Denominator: The number of required monthly reports

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

<input checked="" type="checkbox"/> Other Specify: UMC	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input style="width: 100%;" type="text"/>

Performance Measure:
Percent of provider agencies who met continuing certification standards. Numerator-
Number of provider agencies who met continuing certification standards annually.
Denominator-Number of provider agencies.

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

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

Data Aggregation and Analysis:

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

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

Performance Measure:
Percent of providers that submitted the validation review within timeline. Numerator-
Number of providers that submitted the validation review within timeline Denominator-
Number of providers whose validation review was due

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

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

Data Aggregation and Analysis:

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

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

b. Methods for Remediation/Fixing Individual Problems

- i. Describe the State’s method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the State to document these items.
The UMC is required to submit a number of regular reports to the Bureau for Medical Services (BMS). BMS utilizes these reports to monitor delegated administrative functions. Any individual issues or concerns that are identified via these reports are addressed directly with individual contractors during monthly contract oversight meetings. Strategies to remedy specific identified issues are developed with the contractors and monitored through these meetings. Documentation is maintained with detailed contract meeting minutes.

ii. Remediation Data Aggregation

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

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

c. Timelines

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

No

Yes

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

Appendix B: Participant Access and Eligibility

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

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

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

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

In order to apply for the TBIW program, the applicant must be a resident of the State of West Virginia and at least 3 years of age. The person must have a documented Traumatic Brain Injury (TBI). A TBI is a non-degenerative, non-congenital insult to the brain caused by an external physical force resulting in total or partial functional disability and/or psychosocial impairment or an injury caused by anoxia due to near drowning. The applicant must have deficits in five (5) Activities of Daily Living (ADLs) to meet nursing home level of care as assessed utilizing the Pre-Admission Screening (PAS) 2000. The applicant must also score at a Level VII or below on the Rancho Los Amigos Levels of Cognitive Functioning Scale. Applicants for the Waiver can be in-patient in a licensed nursing facility, an inpatient hospital, a licensed rehabilitation facility to treat TBI or living in a community setting at the time of application.

- 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)

- 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:

The needs of the person receiving TBIW services are addressed in the person's Service Plan (SP), which is facilitated by the person's Case Manager. The SP includes Waiver services, non-Waiver services, informal supports, and emergency backup planning. The SP must address all identified needs, including risks to the person's health and safety.

- 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:

A key Case Management function is to oversee the implementation of a person's services as outlined on their Service Plan. At a minimum, Case Managers must make monthly contact to review the implementation of the SP and address any identified issues or concerns. If unable to reach the person by telephone, the Case Manager must

make a home visit.

The person's budget is based on their assessed needs. Additional services may be requested at any time. If the review by the UMC indicates that the person's service needs have changed based on the person's condition or other factors such as a change in living arrangement or availability of informal support, the UMC may authorize an increase to the person's budget. At no time however a budget would be authorized for more than the maximum amount approved per person for this program (\$35,000 per person annually).

If at any time the Waiver program cannot adequately ensure a person's health and safety, the Case Manager must make appropriate referrals to other available resources in the community. As a last resort, if a person's health and welfare cannot be assured by utilizing Waiver and/or other available community resources, the person will be referred for institutional services.

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	74
Year 2	70
Year 3	66
Year 4	62
Year 5	59

- 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	
Year 2	
Year 3	
Year 4	
Year 5	

Appendix B: Participant Access and Eligibility

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

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

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

Purpose(s) the State reserves capacity for:

Purposes	
Money Follows the Person	

Appendix B: Participant Access and Eligibility

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

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

Money Follows the Person

Purpose (*describe*):

The State will reserve capacity in Waiver Year 1, 2, 3, 4 and 5 for people who are enrolled in the Money Follow the Person (MFP) initiative, are medically and financially eligible for the TBIW, and choose to transition to the community.

If the MFP program does not enroll all of the slots reserved in the designated Waiver Year, the Traumatic Waiver Program Manager will re-assign those slots to the Aged and Disabled Waiver Program (not to exceed the designated slots for the waiver year combined TBIW and MFP).

Describe how the amount of reserved capacity was determined:

The amount of capacity reserved is based on the number of transitions projected for the State's Money Follows the Person initiative during Waiver Year 1, Waiver Year 2, Waiver Year 3, Waiver Year 4 and Waiver Year 5.

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

Waiver Year	Capacity Reserved
Year 1	10
Year 2	10
Year 3	10
Year 4	10
Year 5	10

Appendix B: Participant Access and Eligibility

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

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

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

waiver.

e. **Allocation of Waiver Capacity.**

Select one:

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

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

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

When the capacity for individuals served by the TBIW program is reached, applicants for TBIW services are placed on a Managed Enrollment List (MEL). Upon application, financial eligibility must be determined prior to medical eligibility. Applications for entry to the program will be processed based on the date/time of their request for medical eligibility determination as capacity becomes available. Those determined both financially and medically eligible will be placed on the MEL if a funded slot is not available.

MFP applicants are not subject to the same MEL requirements. They may access a slot immediately as long as a MFP slot is available.

Appendix B: Participant Access and Eligibility

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

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

Appendix B: Participant Access and Eligibility

B-4: Eligibility Groups Served in the Waiver

a.

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

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

2. **Miller Trust State.**

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

- No**
- Yes**

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

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

- Low income families with children as provided in §1931 of the Act**
- SSI recipients**

- Aged, blind or disabled in 209(b) states who are eligible under 42 CFR §435.121
- Optional State supplement recipients
- Optional categorically needy aged and/or disabled individuals who have income at:

Select one:

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

Specify percentage:

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

Specify:

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

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

Select one and complete Appendix B-5.

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

Check each that applies:

- A special income level equal to:

Select one:

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

Specify percentage:

- A dollar amount which is lower than 300%.

Specify dollar amount:

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

Select one:

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

Specify percentage amount:

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

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

- Spousal impoverishment rules under §1924 of the Act are used to determine the eligibility of individuals with a community spouse for the special home and community-based waiver group. In the case of a participant with a community spouse, the State uses *spousal* post-eligibility rules under §1924 of the Act. Complete Items B-5-e (if the selection for B-4-a-i is SSI State or §1634) or B-5-f (if the selection for B-4-a-i is 209b State) and Item B-5-g unless the state indicates that it also uses spousal post-eligibility rules for the time periods before January 1, 2014 or after December 31, 2018.**

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

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

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

- Use spousal post-eligibility rules under §1924 of the Act.**

(Complete Item B-5-b (SSI State) and Item B-5-d)

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

Appendix B: Participant Access and Eligibility

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

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

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

The State uses the post-eligibility rules at 42 CFR 435.726. Payment for home and community-based waiver services is reduced by the amount remaining after deducting the following allowances and expenses from the waiver participant's income:

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

- The following standard included under the State plan

Select one:

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

(select one):

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

Specify the percentage:

- A dollar amount which is less than 300%.

Specify dollar amount:

- A percentage of the Federal poverty level

Specify percentage:

- Other standard included under the State Plan

Specify:

- The following dollar amount

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

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

Specify:

- Other**

Specify:

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

- Not Applicable (see instructions)**
- SSI standard**
- Optional State supplement standard**
- Medically needy income standard**
- The following dollar amount:**

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

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

Specify:

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

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

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

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

Specify:

- Other**

Specify:

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

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

Select one:

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

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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

Answers provided in Appendix B-5-a 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 (5 of 7)

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

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

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

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

- The following standard included under the State plan**

Select one:

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

(select one):

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

Specify the percentage:

- A dollar amount which is less than 300%.**

Specify dollar amount:

- A percentage of the Federal poverty level**

Specify percentage:

- Other standard included under the State Plan**

Specify:

300% of the Federal SSI Benefit Rate.

- The following dollar amount**

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

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

Specify:

- Other**

Specify:

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

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

Specify:

Specify the amount of the allowance (select one):

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

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

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

Specify:

not applicable. the states does not give spousal allowance because the state gives spousal allowance post-eligibility using Section 2404 of the ACA.

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 (6 of 7)

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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

i. Allowance for the personal needs of the waiver participant

(select one):

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

Specify percentage:

- The following dollar amount:**

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

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

Specify formula:

- Other**

Specify:

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

Select one:

- Allowance is the same**
 Allowance is different.

Explanation of difference:

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

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

Select one:

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

Appendix B: Participant Access and Eligibility

B-6: Evaluation/Reevaluation of Level of Care

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

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

i. Minimum number of services.

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

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

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

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

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

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

Specify the entity:

Utilization Management Contractor (UMC)

- 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:

The UMC staff conducting medical eligibility assessments must be a Registered Nurse, Licensed Social Worker, Licensed Professional Counselor, Certified Rehabilitation Counselor, or Licensed Psychologist with appropriate training and experience and have a Certified Brain Injury Specialist certification.

- 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.

BMS contracts with the following entities to perform operational and administrative functions as follows:

1. Operating Agency Overview and Functions:

1. Individual waiver enrollment
2. Qualified provider enrollment and continuing certification
3. Provider monitoring reviews (assessments, service plans, plan of care, employee qualifications, etc.)
4. Quality assurance and quality improvement activities and data reporting

2. Utilization Management Contractor (UMC) Overview and Functions:

1. Level of Care evaluation/re-evaluations
 2. Prior authorization of Waiver services
 3. Data Reporting
 4. Management of the Managed Enrollment List (wait list) database
3. Claims Processing Entity Overview and Functions:
1. Pay provider claims in accordance with BMS guidelines and as prior authorized by the UMC;
 2. Provider education and technical assistance pertinent to claims; and
 3. Enrollment of qualified providers as directed by BMS.
 4. Data reporting
4. Government Fiscal Employer/Agent (F/EA) (Personal Options) Overview and Functions:

The UMC will complete the initial eligibility assessments utilizing the Pre-Admission Screening (PAS) and the Rancho Los Amigos Scale. When completing assessments for children ages 3 through 18 the assessor will take into account age appropriate developmental milestones.

An applicant must have at least five (5) deficits as assessed by the Pre-Admission Screening (PAS) to qualify medically for the Waiver. These deficits are derived from a combination of the following assessment areas:

1. Decubitus (Stage 3 or 4)
2. In the event of an emergency, the applicant is mentally or physically unable to vacate a building
3. Functional abilities of individual in the home
 - Eating (needs physical assistance to get nourishment)
 - Bathing (needs physical assistance or more)
 - Dressing (needs physical assistance or more)
 - Grooming (needs physical assistance or more)
 - Continence (must be incontinent)
 - Orientation (must be totally disoriented, comatose)
 - Transfer (requires one-person or two-person assistance)
 - Walking (requires assistance)
 - Wheeling (must require assistance with walking in the home)
 - Vision (impaired/not correctable)
 - Hearing (impaired/not correctable)
 - Communication (understandable with aids)
4. Individual has skilled needs in one or more of the following areas:
 - Suctioning
 - Tracheostomy
 - Ventilator
 - Parenteral fluids
 - Sterile dressings
 - Irrigations
 - Physical therapy
 - Occupational therapy
 - Speech therapy
5. Individual is not capable of administering his/her own medications or needs prompting supervision.
6. Clinical and psychological data
 - Disoriented
 - Seriously impaired judgment
 - Cannot communicate basic needs
 - Physically dangerous to self and others if unsupervised

Applicants must also have a Traumatic Brain Injury (TBI) documented at the time of referral. A TBI is defined as a non-degenerative, non- congenital insult to the brain caused by an external physical force resulting in total or partial functional disability and/or psychosocial impairment or injury caused by anoxia due to near drowning. The applicant must score at a Level VII or below on the Rancho Los Amigos Levels of Cognitive Functioning Scale.

- e. **Level of Care Instrument(s).** Per 42 CFR §441.303(c)(2), indicate whether the instrument/tool used to evaluate level of care for the waiver differs from the instrument/tool used to evaluate institutional level of care (*select one*):
- The same instrument is used in determining the level of care for the waiver and for institutional care under the State Plan.**
 - A different instrument is used to determine the level of care for the waiver than for institutional care under the State plan.**

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

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

INITIAL EVALUATION:

A. An applicant shall initially apply for the TBI Waiver by having a treating physician (M.D. or D.O.), physician assistant (PA), advance practice registered nurse practitioner (APRN) or specially trained neuropsychologist submit a Medical Necessity Evaluation Request (MNER) form. The physician's/APRN/PA/neuropsychologist's signature is valid for sixty days (60). The referral source for the request may be from the applicant/representative, hospital or nursing home, DHHR, the physician, social services agencies, or others from the community.

B. The Medical Necessity Evaluation Request (MNER) form asks that the physician/PA/APRN/neuropsychologist submit the applicant's identifying information including, but not limited to, the following:

1. A statement that the individual's condition meets the entry level definition of TBI: a non-degenerative, non-congenital insult to the brain caused by an external physical force resulting in total or partial functional disability and/or psychosocial impairment or injury of anoxia due to near drowning;
2. A description of the functional deficits directly attributable to the TBI;
3. Other pertinent medical diagnoses and comments.

C. Once a referral is received, the UMC will send a letter of verification of its receipt to the applicant/applicant's representative and the referring physician (M.D. or D.O.)/PA/APRN or neuropsychologist. If the Medical Necessity Evaluation Request form is incomplete it will be returned to the referring physician (M.D. or D.O.)/PA/APRN or neuropsychologist for completion and resubmission, and the applicant will be notified. The UMC will send the applicant/applicant's representative the DHS-2 form with instructions for determining financial eligibility prior to scheduling an assessment for medical eligibility. When the UMC receives a completed DHS-2 from the county DHHR office indicating the applicant meets financial eligibility the UMC will attempt to contact the applicant/applicant's representative by phone to schedule a medical assessment. The UMC will follow current policy regarding requirements to contact the applicant/applicant's representative by phone. If it is determined that the applicant is not available, the referring physician (M.D. or D.O.) /PA/APRN or neuropsychologist and applicant/representative will be notified that no contact could be made. If the referral is closed because of an inability to contact the applicant/applicants representative, a new referral will be required to re-initiate the process. If the applicant is determined financially ineligible by the county DHHR office a medical eligibility assessment will not be scheduled by the UMC and the MNER will be closed. The local DHHR office should provide a financial eligibility letter with Fair Hearing rights to the applicant.

D. If contact is made, a letter will be sent to the applicant/applicant's representative documenting that contact was made and the date of the scheduled evaluation. If the applicant has identified a guardian or legal representative, no assessment shall be scheduled without the presence of the guardian or legal representative. If the Medical Necessity Evaluation Request form indicates that the applicant has severe dementia, no visit will be scheduled without the guardian or legal representative present to assist the applicant during the evaluation.

E. The UMC staff completes the Pre-Admission Screening (PAS) and the Rancho Los Amigos Scale. UMC staff will record observations and findings regarding the applicant's level of functioning. In those cases where there is a medical diagnosis question, the UMC staff will attempt to clarify the information with the referring physician (M.D. or D.O.)/PA/APRN or neuropsychologist. In the event that the UMC staff cannot obtain the information, they will document that supporting documentation from the referring physician (M.D. or D.O.)/PA/APRN or neuropsychologist was not received.

F. If it is determined that the applicant does not meet medical eligibility, the applicant/ applicant's representative (if applicable), the referring physician (M.D. or D.O.)/PA/APRN or neuropsychologist will be notified by a Potential Denial letter from the UMC. This letter will advise the applicant of the reason for the potential denial, listing the areas in which deficiencies were found and notice that the medical eligibility standard has not been met. A copy of the PAS, Rancho Los Amigos, and the section of the TBI Waiver policy covering Medical eligibility will also be included with the Potential Denial letter. The applicant will be given 30 days to submit supplemental medical information to the UMC. Information submitted after the 30 day period will not be considered.

G. If no additional information is received within the timeline or the review of the supplemental information by the UMC determines that there is still no medical eligibility, the applicant/applicants representative (if applicable), referring physician (M.D. or D.O.)/PA/APRN or neuropsychologist will be notified by a Final Denial letter. The Final Denial letter will provide the reason for the denial. It will also include the applicable TBI Waiver policy manual section(s), a copy of the PAS and Rancho Los Amigos Scale, supplemental information documentation (if it has been supplied), notice of free legal services, and a Request for a Medicaid Fair Hearing form to be completed if the applicant wishes to contest the decision. The UMC will contact the applicant to offer a Pre-hearing conference to try to resolve one or more issues listed in the complaint if a request for a Medicaid Fair Hearing has been made.

H. If the applicant's medical eligibility is denied and the applicant is subsequently found medically eligible after the Medicaid Fair Hearing process, the date of eligibility can be no earlier than the effective date of the hearing decision.

I. If the applicant is determined medically eligible, a notice of approved medical eligibility is sent to the applicant, the referring physician (M.D. or O.D.)/PA/APRN or neuropsychologist, and the applicant's legal representative, if applicable. If a slot is available the applicant will be enrolled and assigned an Anchor Date. The Anchor Dates will serve as the fixed due date for the Annual Assessment and Service Plan development and the reevaluation of the person's medical eligibility, as well as the start date for TBIW service authorizations.

J. If the applicant is found both financially and medically eligible, and a slot is not available the applicant will be placed on a Managed Enrollment List (MEL). A Financial eligibility approval is good for 90 days. When a slot becomes available in the TBIW Program, a second notice of approved medical eligibility is sent to the referring physician (M.O. or D.O.)/PA/APRN or neuropsychologist, and applicant/applicant's representative (if applicable). If the 90 day financial eligibility approval has expired, another DHS-2 form with instructions sending the applicant to the local DHHR office to re-determine financial eligibility is sent to the applicant/ applicant's representative (if applicable) by the UMC. If the applicant is found ineligible financially the county DHHR office will send a denial letter with information regarding a Fair Hearing. The application will be closed by the UMC.

K. When an applicant on the Managed Enrollment List is informed that a funded slot is available, the UMC meets with the applicant and their legal representative (if applicable) at least 90 days prior to the funded slot becoming available. The UMC provides the Freedom of Choice Form at this meeting to the applicant and their legal representative (if applicable) in order to choose between Home and Community Based Services and Nursing Home facility. This form also allows the applicant to choose from Case Management Agencies and Personal Attendant agencies that serve the county where the applicant resides. This form also allows the applicant to choose program options: The Traditional Service Delivery Model or the Self-Direction Model (Personal Options).

L. Applicants are given a slot on a first on first off basis.

ANNUAL RE-EVALUATION:

A. The UMC will schedule an annual re-evaluation of the person's medical eligibility.

B. The UMC will arrange for an evaluator to visit the person in their home environment or at an agreed location in order to perform the evaluation. The annual reevaluation will be conducted utilizing the PAS and Rancho Los Amigos Scale.

C. The UMC will evaluate the findings of the annual assessment to determine whether the person continues to meet medical eligibility for the TBI Waiver.

D. If the person has identified a guardian or legal representative, no visit shall be scheduled without presence of the guardian or legal representative.

E. Once an evaluation time is arranged, the UMC shall notify the person, Case Management Agency, Personal Attendant Agency or the Personal Options vendor (if applicable) and identified guardian or legal representative noting the contact and date of the visit.

F. If the UMC is unable to contact the person or legal representative (if applicable), a letter will be sent to them and the CMA stating that the person's eligibility is in jeopardy if the evaluation cannot be performed and requesting that the person, representative or CMA contact the UMC to schedule an evaluation.

G. If the person meets the medical eligibility criteria, a Notice of Approved Continued Medical Eligibility is sent to the person, identified representative, the CMA or the F/EA (if applicable).

H. If it is determined that the person does not meet medical eligibility, the person and their legal representative) if applicable), CMA and Personal Options vendor (if applicable) a Potential Denial letter. This letter will advise the person of the reason(s) for the potential denial, listing the areas in which deficiencies were found and notice that the medical eligibility standard has not been met. A copy of the assessments and applicable TBIW policy will also be included with the Potential Denial Letter. The person will be given 30 days to submit supplemental medical information to the UMC. Information submitted after the 30 day period will not be considered.

- 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 CMA can submit the MNER beginning 90 days prior to the Anchor Date and up to 45 days prior to Anchor Date. When submitted with timeline, the UMC is responsible to complete the evaluation prior to Anchor Date.

- 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:

All records of evaluation and reevaluation will be maintained by the UMC for a minimum of 5 years.

Appendix B: Evaluation/Reevaluation of Level of Care

Quality Improvement: Level of Care

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

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

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:

Percent of applicants who received medical eligibility determinations by the UMC within 45 days of receipt of the DHS-2 form
Numerator= Number of initial medical eligibility determinations completed within established timelines
Denominator = Number of applicants for whom initial medical eligibility determinations were due within the reporting month.

Data Source (Select one):

Reports to State Medicaid Agency on delegated Administrative functions

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

Performance Measures

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

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

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

Performance Measures

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

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

Performance Measure:

Percent of initial determinations for which established criteria were appropriately applied. Numerator= Number of initial determinations were established criteria was applied. Denominator = Number of initial determinations due within the calendar month

Data Source (Select one):

Reports to State Medicaid Agency on delegated Administrative functions

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

b. Methods for Remediation/Fixing Individual Problems

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

The UMC is required to submit a number of regular reports to the Bureau for Medical Services (BMS). BMS utilizes these reports to monitor delegated administrative functions. Any individual issues or concerns that are identified via these reports are addressed directly with individual contractors during monthly contract oversight meetings. Strategies to remedy specific identified issues are developed with the contractors and monitored through these meetings. Documentation is maintained with detailed contract meeting minutes.

- ii. **Remediation Data Aggregation**

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

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

c. Timelines

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

- No
- Yes

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

Appendix B: Participant Access and Eligibility

B-7: Freedom of Choice

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

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

- a. **Procedures.** Specify the State's procedures for informing eligible individuals (or their legal representatives) of the feasible alternatives available under the waiver and allowing these individuals to choose either institutional or waiver

services. Identify the form(s) that are employed to document freedom of choice. The form or forms are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

When the UMC conducts the initial medical eligibility assessment, applicants and/or legal representative (if applicable) are provided a TBIW Program Brochure that details services available to eligible individuals. Applicants (or legal representative) are asked to sign a Consent Form indicating their choice of waiver services vs. institutional care. If determined medically eligible, applicants and/or legal representative (if applicable) receive a Service Delivery Model Selection Form which provides information on the two service model options - the Traditional Model and the Personal Options Model. The services available with each model are provided along with a listing of qualified providers in the person’s county. They also have choice of Providers for case management and Personal Attendant Agencies if the change to the Traditional Model.

- 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.

Freedom of choice forms (Consent Forms and Service Delivery Model Selection Forms) are maintained electronically for a minimum of five years by the UMC.

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):

Per Census 2010, 97.6% percent of West Virginians speak only English. Due to this high percentage, the TBIW addresses any needs or requests for alternative materials on an individual basis. All materials are currently available in alternate formats for individuals who cannot access standard print material. These formats include large print, audio and braille. In addition BMS and all contract staff are available to read printed materials upon request.

Appendix C: Participant Services

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

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

Service Type	Service		
Statutory Service	Case Management		
Statutory Service	Personal Attendant Services		
Other Service	Transportation		

Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:

Service:

Alternate Service Title (if any):

HCBS Taxonomy:**Category 1:**

01 Case Management

Sub-Category 1:

01010 case management ▼

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

▼

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

▼

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

▼

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

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

Service Definition (Scope):

Case management activities are indirect services that assist the person in obtaining access to needed TBI Waiver services, other State Plan services, as well as medical, social, educational and other services, regardless of the funding source. Case management responsibilities also include the development of the person's Service Plan, completion of the person's assessment and budget development, the ongoing monitoring of the provision of services included in the Service Plan, monitoring continuing eligibility, health and welfare, and advocacy. CMs are required to make a monthly telephone contact with the individual or their legal guardian, if applicable, and if unable to reach the person by telephone, then the CM must make a home visit to ensure the health and safety of the individual.

Case management includes the coordination of services that are individually planned and arranged for person whose needs may be life-long. The practice of case management helps to avoid duplication and provision of unnecessary services, and to ensure a balance of services. The Case Manager takes an active role in service delivery; although services are not provided directly by the Case Management Agency, the Case Manager serves as an advocate and coordinator of care for the person. The Case manager must be available to respond to a person in crisis whenever needed. This involves collaboration with the person receiving TBIW, family members, friends, informal supports, and health care and social service providers.

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

A Service Unit is 15 minutes

Service Limit is 192 units annually

Prior Authorization is required.

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	TBIW Case Management Agency

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Case Management

Provider Category:

Agency

Provider Type:

TBIW Case Management Agency

Provider Qualifications

License (specify):

TBIW Case Management Agency must be certified by the Bureau for Medical Services (BMS) through the Utilization Management Contractor initially and annually thereafter.

Certificate (specify):

Agency must be an approved TBIW Provider and an enrolled WV Medicaid Provider.

Other Standard (specify):

Agency staff must have current CPR and First Aid cards, have an acceptable state and federal fingerprint-based checks, acceptable Federal Office of the Inspector General (OIG) Medicaid Exclusion List check, be over the age of 18, be able to perform the tasks and meet training requirements as mandated by BMS. If providing transportation, the case manager must have a valid driver's license, proof of current vehicle insurance, registration and inspection as per state law.

Case management services must be provided by an individual licensed in West Virginia as a social worker, counselor or registered nurse.

Verification of Provider Qualifications

Entity Responsible for Verification:

Agency is verified by the BMS' Utilization Management Contractor

Agency staff is verified by the BMS' Utilization Management Contractor

Frequency of Verification:

Agency is certified annually.

Agency staff's credentials are verified initially and annually with exception of the fingerprint-based state and federal background checks which are checked every 3 years and the OIG which is checked monthly.

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 Attendant Services

HCBS Taxonomy:

Category 1:

Sub-Category 1:

08 Home-Based Services	08030 personal care
Category 2:	Sub-Category 2:
<input type="text"/>	<input type="text"/>
Category 3:	Sub-Category 3:
<input type="text"/>	<input type="text"/>
Category 4:	Sub-Category 4:
<input type="text"/>	<input type="text"/>

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

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

Service Definition (Scope):

Personal Attendant (PA) Services are defined as long-term direct care and support services that are necessary in order to enable a person to return home from a nursing facility, an in-patient rehabilitation facility, an in-patient hospital and live in or remain in their own home and community.

The Service includes:

Personal Attendant Services: Provides people receiving TBIW direct-care assistance with Activities of Daily Living (ADLs) and Instrumental Activities (IADLs) such as eating, bathing, grooming, prompting with normally self-administered medications, essential light housekeeping and essential errands, etc. Personal Attendant Professionals are also responsible for reporting changes in the person's condition and needs. Only qualified staff employed by certified Personal Attendant Agencies or the Personal Options vendor can provides this support.

Personal Attendant Services are not intended to replace supports/services that a child would receive from the school system during a school day.

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

Personal Attendant Services are limited by the person's documented needs and individualized budget with a cap of \$35,000/year.

Service Delivery Method (check each that applies):

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

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

- Legally Responsible Person
- Relative
- Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Individual	Personal Options
Agency	TBI Personal Attendant Agency

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Attendant Services

Provider Category:

Individual ▾

Provider Type:

Personal Options

Provider Qualifications**License (specify):**

Not applicable as individual/Employer of Record utilizing the Personal Options program is not required to be an TBIW Provider.

Certificate (specify):

Not applicable.

Other Standard (specify):

The employee of the person utilizing the Personal Options model must have current CPR and First Aid cards, acceptable state and federal fingerprint-based checks, acceptable Federal Office of the Inspector General (OIG) Medicaid Exclusion List check, be over the age of 18, have the ability to perform the tasks and be currently trained on all training requirements listed in the Personal Options section of the TBIW Policy Manual.

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

The person/Employer Record utilizing the Personal Options Model is responsible for ensuring all of their employees meet all qualifications.

The Personal Options vendor is responsible for verifying the employee's credentials.

Frequency of Verification:

The employee's credentials are verified initially and annually with exception of the state and federal fingerprint-based checks which are checked every 3 years and the OIG which is checked monthly.

Appendix C: Participant Services

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

Service Type: Statutory Service
Service Name: Personal Attendant Services

Provider Category:

Agency ▾

Provider Type:

TBI Personal Attendant Agency

Provider Qualifications**License (specify):**

TBIW Personal Attendant Agency must be certified by the Bureau for Medical Services (BMS) through Utilization Management Contractor (UMC) initially and annually thereafter.

Certificate (specify):

Agency must be an approved TBIW Provider and an enrolled WV Medicaid Provider.

Other Standard (specify):

Agency staff must have current CPR and First Aid cards, have an acceptable state and federal fingerprint-based checks, acceptable Federal Office of the Inspector General (OIG) Medicaid Exclusion List check, be over the age of 18, be able to perform the tasks and meet training requirements as mandated by BMS.

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

Agency is verified by the BMS' Utilization Management Contractor.

Agency staff is verified by the BMS' Utilization Management Contractor

Frequency of Verification:

Agency is certified annually.

Agency staff's credentials are verified initially and annually with exception of the state and federal fingerprint-based checks which are checked every 3 years and the OIG which is checked monthly.

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:

Transportation

HCBS Taxonomy:

Category 1:

15 Non-Medical Transportation

Sub-Category 1:

15010 non-medical transportation

Category 2:

Sub-Category 2:

Category 3:

Sub-Category 3:

Category 4:

Sub-Category 4:

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

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

Service Definition (Scope):

Transportation: Services are provided to persons who receive TBIW services for trips to and from the home, or to the site of a planned local community activity or service which is addressed on the Service Plan and based on assessed need. Non-Emergency Medical Transportation is available through the state plan for transportation to and from medical appointments and should be utilized first before accessing TBIW Transportation based on assessed need and must be for the sole benefit of the person receiving the service.

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

Transportation Miles: The maximum annual units of Transportation: Miles cannot exceed 3,600 miles per service plan year (based on average of 300 miles per month).

Service Delivery Method (check each that applies):

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

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

- Legally Responsible Person
 Relative
 Legal Guardian

Provider Specifications:

Provider Category	Provider Type Title
Individual	Personal Options
Agency	TBIW Homemaker Agency

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

Service Type: Other Service
Service Name: Transportation

Provider Category:

Individual ▼

Provider Type:

Personal Options

Provider Qualifications**License (specify):**

Certificate (specify):

Not applicable.

Other Standard (specify):

The Personal Options employee must have current CPR and First Aid cards, acceptable state and federal fingerprint-based checks, be over the age of 18, valid driver's license, proof of current vehicle insurance, registration and inspection per state law, the ability to perform the tasks and be currently trained on all training requirements listed in the Personal Options section of the TBIW Policy Manual.

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

The person/Employer Record utilizing the Personal Options Model is responsible for ensuring all of their employees meet all qualifications.

The Personal Options vendor is responsible for verifying the employee's credentials.

Frequency of Verification:

The employee's credentials are verified initially and annually with exception of the state and federal fingerprint-based checks which are checked every 3 years and the OIG which is checked monthly.

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

Service Type: Other Service
Service Name: Transportation

Provider Category:

Agency ▼

Provider Type:

TBIW Homemaker Agency

Provider Qualifications**License (specify):**

Agency must be certified by the Bureau for Medical Services.

Certificate (specify):

Agency must be an approved TBIW provider and an enrolled WV Medicaid provider.

Other Standard (specify):

Transportation Miles: Agency staff must have current CPR and First Aid cards, have an acceptable

fingerprint based National Crime Information Center check, acceptable Federal Office of the Inspector General (OIG) Medicaid Exclusion List check, be over the age of 18, valid driver's license, proof of current vehicle insurance, registration and inspection per state law, be able to perform the tasks and meet training requirements as mandated by the Bureau for Medical Services.

Verification of Provider Qualifications

Entity Responsible for Verification:

Agency is verified by the BMS' Utilization Management Contractor.

Agency staff certification is verified by the BMS' Utilization Management Contractor.

Frequency of Verification:

Agency is certified annually.

Agency staffs' credentials are verified initially and annually with the exception of the NCIC which checked every 3 years and the OIG which is checked monthly.

Appendix C: Participant Services

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

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

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

Applicable - Case management is furnished as a distinct activity to waiver participants.

Check each that applies:

As a waiver service defined in Appendix C-3. *Do not complete item C-1-c.*

As a Medicaid State plan service under §1915(i) of the Act (HCBS as a State Plan Option). *Complete item C-1-c.*

As a Medicaid State plan service under §1915(g)(1) of the Act (Targeted Case Management). *Complete item C-1-c.*

As an administrative activity. *Complete item C-1-c.*

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

Appendix C: Participant Services

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

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

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

Yes. Criminal history and/or background investigations are required.

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

Traditional Option:

State and Federal fingerprint-based checks are conducted by TBIW Provider agencies on all staff having direct contact with people using TBIW services prior to the Agency staff providing services.

For Personal Options:

The Personal Options individual/Employer of Record is responsible for ensuring all of their employees complete a state and federal fingerprint-based check prior to providing services. The Personal Options vendor is responsible for verifying the employee's credentials.

- 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):

WV follows the state code: WV Code § 15-2C-1. The West Virginia State Police, Criminal Identification Bureau maintains the Central Abuse Registry. TBIW Provider agencies and for the person utilizing Personal Options the employer of record are required to request a Criminal Background Check (Central Abuse Registry) for all employees with direct access to people on the TBIW. The Central Abuse Registry shall contain, at a minimum, information relating to: Convictions of a misdemeanor or a felony involving abuse, neglect or misappropriations of property, by an individual performing services for compensation, within the scope of the individual's employment or contract to provide services, in a residential care facility, in a licensed day care center in connection with providing behavioral health services, or in connection with the provision of home care services; information relating to individuals convicted of specific offenses. Compliance is monitored by the UMC as part of the periodic review of provider qualifications.

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.*

- e. **Other State Policies Concerning Payment for Waiver Services Furnished by Relatives/Legal Guardians.** Specify State policies concerning making payment to relatives/legal guardians for the provision of waiver services over and above the policies addressed in Item C-2-d. *Select one:*

- The State does not make payment to relatives/legal guardians for furnishing waiver services.**
- The State makes payment to relatives/legal guardians under specific circumstances and only when the relative/guardian is qualified to furnish services.**

Specify the specific circumstances under which payment is made, the types of relatives/legal guardians to whom payment may be made, and the services for which payment may be made. Specify the controls that are employed to ensure that payments are made only for services rendered. *Also, specify in Appendix C-1/C-3 each waiver service for which payment may be made to relatives/legal guardians.*

- Relatives/legal guardians may be paid for providing waiver services whenever the relative/legal guardian is qualified to provide services as specified in Appendix C-1/C-3.**

Specify the controls that are employed to ensure that payments are made only for services rendered.

Relatives may be paid for providing Personal Attendant and/or Transportation services through the TBIW excluding the person's legal guardian and spouse and the parent of a minor child. However the provision of the services must be for the sole benefit of the person receiving the TBIW services. If the person chooses to self-direct their services and needs a Program Representative to assist them, then the Program Representative may not be a paid employee. The UMC conducts an annual review of person's charts to monitor compliance and to ensure that services are furnished in the best interest of the person. Service Plans are developed by the Case Management agency along with the person. The UMC conducts an annual review of the person's charts to monitor compliance with the Service Plan.

- 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:

The Bureau for Medical Services (BMS) claims processing entity provides entities interested in becoming a TBIW Provider an enrollment packet, including a provider agreement, along with specific requirements and procedures to qualify. The enrollment process, which is continuous and ongoing, assures that all willing and qualified providers meeting the State's established provider qualifications have the opportunity to enroll. Per policy, the BMS claims processing entity has fifteen (15) business days to process the enrollment application once submitted by the prospective provider.

The prospective provider must return the provider agreement signed by an authorized representative to BMS. BMS signs the Provider Agreement and returns a copy to the prospective provider. BMS forwards a copy of the provider agreement to the BMS claims processing entity. Once this process has been completed, the claims processing entity

assigns a provider number and sends a letter informing the provider that it may begin providing services. A copy is sent to the UMC. Information on the certification and enrollment process is posted on the UMC's website.

Workers and vendors providing services under the Personal Options Model, must meet established provider qualifications as specified in the service description section. The Personal Options vendor verifies that qualifications are met.

Appendix C: Participant Services

Quality Improvement: Qualified Providers

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

a. Methods for Discovery: Qualified Providers

The state demonstrates that it has designed and implemented an adequate system for assuring that all waiver services are provided by qualified providers.

i. Sub-Assurances:

- a. Sub-Assurance: The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards prior to their furnishing waiver services.**

Performance Measures

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

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

Performance Measure:

Percent of agency providers who continue to meet licensure and/or certification standards. Numerator= Number of agency providers who continue to meet licensure and/or certification standards. Denominator= Number of active agency providers per calendar month.

Data Source (Select one):

Reports to State Medicaid Agency on delegated Administrative functions

If 'Other' is selected, specify:

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

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

Data Aggregation and Analysis:

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

- b. **Sub-Assurance: The State monitors 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.

- 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:

Percent of agency staff whose HIPAA/Confidentiality training is current

**Numerator= Number of agency staff whose HIPAA/Confidentiality training is current
Denominator = Number of agency staff files reviewed**

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

Performance Measure:
Percent of agency staff whose training in Health and Welfare is current
Numerator= Number of agency staff whose training in Health and Welfare training is current
Denominator = Number of agency staff files reviewed

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

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

Data Aggregation and Analysis:

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

Performance Measure:
Percent of agency staff whose recognition in reporting of Abuse/Neglect/Exploitation training is current
Numerator= Number of agency staff whose recognition and reporting of Abuse/Neglect/Exploitation training is current
Denominator = Number of agency staff files 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: UMC	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify:	

	<input type="text"/>
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Data Aggregation and Analysis:

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

Performance Measure:

Percent of agency staff whose Infectious Disease Control training is current
Numerator= Number of agency staff whose Infectious Disease Control training is current
Denominator = Number of agency staff files 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: UMC	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and	<input type="checkbox"/> Other

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

Data Aggregation and Analysis:

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

Performance Measure:

Percent of agency staff whose CPR Training is current
Numerator= Number of agency staff whose CPR training is current
Denominator = Number of agency staff files 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified

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

Data Aggregation and Analysis:

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

Performance Measure:

Percent of agency staff whose First Aid training is current
 Numerator= Number of agency staff whose First aid training is current
 Denominator = Number of agency staff files 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample

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

Data Aggregation and Analysis:

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

Performance Measure:

Percent of agency staff whose Direct Care Ethics/People Rights training is current
Numerator= Number of agency staff whose Direct care Ethics/People Rights training is current Denominator = Number of agency staff files 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):
<input type="checkbox"/> State Medicaid	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review

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

Data Aggregation and Analysis:

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

Performance Measure:

Percent of agency staff whose Personal Attendant skills training is current
Numerator= Number of agency staff whose Personal Attendant skills training is current
Denominator = Number of agency staff files reviewed

Data Source (select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

b. Methods for Remediation/Fixing Individual Problems

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

All data surrounding this sub-assurance will be collected through the UMC Quality and Utilization Review process. As individual problems are identified by the UMC during the review process, any agency staff who does not meet the required training components will not be permitted to provide any Waiver service and the provider will repay BMS for any disallowances for services provided by unqualified staff. The provider agency must submit proof of required training prior to reinstating the staff. The provider agency must also submit a Plan of Correction which identifies the means by which they will monitor and track required staff training.

- ii. **Remediation Data Aggregation**

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

Responsible Party <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input checked="" type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: UMC and Quality Improvement Advisory Council (QIA is for analysis only)	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid #ccc; height: 20px;"></div>

c. Timelines

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

- No
- Yes

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

Appendix C: Participant Services

C-3: Waiver Services Specifications

Section C-3 'Service Specifications' is incorporated into Section C-1 'Waiver Services.'

Appendix C: Participant Services

C-5: ADDITIONAL LIMITS ON AMOUNT OF WAIVER SERVICES

- a. **Additional Limits on Amount of Waiver Services.** Indicate whether the waiver employs any of the following additional limits on the amount of waiver services (*select one*).

- Not applicable-** The State does not impose a limit on the amount of waiver services except as provided in Appendix C-3.
- Applicable -** The State imposes additional limits on the amount of waiver services.

When a limit is employed, specify: (a) the waiver services to which the limit applies; (b) the basis of the limit, including its basis in historical expenditure/utilization patterns and, as applicable, the processes and methodologies that are used to determine the amount of the limit to which a participant's services are subject; (c) how the limit will be adjusted over the course of the waiver period; (d) provisions for adjusting or making exceptions to the limit based on participant health and welfare needs or other factors specified by the state; (e) the safeguards that are in effect when the amount of the limit is insufficient to meet a participant's needs; (f) how participants are notified of the amount of the limit. (*check each that applies*)

- Limit(s) on Set(s) of Services.** There is a limit on the maximum dollar amount of waiver services that is authorized for one or more sets of services offered under the waiver.
Furnish the information specified above.

- Prospective Individual Budget Amount.** There is a limit on the maximum dollar amount of waiver services authorized for each specific participant.
Furnish the information specified above.

- Budget Limits by Level of Support.** Based on an assessment process and/or other factors, participants are assigned to funding levels that are limits on the maximum dollar amount of waiver services.
Furnish the information specified above.

- Other Type of Limit.** The State employs another type of limit.
Describe the limit and furnish the information specified above.

Appendix C: Participant Services

C-5: Home and Community-Based Settings

Explain how residential and non-residential settings in this waiver comply with federal HCB Settings requirements at 42 CFR 441.301(c)(4)-(5) and associated CMS guidance. Include:

1. Description of the settings and how they meet federal HCB Settings requirements, at the time of submission and in the future.
2. Description of the means by which the state Medicaid agency ascertains that all waiver settings meet federal HCB Setting requirements, at the time of this submission and ongoing.

Note instructions at Module 1, Attachment #2, [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.

WV is in the process of surveying every person utilizing TBIW services. See Module 1, Attachment #2 for the TBIW Transition Plan which is fluid framework that will be modified depending up the responses received from the survey.

WV can attest that:

People utilizing TBIW services reside in their own homes or in their family homes and not in institutions; the states presumes that these settings meet the requirements of home and community-based settings.

People utilizing TBIW services receive these services in their home or in the community.

Staff of the UMC assess each applicant in their home for purposes of completing the initial medical eligibility determination and can verify that people using TBIW services reside in their own homes or in their natural family homes.

Staff of the UMC assess each person enrolled in the TBIW annually for purposes of completing the annual re-determination of medical eligibility and can verify that the person receiving TBIW services resides in their own home or in their natural family home.

Appendix D: Participant-Centered Planning and Service Delivery

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

State Participant-Centered Service Plan Title:

Service Plan (SP)

- a. Responsibility for Service Plan Development.** Per 42 CFR §441.301(b)(2), specify who is responsible for the development of the service plan and the qualifications of these individuals (*select each that applies*):

- Registered nurse, licensed to practice in the State**
- Licensed practical or vocational nurse, acting within the scope of practice under State law**
- Licensed physician (M.D. or D.O)**
- Case Manager** (qualifications specified in Appendix C-1/C-3)
- Case Manager** (qualifications not specified in Appendix C-1/C-3).

Specify qualifications:

- Social Worker**

Specify qualifications:

- Other**

Specify the individuals and their qualifications:

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (2 of 8)

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

- Entities and/or individuals that have responsibility for service plan development may not provide other direct waiver services to the participant.**

☉ **Entities and/or individuals that have responsibility for service plan development may provide other direct waiver services to the participant.**

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

People are informed of Case Management providers and have free choice of providers. This information is made available to each person initially by the UMC and annually thereafter. The person may choose to receive all services from the same agency or multiple agencies. People may change Case Management Providers at any time. At this time the person and their legal representative (if applicable) will complete a Freedom of Choice form, choosing their Case Management agency and another form to choose their program option (Traditional or Personal Options).

The safeguards to mitigate and address the potential problems that may arise when the individual's HCBS provider, or an entity with an interest in or employed by a provider of HCBS, performs service plan development (ex. self-referral) need to include, at a minimum:

a. Full disclosure to participants and assurance that participants are supported in exercising their right to free choice of providers and are provided information about the full range of waiver services, not just the services furnished by the entity that is responsible for the person-centered service plan development;

Each member is offered their choice of Case Manager each year by an independent assessor through the UMC.

b. An opportunity for the participant to dispute the State's assertion that there is not another entity or individual that is not that individual's provider to develop the person-centered service plan through a clear and accessible alternative dispute resolution process;

West Virginia continually works to expand the network of providers statewide through education sessions, presenting at networking sessions and statewide training venues. In extreme circumstances, those who self-direct may access additional support through the Personal Options Resource Consultant to manage their own case. Those who do not self-direct may access additional support through the UMC to manage their own case;

c. Direct oversight of the process or periodic evaluation by a State agency;

The UMC educates members about Case Management providers available in their catchment area every year during their medical eligibility assessment. Through this education, they learn they may change their Case Management agency at any time.

d. Restricting the entity that develops the person-centered service plan from providing services without the direct approval of the State; and

The UMC reviews and approves every person-centered service plan prior to issuing service authorizations.

e. Requiring the agency that develops the person-centered service plan to administratively separate the plan development function from the direct service provider functions.

Conflicts of interest and self-referral are prohibited. Conflict of interest is when the Case Manager, who represents the TBIW member, has competing interests (the same provider agency), takes action on behalf of the TBIW member or influences a TBIW member's "Right to Choose". This action is a benefit to the Case Manager and the provider agency. Therefore, it is a conflict of interest. Failure to abide by TBIW policy will result in the loss of provider certification for a period of one year and all current members being served will be transferred to other Case Management agencies. Any Case Manager working for a Case Management agency who has self-referred a member receiving TBIW services or influenced an TBIW member's Right to Choose (transfer) must not bill Case Management for the month this activity is conducted and will be referred to their professional licensing board for a violation of ethics.

Additionally, the TBIW Policy manual requires the Case Management Agency has:

A. Written policies and procedures to avoid conflict of interest (if agency is providing both Case Management and Personal Attendant Services).

- Education of Case Managers on general Conflict of Interest/Professional Ethics with verification;
- Education on BMS' Conflict of Interest Policy with verification;
- Annual signed Conflict of Interest Statements for all Case Managers and the agency director;
- Process for investigating reports on conflict of interest complaints;
- Process for reporting to BMS;
- Process for complaints to professional licensing boards for ethics violations.

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.

At the time of the medical eligibility assessment, applicants/legal representative (if applicable) are provided information regarding their rights to direct and be actively engaged in the Service Plan development process. General information regarding person-centered planning is also provided. Program information regarding service delivery models (Traditional and Personal Options Model) is provided. Once an individual has been determined eligible for Waiver services, additional information on specific services and service providers that may be selected is made available to the person and/or legal representative (if applicable).

Person-Centered Planning is the process by which the Case Manager (CM) works in collaboration with the person and/or their legal representative (if applicable) to develop the Service Plan (SP). The initial SP is scheduled and developed in collaboration with the person and/or their legal representative (if applicable). Subsequent annual revisions to the SP are done in collaboration with Personal Attendant Professionals, other service providers and informal supports as requested by the person and/or their legal representative (if applicable).

The SP is developed utilizing the medical eligibility assessments (PAS and Rancho Los Amigos Scale), the Case Management Assessment, and incorporates preferences and outcomes identified by the person. By participating in the assessment process and having access to the support of the CM, Personal Attendant Professionals, other professionals and informal supports, the person has the opportunity and tools to be actively engaged in the Service Plan development process.

The UMC reviews files to ensure that services have been delivered as planned. When the UMC reviews files using a review tool to ensure that Case Manager's have monthly contact.

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) Who develops the plan, who participates in the process and what is the timing of the plan?

Case Managers (CMs) are responsible for the development of the Service Plan (SP) in collaboration with the person and/or their legal representative (if applicable). Participation in the initial Service Plan development is mandatory for the person and Case Manager. The person and/or their legal representative (if applicable) may choose to have whomever else they wish to participate. Participation in subsequent reviews and annual SP updates are mandatory for the person, the Case Manager and Personal Attendant professional(s) of the Personal Attendant Service Agency or self-directed employee(s). The Case Management Assessment must be completed within seven business days of enrollment in the program. The Service Plan, which is scheduled in collaboration with the person, must be completed within fourteen business days of the case management assessment. In order to begin services immediately and address any health and safety concerns, an Interim SP may be developed and implemented upon enrollment. The Interim SP can be in effect up to twenty-one business days to allow time for assessments to be completed, the SP meeting to be scheduled and the SP to be developed. The case manager will provide a copy of the case management assessment, Service Plan and Budget to the person and/or their legal representative (if applicable).

- b) What are the types of assessments that are conducted to support the service plan development process, including securing information about participant needs, preferences, goals and health status?

The primary assessments conducted to support the Service Plan development process include the medical eligibility assessment (PAS) and the Rancho Los Amigos Scale. These assessments identify medical issues and functional

deficits in Activities of Daily Living. The Case Management Assessment reviews independent living skills, medical and behavioral health status, goals and preferences, formal and informal supports, risks to health and welfare, communication, environmental issues including assistive technology needs, emergency and back-up planning, and socialization and community integration.

c) How is the person informed of the services that are available under the waiver?

All applicants are provided information that includes an overview of the TBIW and available services at the time of the initial medical eligibility assessment. If determined medically eligible, applicants receive information explaining both the Traditional Model and the Personal Options Model and are given the opportunity to select the model of their choice.

d) How does the plan development process ensure that the service plan addresses the person's goals needs, including health care needs) and preferences?

The medical eligibility assessment (PAS and Rancho Los Amigos Scale), and the Case Management Assessment must be completed and reviewed with the person prior to the development of the SP. The annual PAS, Rancho Los Amigos Scale and the Case Management Assessment must be completed and reviewed with the person prior to subsequent reviews and annual SP updates. It is the CM's responsibility to ensure that all assessments are considered in the SP development. The SP document requires that these areas be addressed. As part of the Quality Improvement System (QIS), the UMC reviews files to ensure that Service Plans address people's outcomes (including health care) and preferences.

e) How are waiver and other services coordinated?

Coordination of services begins with the SP development process. It is the CM's responsibility through collaboration with the person to ensure that all Waiver and other services are identified as part of the plan. The CM is responsible for coordinating the implementation of the plan through case review, referral, monitoring and advocacy. As part of the Quality Improvement System (QIS), the UMC reviews files to ensure that services have been delivered as planned.

f) How does the plan development process provide for the assignment of responsibilities to implement and monitor the plan?

Specific providers for Waiver and other services are listed on the SP. The CM, via monthly contact, is responsible for monitoring the implementation of the plan to ensure service delivery. As part of the Quality Improvement System (QIS), staff of the UMC review files to ensure that services have been delivered as planned.

g) How and when is the plan updated (including when needs change)?

CM's are required to have monthly contact with people to monitor plan implementation, identify when people's needs change and revise the SP to address changing needs. Additionally, SP's must be reviewed at least every six months and revised at that point as necessary. An annual SP meeting to develop a new plan is required. Case managers are expected to schedule these meetings at times and locations

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.

Risk assessment is a component of the required Case Management Assessment. Identified risks must be incorporated into the Service Plan (SP) subject to the person's needs and preferences. The SP requires a detailed description of emergency back up plans/arrangements that are to be implemented if a Personal Attendant professional of the Personal Attendant Service Agency or Personal Options is unable to fulfill their duties. Strategies may include the utilization of an identified back up agency, family members, other informal supports, etc. As part of the Quality Improvement System (QIS), staff of the UMC reviews files to monitor the effectiveness of risk assessment and backup planning.

The UMC completes the TBI Participant Experience Survey (TBI PES) alongside provider reviews with program members. When the survey exposes a deficiency with back-up planning, the UMC reaches out to the Case Management or Personal Attendant provider for additional interview and follow-up. The results of the TBI PES are shared routinely with the Quality Improvement Council for review, and policy recommendations.

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.

At the time of medical eligibility determination and notification that a Waiver slot is available, applicants and/or their legal representative (if applicable) are given the opportunity to choose between the Traditional or Personal Options Models. If the person chooses the Traditional model then they are offered a list of Case Management and Personal Attendant Service providers. Selection forms, which list TBIW providers by county with contact information, are provided by the UMC. A list of providers is made available to people on the UMC's and BMS's websites. People may also call the UMC for a list of agencies that provide services in their community. Information related to the Personal Options model is also available to the person/legal representative and is located on the UMC and BMS websites. This information is again provided at the annual re-determination of medical eligibility. People can contact the UMC to request information in accessible formats. UMC staff will read information to people when requested.

The UMC reviews the options of service delivery models (Traditional or Personal Options) each year during the medical eligibility assessment. The UMC makes available choice of Case Management providers. West Virginia recognizes that the provider pool is limited and continually reaches out during statewide training venues (such as the National Association of Social Work Conference, the Association of Case Managers, the existing I/DD and Aged and Disabled Waiver and Personal Care providers) to seek new providers.

Appendix D: Participant-Centered Planning and Service Delivery

D-1: Service Plan Development (7 of 8)

- g. Process for Making Service Plan Subject to the Approval of the Medicaid Agency.** Describe the process by which the service plan is made subject to the approval of the Medicaid agency in accordance with 42 CFR §441.301(b)(1)(i):

Case managers are responsible for the development and oversight of the Service Plan. The UMC reviews a representative sample of Service Plans every 12 months as part of the Quality Improvement System (QIS). Results of these reviews are compiled and reviewed by BMS during contract meetings and by the Quality Improvement Advisory Council during its quarterly meetings. Remediation plans are developed to address any identified issues/concerns.

100% of initial and annual Service Plans are submitted to and reviewed by the UMC to request prior authorization of TBI services. The UMC conducts annual on-site provider reviews for 100% of providers and 100% of program member files. The UMC conducts on-site reviews via an approved review tool that evaluates all components of documentation, member health and safety and participant experience.

Appendix D: Participant-Centered Planning and Service Delivery

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

- h. Service Plan Review and Update.** The service plan is subject to at least annual periodic review and update to assess the appropriateness and adequacy of the services as participant needs change. Specify the minimum schedule for the review and update of the service plan:

- Every three months or more frequently when necessary
- Every six months or more frequently when necessary
- Every twelve months or more frequently when necessary
- Other schedule

Specify the other schedule:

- i. **Maintenance of Service Plan Forms.** Written copies or electronic facsimiles of service plans are maintained for a minimum period of 3 years as required by 45 CFR §92.42. Service plans are maintained by the following (*check each that applies*):

- Medicaid agency
 Operating agency
 Case manager
 Other

Specify:

Service Plans are maintained by the case management agency and the UMC for a minimum period of five years.

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.

Case Management Agencies (CMAs) certified by the UMC are responsible for monitoring the implementation of the person's Service Plan (SP). Case Managers (CMs) are responsible for monthly contacts with the person to review the implementation of the SP in order to identify and address any issues and concerns related to the person's choice of providers and the delivery of services. All concerns related to a person's health and safety including the effectiveness of backup plans must be reported using the West Virginia Incident Management System (IMS), when available, and in the meantime to the UMC, and as appropriate report to Adult Protective Services (APS) or Child Protective Services (CPS).

As part of the Quality Improvement System (QIS), staff of the UMC reviews a representative sample of Case Management files every 12 months to monitor compliance with this requirement. The UMC conducts an exit interview to review the results of each provider monitoring. UMC staff provide technical assistance to providers as needed to address any identified issues or concerns and require a Plan of Correction to ensure that all identified issues are remediated within established time frames. The UMC prepares draft monitoring reports which are sent to the provider for comment and return within 30 calendar days. The provider's comments are reviewed by the UMC and BMS and a final report is issued to the TBIW provider. BMS and the UMC review monitoring findings at contract meetings and develop improvement strategies as indicated in collaboration with the Quality Improvement Advisory Council.

The following monitoring methods are used:

Services are furnished in accordance with the service plan;
 The UMC compares claims to the Service Plan during on-site provider review.

Participants have access to waiver services identified in the service plan (e.g., has the participant encountered problems in securing services authorized in the service plan?);
 The UMC reviews Case Management notes and monthly contact forms which ask the member to describe whether or not they received all the services they were supposed to during the month (indicating which services were not received), needed medical equipment or resources, etc. The Case Manager is responsible for arranging for needed services and supports.

Services meet the needs of the participant;
 The Case Manager evaluates this monthly via the monthly contact form. The UMC reviews these forms during on-site provider review and determines whether or not the Case Manager has followed up. See above.

Participant health and welfare is assured;
 During on-site provider reviews, the UMC monitors: incident report submissions and follow-up by providers, initial contact made by CM with member within 7 days of initiating direct care services, whether or not the member needed specialist and health professionals (per the member assessment) and whether follow-up occurred, whether or not

service plan meetings are conducted within timelines.

The UMC also receives and reviews incident reports as they are submitted – requirement is to submit with 24 hours of learning of the incident.

All information is compiled and shared with the Quality Improvement Advisory Council quarterly and with BMS monthly.

Participants exercise free choice of providers; and, The UMC conducts annual assessments which include education about available service models and providers. The member is required to complete a Freedom of Choice Form in which they designate their chosen service model and provider. This form is also available on the state’s website and via provider agencies – the member may choose a new service model or provider at any time.

Participants have access to non-waiver services identified in the service plan, including access to health services. Needed non-waiver services are captured in the member assessment and the member service plan. During on-site review, the UMC evaluates whether the provider followed up on needed non-waiver services.

Case Managers are responsible to make monthly phone contact with members. If they are unable to reach the member by telephone, the Case Manager must see the member in-person. Every 6 months, the Case Manager is required to make a face-to-face visit.

Members are provided information on how to contact their Case Managers and should contact them immediately if they have a problem with their services. Members are provided education related to member grievances (and can contact the UMC) should the Case Manager not resolve their issue. The UMC assists members toward resolution.

Agencies are required to have written policies and procedures to avoid conflict of interest if the agencies provide both Case Management and Personal Attendant services. The UMC reviews and measures demonstration of these policies upon on-site review to make sure there is a statement prohibiting conflict of interest and self-referral, that there are separate staff for each service, that there are separate Case Management and Personal Attendant member files.

b. Monitoring Safeguards. Select one:

- Entities and/or individuals that have responsibility to monitor service plan implementation and participant health and welfare may not provide other direct waiver services to the participant.**
- Entities and/or individuals that have responsibility to monitor service plan implementation and participant health and welfare may provide other direct waiver services to the participant.**

The State has established the following safeguards to ensure that monitoring is conducted in the best interests of the participant. *Specify:*

Appendix D: Participant-Centered Planning and Service Delivery

Quality Improvement: Service Plan

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

a. Methods for Discovery: Service Plan Assurance/Sub-assurances

The state demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans for waiver participants.

i. Sub-Assurances:

- a. Sub-assurance: Service plans address all participants’ assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.**

Performance Measures

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

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

Performance Measure:

Percent of files of people receiving services whose service plan reflected identified health and safety risks. Numerator-Number of files of people receiving services whose service plan reflected identified health and safety risks. Denominator-Number of files reviewed.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis <i>(check each that applies):</i>	Frequency of data aggregation and analysis <i>(check each that applies):</i>

<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input checked="" type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: UMC and Quality Improvement Advisory Council (QIA analysis only)	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input type="text"/>

Performance Measure:
Percent of files of people receiving services whose service plan reflected assessed needs. Numerator-Number of files of people receiving services reviewed whose service plan reflected assessed needs. Denominator-Number of files reviewed.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

Performance Measure:

Percent of files of people receiving services whose service plan reflected the person's desired outcomes
Numerator-Number of files of people receiving services whose service plan reflected desired outcomes
Denominator-Number of files reviewed

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

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

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis (check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input checked="" type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: UMC and Quality Improvement Advisory Council (analysis only)	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> 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 participant's needs.*

Performance Measures

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

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

Performance Measure:

Percent of files of people receiving services whose service plans were updated at least annually and revised as needed
Numerator-Number of files of people receiving services whose service plans were updated at least annually and revised as needed
Denominator-Number of files reviewed

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input style="width: 100%;" type="text"/>

- d. *Sub-assurance: Services are delivered in accordance with the service plan, including the type, scope, amount, duration and frequency specified in the service plan.*

Performance Measures

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

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

Performance Measure:

Percent of files of people receiving services reviewed that reflected the type, scope, duration, amount, and frequency of services specified in the Service Plan
Numerator-Number of files of people receiving services reviewed that reflected the types, scope, duration, amount and frequency of services specified in the Service Plan
Denominator-Number of files reviewed

Data Source (Select one):

Provider performance monitoring

If 'Other' is selected, specify:

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

	<input type="checkbox"/> Other Specify: <input style="width: 100%;" type="text"/>	
--	--	--

Data Aggregation and Analysis:

Responsible Party for data aggregation and analysis (check each that applies):	Frequency of data aggregation and analysis(check each that applies):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input checked="" type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: UMC and Quality Improvement Advisory Council	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <input style="width: 100%;" type="text"/>

- e. **Sub-assurance: Participants are afforded choice: Between waiver services and institutional care; and 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:

Percent of files of people receiving services reviewed that had a signed and current Freedom of Choice form designating a Service Delivery Model Numerator-Number files of people receiving services reviewed with a signed and current Freedom of Choice form designating a Service Delivery Model Denominator-Number of files 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):

<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95%
<input checked="" type="checkbox"/> Other Specify: UMC	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

Percent of files of people receiving services reviewed with a signed and current Freedom of Choice form designating a Case Management Agency Numerator-Number of people receiving services reviewed with a signed and current Freedom of Choice form designating a Case Management Agency Denominator-Number of files reviewed

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

b. Methods for Remediation/Fixing Individual Problems

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

All information related to this assurance is collected by the UMC through the review of people's charts. Individual issues/concerns related to this assurance identified during the chart review process are addressed immediately by the UMC with providers during an exit interview. Providers are then required to submit a Plan of Correction with evidence of completion addressing identified issues. All Plans of Correction must be approved by the UMC and BMS. Services provided that are not documented on the SP or are provided by unqualified staff are disallowed and payment is recouped from the Provider agency.

- ii. **Remediation Data Aggregation**

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

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

c. Timelines

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

- No
- Yes

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

Appendix E: Participant Direction of Services

Applicability (from Application Section 3, Components of the Waiver Request):

- Yes. This waiver provides participant direction opportunities.** Complete the remainder of the Appendix.
- No. This waiver does not provide participant direction opportunities.** Do not complete the remainder of the

Appendix.

CMS urges states to afford all waiver participants the opportunity to direct their services. Participant direction of services includes the participant exercising decision-making authority over workers who provide services, a participant-managed budget or both. CMS will confer the Independence Plus designation when the waiver evidences a strong commitment to participant direction.

Indicate whether Independence Plus designation is requested (select one):

- Yes. The State requests that this waiver be considered for Independence Plus designation.**
- No. Independence Plus designation is not requested.**

Appendix E: Participant Direction of Services

E-1: Overview (1 of 13)

- a. Description of Participant Direction.** In no more than two pages, provide an overview of the opportunities for participant direction in the waiver, including: (a) the nature of the opportunities afforded to participants; (b) how participants may take advantage of these opportunities; (c) the entities that support individuals who direct their services and the supports that they provide; and, (d) other relevant information about the waiver's approach to participant direction.

The participant-directed service option, Personal Options, is available to every eligible TBIW person. This option provides each person with the opportunity to exercise choice and control over the participant-directed services they receive and the employees and organizations who provide them (employer authority); and/or how the portion of their individualized budget associated with participant-directed services (i.e., their budget) will be spent (budget authority). The participant-directed services over which the person receiving TBIW services will have the opportunity to exercise choice and control are:

- Personal Attendant Services
- Transportation

Under the Personal Options model, the person is the common law employer of the qualified Personal Attendant Professional he or she hires directly. The contracted Personal Options vendor acts as the employer agent to the common law employer. The Personal Options vendor is responsible for managing the receipt and distribution of the person's budget funds, processing and paying qualified Personal Attendant Professionals (payroll and vendors), providing orientation at the time of enrollment with the Personal Options vendor and ongoing training and support to the person and their Personal Attendant Professionals.

The costs of administrative services provided by the Personal Options vendor are based upon a per-member-per-month (PMPM) rate which qualifies for the Federal Medicaid Administrative Match (FMAP).

The person choosing the Personal Options Model is allocated an annual budget based on his/her assessments and person-centered outcomes documented on their Service Plan. Services under the Personal Options Model must be for the sole benefit of the person receiving TBIW services. The person receiving services function as the common law employer (employer of record) of their Personal Attendant Professionals who provide services.

Case Management is provided by qualified TBIW Providers. The person may choose which CM Agency provides these services.

The Personal Options vendor provides both financial management and resource consulting (assistance and information) services for people. The financial management services provided by the Personal Options vendor include:

- 1) Issuing payroll checks to qualified employees of the person receiving services via approved timesheets and Personal Attendant Worksheets
- 2) Executing provider agreements on behalf of BMS
- 3) Assuring the adherence to Federal and State laws and regulations
- 4) Verifying National Criminal Information Checks of prospective employees per TBIW policy
- 5) Verifying employee qualifications (including that the potential employee is not the person's legal guardian or

spouse)

- 6) Verifying employee's time records
- 7) Verifying that services are within approved limits (compliance with the person's Service Plan)
- 8) Monitoring of underpayments and overpayments
- 9) Assisting the person in revising Spending Plans as necessary
- 10) Recognizing and reporting critical incidents
- 11) Verifying an employee's citizenship status
- 12) Providing for payment of people's employee's benefits where applicable
- 13) Verifying with proper documentation initial/ongoing monthly Office of Inspector General (OIG) checks
- 14) Verifying all training requirements have been met prior to providing services

The Personal Options vendor also provides Resource Consulting (information and assistance) services for the person enrolled in the Personal Options model. This support is an administrative activity and is reimbursed as such. Resource Consulting provides the person receiving TBIW services with the supports needed to self-direct and are available as needed and/or requested by the person. Resource consulting supports include:

- 1) Assisting the person as needed and/or requested with information, assistance and referral
- 2) Explaining and assisting the person with the completion of the employer packet paperwork (i.e. IRS Form 2678, IRS Form 2848, IRS Form 8821, WV State Tax Department Form WV/2848, etc.). The Resource Consultant submits the completed employer packet to the Personal Options Financial Operations Unit
- 3) Providing practical skills training, such as hiring, managing and terminating employees, problem solving, and conflict resolution
- 4) Assisting the person as needed and/or requested in the recruitment and hiring of employees
- 5) Maintaining a roster of qualified Personal Attendant Professionals
- 6) Maintaining/providing training modules for the person's employees
- 7) Verification of required training for the person's employees
- 8) Monitoring quality and health and safety through required monthly calls and face-to-face contact at least every six months. Resource Consultants monitor more frequently as needed based on the person's needs and/or requests
- 9) Recognizing and reporting critical incidents (which are then investigated by the Personal Options vendor, UMC, APS, CPS, Medicaid Fraud, police, etc. as appropriate). All critical incidents are entered into the West Virginia Incident Management System (WVIMS) [when it is available, until then to the UMC] by the Personal Options vendor. Personal Options and the UMC to analyze for trends
- 10) Providing information on employee benefits when applicable
- 11) Participate in the development of the person's Service Plan when requested
- 12) Assisting the person as needed and/or requested in the development of the person's Spending Plan
- 13) Assisting the person as needed and/or requested in revisions to their Spending Plan
- 14) Providing training to the person receiving services on providing employee training on proper documentation for Personal Attendant Services (i.e. Personal Attendant Worksheets)

Personal Options Resource Consultants do not provide case management services.

The Personal Options vendor also operates a call center for the person or their employees to access needed information about the program. Customer service representatives support the primary role of the Resource Consultant and payroll specialists by performing the following functions:

- 1) Assisting the person/employer with inquiries related to budgeting, employer responsibilities, paperwork such as tax forms, employee background checks, training requirements/certifications, timesheets and invoices and spending activity
- 2) Assisting employees and other service providers with issues related to pay periods, the status of timesheets and invoices, the status of payments, and tax withholdings
- 3) Placing courtesy calls to the person and their employees regarding incorrect Timesheets, Personal Attendant Worksheets, and invoices, providing additional training and helpful hints to ensure accurate and timely payments
- 4) Placing courtesy calls and mail reminder letters to the person in advance of expiration date of their employee's certifications
- 5) Mailing out timesheets, invoices, forms and training materials as requested by the caller or as directed by the Resource Consultant
- 6) Maintaining an electronic notification system to inform the Resource Consultant of all inquiries and additional follow-up if necessary

Appendix E: Participant Direction of Services

E-1: Overview (2 of 13)

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

- Participant: Employer Authority.** As specified in *Appendix E-2, Item a*, the participant (or the participant's representative) has decision-making authority over workers who provide waiver services. The participant may function as the common law employer or the co-employer of workers. Supports and protections are available for participants who exercise this authority.
- Participant: Budget Authority.** As specified in *Appendix E-2, Item b*, the participant (or the participant's representative) has decision-making authority over a budget for waiver services. Supports and protections are available for participants who have authority over a budget.
- Both Authorities.** The waiver provides for both participant direction opportunities as specified in *Appendix E-2*. Supports and protections are available for participants who exercise these authorities.

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

- Participant direction opportunities are available to participants who live in their own private residence or the home of a family member.**
- Participant direction opportunities are available to individuals who reside in other living arrangements where services (regardless of funding source) are furnished to fewer than four persons unrelated to the proprietor.**
- The participant direction opportunities are available to persons in the following other living arrangements**

Specify these living arrangements:

Appendix E: Participant Direction of Services

E-1: Overview (3 of 13)

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

- Waiver is designed to support only individuals who want to direct their services.**
- The waiver is designed to afford every participant (or the participant's representative) the opportunity to elect to direct waiver services. Alternate service delivery methods are available for participants who decide not to direct their services.**
- The waiver is designed to offer participants (or their representatives) the opportunity to direct some or all of their services, subject to the following criteria specified by the State. Alternate service delivery methods are available for participants who decide not to direct their services or do not meet the criteria.**

Specify the criteria

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.

- a. Prior to the award of a funded slot, an applicant and their legal representative (if applicable) will meet with the UMC and receive education on the self-directed program, Personal Options. The UMC will discuss the person's responsibilities and potential liabilities. When the person's annual re-determination assessment is conducted by the UMC, the person and their legal representative (if applicable) will again receive education regarding Personal Options. The person may ask their Case Manager about the program during routine home visits and information about Personal Options is available on the BMS website. BMS, the UMC and Personal Options staff are always available to answer questions and provide technical assistance.
- b. The UMC is responsible for furnishing this information during the educational component of the initial meeting and annually during the re-determination assessment. The educational component will provide the person and their representative (if applicable) with information on the self-directed option, Personal Options; the roles and responsibilities of each of the key stakeholders related to the delivery and receipt of Personal Options services (i.e., person, legal and non-legal representatives (if applicable), Personal Options vendor, UMC, CM, and BMS); and traditional service options available to them in order to support their choice service models. The UMC is also responsible for fielding questions from the person receiving services and their legal representative (if applicable) by providing a toll-free telephone number. The Case Manager is responsible for providing this information to the person and their legal representative (if applicable) upon request. BMS and staff of the government FMS vendor are also available to provide information upon request.
- c. The person and their legal representative (if applicable) will receive this information at their initial and annual eligibility assessment to determine medical eligibility conducted by the UMC.

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:

A minor child under the age of 18 through their parent or legal representative may appoint a "Program Representative" to assist with the responsibilities of self-directing their services. The child's parent or legal guardian may serve as the Program Representative. Adults without a legal guardian may choose to appoint a Program Representative to assist them. Neither a legal representative nor an appointed Program Representative may be a paid service provider for the person receiving services.

The appointed program representative is:

- restricted to acting on the person's behalf and in a manner that reflects the person's wishes to the extent possible;
- must complete and sign a Program Representative Appointment Form; and
- must perform the required Program Representative's tasks which include hiring/supervising workers, approving Personal Attendant's Timesheets, Worksheets and transportation invoices.

The Personal Options vendor will ensure that the Program Representative is acting in the best interest of the person and fulfilling his/her responsibilities. The Case Manager or Personal Options vendor staff may submit a complaint with the UMC office to review the Program Representative's ability to act in the best interest of the person. They also must report to the UMC any exploitation of the participant-directed services that appear to benefit someone other than the person. BMS will make the final decision on

whether a person must transfer over to the Traditional Model.

The Personal Options vendor and/or the UMC staff have the right, after consultation with BMS, to terminate the assistance and support provided to the person receiving services by their Program Representative at any time with documented evidence of abuse, neglect and exploitation of the person.

The Program Representative can be identified at the initial enrollment session or at any time, if:

- 1.) the member indicates they would like assistance with fulfilling the employer duties such as verifying timesheets, verifying and initialing the personal attendant document daily and other responsibilities as needed or requested by the member.
- 2.) the Resource Consultant determines that the member would benefit from additional assistance, they recommend a program representative be identified, trained and signed with the Appointment of Program Representative form.

The Program Representative participates in monthly calls, 6 month visits, or other meeting as requested by the member, the Resource Consultant or the Case Manager.

The Program Representative is never a paid employee.

The Consultant recommends a change in the Program Representative if the Program Representative is unable to fulfill their role.

Appendix E: Participant Direction of Services

E-1: Overview (6 of 13)

- g. Participant-Directed Services.** Specify the participant direction opportunity (or opportunities) available for each waiver service that is specified as participant-directed in Appendix C-1/C-3.

Waiver Service	Employer Authority	Budget Authority
Personal Attendant Services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Transportation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Appendix E: Participant Direction of Services

E-1: Overview (7 of 13)

- h. Financial Management Services.** Except in certain circumstances, financial management services are mandatory and integral to participant direction. A governmental entity and/or another third-party entity must perform necessary financial transactions on behalf of the waiver participant. *Select one:*

- Yes. Financial Management Services are furnished through a third party entity.** (Complete item E-1-i).

Specify whether governmental and/or private entities furnish these services. *Check each that applies:*

- Governmental entities**
 Private entities

- No. Financial Management Services are not furnished. Standard Medicaid payment mechanisms are used.**
Do not complete Item E-1-i.

Appendix E: Participant Direction of Services

E-1: Overview (8 of 13)

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

- FMS are covered as the waiver service specified in Appendix C-1/C-3

The waiver service entitled:

- FMS are provided as an administrative activity.

Provide the following information

- i. **Types of Entities:** Specify the types of entities that furnish FMS and the method of procuring these services:

The sole Government sub-agent Fiscal/Employer Agent (F/EA) Financial Management Service (FMS) vendor model (Personal Options) is used by the WV Bureau of Medical Services to perform delegated agent tasks procured through a Request for Proposal process and the execution of a contractual agreement with BMS. The Government F/EA FMS and sub-agent operates under §3504 of the IRS code, Revenue Procedure 80-4 and Proposed Notice 2003-70, applicable state and local labor, employment tax and workers' compensation insurance and Medicaid program rules, as required and exploitation of the person.

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

The Government Fiscal/Employer Agent (F/EA) is compensated through an administrative fee established by a competitive procurement (RFP) on a per member/per month (PMPM) basis.

- iii. **Scope of FMS.** Specify the scope of the supports that FMS entities provide (*check each that applies*):

Supports furnished when the participant is the employer of direct support workers:

- Assist participant in verifying support worker citizenship status
- Collect and process timesheets of support workers
- Process payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance
- Other

Specify:

Supports furnished when the participant exercises budget authority:

- Maintain a separate account for each participant's participant-directed budget
- Track and report participant funds, disbursements and the balance of participant funds
- Process and pay invoices for goods and services approved in the service plan
- Provide participant with periodic reports of expenditures and the status of the participant-directed budget
- Other services and supports

Specify:

Additional functions/activities:

- Execute and hold Medicaid provider agreements as authorized under a written agreement with the Medicaid agency

- Receive and disburse funds for the payment of participant-directed services under an agreement with the Medicaid agency or operating agency**
- Provide other entities specified by the State with periodic reports of expenditures and the status of the participant-directed budget**
- Other**

Specify:

Provide Information and Assistance (I&A) services related to person/legal/non-legal representative orientation and skills training.

Make available to the person/legal/non-legal representative and their Case Manager the person's spending plan and budget utilization data.

- 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.

BMS will execute a contractual agreement with the Government F/EA FMS vendor known as the Personal Options vendor that has been selected through a Request for Proposal process. The contractual agreement will identify the role and responsibilities of the Personal Options vendor. The contractual agreement will outline the specific requirements for the Personal Options vendor to successfully complete a Readiness Review prior to being approved by BMS to perform as the sub-agent to the Government F/EA FMS provider. The contract will stipulate the oversight methodologies to be implemented by BMS to ensure fiscal responsibility and accountability is achieved by the Personal Options vendor. These methods will include, but not be limited to, the collection and processing of time-sheets, the disbursement of payments, completing proper with-holdings from workers' pay, reporting with-holdings as required by federal and state laws, make available statements (written or electronic) for each person's budget authorization, distributing annual individual satisfaction surveys and completing end of year tax processing. BMS will complete an annual review of the fiscal integrity of the Personal Options vendor and review the satisfaction survey results.

If BMS finds that the Personal Options vendor is not meeting the requirements agreed upon, it may recommend the following options:

- Provide a letter of recommendation to the Personal Options vendor for passing their review and permit the contract to continue
- Provide a letter of completion to the Personal Options vendor for completing their review with technical assistance being provided
- Require a Plan of Correction be completed while continuing to provide Personal Options services.
- Require a Plan of Correction be completed, as well as, disallowances of noted Personal Options vendor administrative reimbursements due to review findings.
- Require a Plan of Correction to be completed with all Personal Options vendor administrative reimbursements being suspended until all identified deficits have been corrected
- Generate notice to discontinue contract initiate transfer support to individuals using the Personal Options program.

Appendix E: Participant Direction of Services

E-1: Overview (9 of 13)

- j. **Information and Assistance in Support of Participant Direction.** In addition to financial management services, participant direction is facilitated when information and assistance are available to support participants in managing their services. These supports may be furnished by one or more entities, provided that there is no duplication. Specify the payment authority (or authorities) under which these supports are furnished and, where required, provide the additional information requested (*check each that applies*):

- Case Management Activity.** Information and assistance in support of participant direction are furnished as an element of Medicaid case management services.

Specify in detail the information and assistance that are furnished through case management for each participant direction opportunity under the waiver:

Case Managers (CMs) assist the person receiving services upon request with information or links to information related to Personal Options Model, including the benefits and responsibilities of choosing this option. CMs will receive training including a scripted presentation regarding the Personal Options Model. This information will be reviewed with the person/representative during their annual re-evaluation by the UMC to ensure unbiased presentations are being provided.

Case Management activities specific to the Personal Options model include, but are not limited to:

1. Informing the person of the availability of the Personal Options Model.
2. Explaining general rights, risks, responsibilities and the person's right to choose the Personal Options Model.
3. Assist in determining if a Program Representative is desired and/or needed by the person.
4. Providing or linking the person/Program Representative with program materials in a format that they can use and understand.
5. Explaining person-centered planning and philosophy to the person/Program Representative.
6. Linking the person with the Personal Options vendor for completion of the necessary paper work to enroll in this program.
7. Explaining to the person the roles and supports that will be available.
8. Reviewing and discussing the person's budget, including the budget available for participant-direction.
9. Ensuring that the person/Program Representative know how and when to notify the Case Manager about any operational or support concerns or questions.
10. Monitoring the person's risk management activities.
11. Ensuring a seamless transition into the Personal Options Model if chosen.
12. Coordinating services provided by traditional provider agencies if involved.
13. Notifying the UMC and the Personal Options vendor of concerns regarding potential issues which could lead to a person's disenrollment.
14. Notifying the UMC of concerns about the status of the health and welfare of the person.
15. Follow-up with the person regarding the submission of critical incidents.

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
Personal Attendant Services	<input type="checkbox"/>
Transportation	<input type="checkbox"/>
Case Management	<input type="checkbox"/>

Administrative Activity. Information and assistance in support of participant direction are furnished as an administrative activity.

Specify (a) the types of entities that furnish these supports; (b) how the supports are procured and compensated; (c) describe in detail the supports that are furnished for each participant direction opportunity under the waiver; (d) the methods and frequency of assessing the performance of the entities that furnish these supports; and, (e) the entity or entities responsible for assessing performance:

a) Supports for the person choosing the Participant-Directed Model are furnished by the Personal Options vendor. The Personal Options vendor is paid a Per Member/Month (PMPM) administrative fee. The PMPM is comprised of a Fiscal Agent Support fee and a Support Broker (Resource Consultant) fee. The Resource Consultant provides the information and assistance activities.

b) Supports are procured through an Request for Proposal (RFP) and contract process.

c) Supports are available to:

- provide general information and assistance on the participant-direction opportunity
- assist with the development of the Spending Plan based from the desired outcomes listed in the person-centered Service Plan
- provide practical skills training such as hiring, managing and terminating workers, problem solving, training employee's in required program documentation and conflict resolution
- maintain and provide required training competency based training modules for Personal Attendant Professionals
- maintain a roster of qualified Personal Attendant Professionals and assist in the verification of qualified employees

- provide information on employee benefits if applicable
- monitor quality through monthly telephone contact and face-to-face contact with the person at least every six months
- assist with required program paperwork
- verifying potential employees are not parents of a minor child, legal guardians or spouses of the person receiving services

d) Bureau for Medical Services (BMS) oversight of the Personal Options vendor includes:

- Monthly contract meetings
- Monthly review of program activity reports
- Monthly review of tax information
- Quarterly review of complaints and grievances report
- Results of the annual Customer Satisfaction Surveys

In addition, as part of the Quality Improvement System (QIS), staff of the UMC audit the Personal Options vendor every 12 months.

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:

The state has a designated protection and advocacy organization (West Virginia Advocates) available to provide independent advocacy services. Other resources (non-state agencies) include West Virginia Legal Aid and Mountain State Justice.

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:

The person who chooses the Personal Options Model and/or their legal representative (if applicable) can opt to transfer from the Personal Options Model to the Traditional Model at any time. The person's voluntary transfers will ordinarily be effective the first day of the next month, except in cases of emergency. The Personal Options vendor will work with the UMC and Case Management and Personal Attendant Agencies to assist the person with a seamless transition to the traditional service delivery model.

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 Case Manager and Personal Options vendor must develop a report to the UMC outlining the reasons the Personal Options vendor is terminating the person from Personal Options. Issues such as the verification of Medicaid fraud,

inability to maintain safe staffing supports, inability to keep the spending plan within the budget would require the CM and/or Personal Options vendor to notify the UMC to review any person for involuntary removal from Personal Options. An additional concern that may be reported is the exploitation of the person for the representative's benefit rather than the person's. This would be reported to the Adult/Child Protective Services and the Medicaid Fraud Control Unit. If a person has demonstrated an inability to self-direct their services they may be required to select a representative. If they person refuses to select a representative they will be required to transfer to the Traditional Model.

An immediate notification of the lack of health and safety oversight must be reported through the WVIMS system, when available, until then report to the UMC, as well as to the mandatory investigative agencies (Adult/Child Protective Services). Each person utilizing Personal Options must have emergency and contingency plans developed within their SP. These plans must address the issues of whether related staffing and transportation issues, natural disaster effects to their support system, illness/epidemic/pandemic effects to supports and the back-ups for each situation. All paid and natural supports must be outlined in each person's SP. The Case Management agency is responsible for the oversight of program implementation, health, safety and welfare of each person.

The Case Manager will ensure that no break in vital services will occur and that a timely revision of the SP occurs.

All Personal Options staff are trained in person centered planning and philosophy. The Personal Options vendor is trained to provide a person centered approach to serving all participants. The vendor frequently serves participants who have challenges that preclude them from being served in traditional programs. The vendor Resource Consultants assists the participants with creating service plans that support success for the participants. Some of the plans include clear program expectations that are understood and agreed upon by the participant, the program representative and other informal supports. Participants are not involuntarily terminated from the program; they are transferred to the traditional program to receive services. They may return to Personal Options if the non-compliant or risky behavior stops.

When there is the possibility of involuntary transfer from Personal Options, the participant is informed of the reasons, potential actions that need to be initiated to remain on the program and the timeline for demonstration of the actions. Reasons for involuntary transfer to traditional are: non-compliance with program requirements; inappropriate behaviors with employees; inability to hire employees in an expected time period; schedule management budget mismanagement; and alleged Medicaid Fraud.

Appendix E: Participant Direction of Services

E-1: Overview (13 of 13)

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

Table E-1-n

Waiver Year	Employer Authority Only	Budget Authority Only or Budget Authority in Combination with Employer Authority
	Number of Participants	Number of Participants
Year 1	<input type="text"/>	10 <input type="text"/>
Year 2	<input type="text"/>	20 <input type="text"/>
Year 3	<input type="text"/>	30 <input type="text"/>
Year 4	<input type="text"/>	40 <input type="text"/>
Year 5	<input type="text"/>	40 <input type="text"/>

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant Direction (1 of 6)

- a. **Participant - Employer Authority** Complete when the waiver offers the employer authority opportunity as indicated

in Item E-1-b:

i. Participant Employer Status. Specify the participant's employer status under the waiver. *Select one or both:*

- Participant/Co-Employer.** The participant (or the participant's representative) functions as the co-employer (managing employer) of workers who provide waiver services. An agency is the common law employer of participant-selected/recruited staff and performs necessary payroll and human resources functions. Supports are available to assist the participant in conducting employer-related functions.

Specify the types of agencies (a.k.a., agencies with choice) that serve as co-employers of participant-selected staff:

- Participant/Common Law Employer.** The participant (or the participant's representative) is the common law employer of workers who provide waiver services. An IRS-approved Fiscal/Employer Agent functions as the participant's agent in performing payroll and other employer responsibilities that are required by federal and state law. Supports are available to assist the participant in conducting employer-related functions.

ii. Participant Decision Making Authority. The participant (or the participant's representative) has decision making authority over workers who provide waiver services. *Select one or more decision making authorities that participants exercise:*

- Recruit staff**
 Refer staff to agency for hiring (co-employer)
 Select staff from worker registry
 Hire staff common law employer
 Verify staff qualifications
 Obtain criminal history and/or background investigation of staff

Specify how the costs of such investigations are compensated:

The person's Personal Attendent Professional is responsible for obtaining and paying for the National Crime Information Check (NCIC) as specified by policy.

- Specify additional staff qualifications based on participant needs and preferences so long as such qualifications are consistent with the qualifications specified in Appendix C-1/C-3.**
 Determine staff duties consistent with the service specifications in Appendix C-1/C-3.
 Determine staff wages and benefits subject to State limits
 Schedule staff
 Orient and instruct staff in duties
 Supervise staff
 Evaluate staff performance
 Verify time worked by staff and approve time sheets
 Discharge staff (common law employer)
 Discharge staff from providing services (co-employer)
 Other

Specify:

Appendix E: Participant Direction of Services

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

b. Participant - Budget Authority Complete when the waiver offers the budget authority opportunity as indicated in Item E-1-b:

i. Participant Decision Making Authority. When the participant has budget authority, indicate the decision-making authority that the participant may exercise over the budget. *Select one or more:*

- Reallocate funds among services included in the budget**
- Determine the amount paid for services within the State's established limits**
- Substitute service providers**
- Schedule the provision of services**
- Specify additional service provider qualifications consistent with the qualifications specified in Appendix C-1/C-3**
- Specify how services are provided, consistent with the service specifications contained in Appendix C-1/C-3**
- Identify service providers and refer for provider enrollment**
- Authorize payment for waiver goods and services**
- Review and approve provider invoices for services rendered**
- Other**

Specify:

Appendix E: Participant Direction of Services

E-2: Opportunities for Participant-Direction (3 of 6)

b. Participant - Budget Authority

ii. Participant-Directed Budget Describe in detail the method(s) that are used to establish the amount of the participant-directed budget for waiver goods and services over which the participant has authority, including how the method makes use of reliable cost estimating information and is applied consistently to each participant. Information about these method(s) must be made publicly available.

The Participant-Directed Budget is based on the person's assessments and desired outcomes. Personal Attendant and Transportation Services are documented in the Service Plan and are reflected in the person's participant-directed budget and will not reflect the costs of the Traditional Services (Case Management). Participant-Directed services will be monetized based on the amount, duration and frequency established in the Service Plan (SP) but may not exceed the cap per person per year on TBI services.

Based on studies by West Virginia of the cost of FMS and I and A, a calculated PMPM was derived. This is claimed as administrative cost before development of a person's individual budget. The person's individual budget is based on assessed needs and monetized based on results of the assessment process. The person's individual budget (less the cost of FMS and I and A) is claimed as service match accordingly.

The above information is made available to the public by posting this waiver application on the West Virginia Department of Health and Human Resources, Bureau for Medical Services website for a 30 day comment period, from March 16, 2015 to April 15, 2015. The CMS approved TBIW application is posted on the BMS website for future reference.

Appendix E: Participant Direction of Services

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

b. Participant - Budget Authority

- iii. **Informing Participant of Budget Amount.** Describe how the State informs each participant of the amount of the participant-directed budget and the procedures by which the participant may request an adjustment in the budget amount.

Once a person has been enrolled in the program and a Service Plan has been developed by the service planning team the UMC conducts a Care Management Review and provides the necessary authorizations for services outlined in the person's Service Plan. The UMC will also provide the Case Manager's Request for Service Authorization Form which includes the person's budget amount. The UMC provides a written authorization notice to the Personal Options vendor including the approved units for self-directed services. The Personal Options vendor completes the Spending Plan with the person who has enrolled with the Personal Options vendor and Program Representative (if applicable).

Per policy, the person and/or their legal representative (if applicable) have the opportunity to request an increase in their self-directed services at any time, however, at no time may the services exceed the maximum TBIW budget per person per year (\$35,000).

Case Managers are responsible for submitting an updated Service Plan reflecting any service changes. The Service Plan must be submitted to the UMC and include assessment/documentation sufficient (reflecting the person's current needs) to support the request. If approved, the person's service authorizations will be adjusted accordingly. The person's Case Manager and the Personal Options vendor will be notified by the UMC.

If denied, the person/legal representative (if applicable) is offered the opportunity to request a Fair Hearing. After requesting a Fair Hearing, the person and their legal representative will be offered a pre-hearing conference unless the person has obtained legal counsel. If legal counsel has been obtained, then BMS' legal counsel will consult with the person's legal counsel only.

Appendix E: Participant Direction of Services

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

b. Participant - Budget Authority

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

- Modifications to the participant directed budget must be preceded by a change in the service plan.**
- The participant has the authority to modify the services included in the participant directed budget without prior approval.**

Specify how changes in the participant-directed budget are documented, including updating the service plan. When prior review of changes is required in certain circumstances, describe the circumstances and specify the entity that reviews the proposed change:

Appendix E: Participant Direction of Services

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

b. Participant - Budget Authority

- v. **Expenditure Safeguards.** Describe the safeguards that have been established for the timely prevention of the premature depletion of the participant-directed budget or to address potential service delivery problems that may be associated with budget underutilization and the entity (or entities) responsible for implementing these safeguards:

The Personal Options vendor is responsible for converting the annual participant-directed budget into monthly spending plans based upon input from the person/Program Representative. This safeguards premature depletion of the participant-directed budget.

The Personal Options vendor makes available a monthly utilization report to identify the person's use of budget funds. There are many reasons a person may not use their entire allocated budget (hospitalization, periodic increase of informal/non-paid supports, etc.). Unused funds from one month may not be carried over to later months within the person's annual budget period. The Personal Options vendor assigns a Personal Options Resource Consultant to assist and support each self-directing person or their Program Representative to develop and monitor the monthly spending plans. The Resource Consultants will ensure the person/representative is aware of under-utilization and/or any attempts to over spend the monthly spending plan. The person enrolled in Personal Options may revise Service Plans if necessary.

If there is a complaint about the services by the Personal Options vendor, BMS researches the issue, contacts the vendor and requests documentation related to the issue. The complainant is contacted and a resolution is shared. The vendor is informed of the decision and the vendor completes necessary action.

There is a grievance procedure with the Personal Options vendor. The procedure has 2 levels within the process. Level One requires a meeting with the Vendor staff to determine if resolution can be made. Level Two requires a meeting with the Operating Agency where a decision is determined.

All participants are trained on the procedure during the enrollment session and they are provided grievance procedures and documents to complete if necessary.

Appendix F: Participant Rights

Appendix F-1: Opportunity to Request a Fair Hearing

The State provides an opportunity to request a Fair Hearing under 42 CFR Part 431, Subpart E to individuals: (a) who are not given the choice of home and community-based services as an alternative to the institutional care specified in Item 1-F of the request; (b) are denied the service(s) of their choice or the provider(s) of their choice; or, (c) whose services are denied, suspended, reduced or terminated. The State provides notice of action as required in 42 CFR §431.210.

Procedures for Offering Opportunity to Request a Fair Hearing. Describe how the individual (or his/her legal representative) is informed of the opportunity to request a fair hearing under 42 CFR Part 431, Subpart E. Specify the notice(s) that are used to offer individuals the opportunity to request a Fair Hearing. State laws, regulations, policies and notices referenced in the description are available to CMS upon request through the operating or Medicaid agency.

The person receiving TBIW services and their legal representative (if applicable) and their case managers are notified in writing of Medicaid Fair Hearing rights when:

1. The person receiving TBIW services does not meet medical eligibility requirements for the Waiver (initial and re-evaluation assessment). They are notified by the UMC at the time of determination. The UMC maintains all records of medical eligibility denials.
2. The person's services have been reduced during a Service Plan development meeting. They are notified by the UMC. The UMC maintains all records of annual re-evaluations.
3. The person's request for an increase of services is denied. They are notified by the UMC at the time of denial. The UMC maintains all records of requests for request for a service change and decisions.
4. The person's TBIW case has been closed (per established policies and procedures). They are notified by the UMC at the time of closure. The UMC maintains all records of case closures. If the person is denied due to financial ineligibility the local DHHR Office will send notice of the denial and fair hearing rights.

The UMC that they maintain all applicable records of medical eligibility, service denials and closures with the exception of a

person's financial ineligibility.

All notifications of Medicaid Fair Hearing rights includes information that services will continue throughout the Medicaid Fair Hearing process if applicable policy is followed when making the request. Information on available advocacy support is also provided. The person is also provided the opportunity for a Pre-Hearing Conference after they have filed a Medicaid Fair Hearing request to attempt to resolve the issue(s) with BMS through the UMC. If the person has retained legal counsel, then the UMC will not conduct a pre-hearing conference, however BMS legal counsel and the person's legal counsel may communicate as needed prior to the hearing.

The Member Handbook is provided to and reviewed with applicants and members during eligibility assessments (annual for members) by the UMC. This Handbook includes information about Fair Hearing and pre-hearing conference. Additionally, if an applicant is denied eligibility or if a member is denied eligibility or experiences a reduction in service, the Notice of Decision letters include a Fair Hearing request form, instructions for completion and also outline hearing rights and available advocacy resources.

If at any time the Waiver program cannot adequately ensure a person's health and safety, the Case Manager must make appropriate referrals to other available resources in the community. As a last resort, if a person's health and welfare cannot be assured by utilizing Waiver and/or other available community resources, the person will be referred for institutional services. Should a referral be made for institutional services the member would have Fair Hearing rights described below.

If an applicant is denied eligibility or if a member is denied eligibility or experiences a reduction in service, the Notice of Decision letters include a Fair Hearing request form, instructions for completion and also outline hearing rights and available advocacy resources.

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:
- The Utilization Management Contractor
- 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).

A person who is dissatisfied with the services received from a provider agency has the right to file a grievance. All TBIW Provider agencies have a written grievance procedure. The UMC will explain the grievance process to all applicants/person's at the time of initial application/re-evaluation. Applicants/person's and/or their legal representative (if applicable) will be provided with a generic Grievance Form at that time with instructions to send their grievance to the Provider their grievance is with. People receive information about the grievance process in their TBIW Handbook. Service providers will only afford people with a grievance procedure for services that fall under the particular service provider's authority; for example, a Case Management Agency will not conduct a grievance procedure for Personal Attendant Service Agency activities, nor will a Personal Attendant Service Agency conduct a grievance procedure for Case Management Agency activities.

A person may by-pass the level one grievance and files a level two grievance with the UMC if he/she chooses.

The grievance procedure consists of two levels:

A. Level One:

The TBIW Provider has 10 business days from the date they receive a Grievance Form to hold a meeting with the person and/or legal representative (if applicable), in person or by telephone. The meeting will be conducted by the agency director or their designee with the person and/or their legal representative (if applicable). The agency has five business days from the date of the meeting to respond in writing to the grievance. If the person is dissatisfied with the agency decision, he/she may request that the grievance be submitted to the UMC for a Level Two review and decision.

B. Level Two:

If a TBIW Provider is not able to address the grievance in a manner satisfactory to the person and the person requests a Level Two review, the UMC will, within 10 business days of the receipt of the Grievance Form, contact the person and/or their legal representative (if applicable) and the TBIW Provider to review the Level One decision. Level Two decisions will be based on Medicaid policy and/or health and safety issues. The UMC will provide notice of the decision in writing to the person and/or legal representative (if applicable), the Provider agency and the Bureau for Medical Services (BMS).

The TBIW grievance process is intended to resolve complaints not subject to the Medicaid Fair Hearing process such as person's allegations of Provider noncompliance with Waiver policy and/or non-implementation of the person's current Service Plan.

The grievance process is not utilized to address decisions regarding medical or financial eligibility, a change in service(s) or case closure.

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).

TBIW Providers must have policies and procedures for thoroughly reviewing, investigating, and tracking all incidents involving the risk or potential risk to the health and safety of the people they serve. Providers are responsible for taking appropriate action on both an individual and systemic basis. All providers are required to report and track incidents to the UMC until such time the web-based West Virginia Incident Management System (WVIMS) is available to TBIW providers. Providers shall classify all incidents as:

- Allegation of abuse, neglect, or exploitation - must be reported to Adult Protective Services (APS) per WV Code 9-6-1 or Child Protective Services (CPS) per WV Code 49-6A-2.
- Critical incident - a high likelihood of producing real or potential harm to the health and welfare of the person.
- Simple incident - unusual events occurring to a person that cannot be characterized as a critical incident and does not meet the level of abuse or neglect.

Any incidents involving a person utilizing TBIW services must be reported to the UMC by email or entered into the WVIMS (when available) the next business day of learning of the incident. The TBIW Provider's Director or designated staff will immediately review each Incident Report and determine whether the incident warrants a thorough investigation. Investigations must be initiated within 24 hours of learning of the incident. A completed Incident Report must be faxed to the UMC or entered into the WVIMS (when available) within fourteen (14) calendar days of the incident. At any time during the course of an investigation should an allegation or concern of abuse or neglect arise, the provider shall immediately notify APS or CPS as mandated by State Code. Providers are responsible to investigate all incidents, including those reported to APS or CPS. The Provider will inform the person and/or their legal representative (if applicable) in writing the results of an investigation.

Providers are required to regularly review and analyze incident reports to identify health and safety trends. Identified health and safety concerns and remediation strategies must be incorporated into the Provider's Quality Management Plan.

Providers must conduct a thorough investigation on any incident involving the risk or potential risk to the health and safety of the program participants. Incidents have been classified by policy (BMS) and Providers are required to use this classification when determining their response. Classification of incidents include: Abuse, Neglect, and/or Exploitation, Critical Incidents and Simple Incidents.

All Critical Incidents must be investigated by the Provider, all incidents involving abuse, neglect and/or exploitation must be reported to WV DHHR Bureau for Children and Families Protective Services (Adult/Children).

- 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 that defines abuse, neglect and exploitation and how to notify the appropriate authorities is provided by the UMC to the applicant and/or legal representative (if applicable) at their initial medical eligibility assessment as well as to the person and/or their legal representative (if applicable) at their annual medical eligibility re-evaluation.

The UMC will review/educate the member about recognizing and reporting abuse, neglect and exploitation annually during the eligibility assessment. The member will sign-off that they have received and understand the information reviewed.

- 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.

TBIW Provider Directors (or designated staff) must immediately review each Incident Report and determine whether the incident warrants a thorough investigation. Investigations are required to be initiated within twenty-four (24) hours of learning of the incident. Providers will be required to enter all Incident Reports into the WV IMS when available until such time reports are provided to the UMC.

At any time during the course of an investigation should an allegation or concern of abuse or neglect arise, the Provider shall immediately notify APS or CPS as mandated by State Code. The person/legal representative may request to review APS or CPS investigation findings at any time, however, those mandated investigative agencies

must follow WV state code regarding who can be informed of their investigative results. TBIW Providers are responsible to investigate all incidents, including those reported to APS or CPS. Per policy, when there has been an allegation of abuse, neglect or exploitation, TBIW Providers must:

- 1) Take immediate necessary steps to ensure the health and safety of the person while investigating the incident
- 2) Revise the person's Service Plan if necessary to implement additional supports, and
- 3) Implement necessary system's changes including additional Personal Attendant professional training that might be helpful in preventing future incidents.

Providers are required to review periodically their incident data to identify and address systemic issues and concerns.

The UMC generates a monthly report which is reviewed by the Bureau for Medical Services (BMS) and management staff of the UMC at regular contract meetings. The UMC monitors Provider incidents. The UMC will monitor Provider incidents in real time (via the WV IMS when available).

Providers will be required to review their incident data and identify and address systemic issues and concerns quarterly per policy. The UMC will monitor compliance with this policy during annual on-site provider reviews.

Providers are required to report within 24 hours of learning of the incident. They are required to immediately initiate an investigation of critical incidents and complete their investigation within 14 calendar days.

Currently the project to develop a new WVIMS portal is underway and when completed the TBIW will be added. Until that time, the UMC has developed a work-around and providers submit paper copies of incidents which are reported and followed upon by the UMC.

The Performance Measure currently reported by the UMC to BMS monthly is:

Number and percent of abuse, neglect and exploitation allegations reported to the UMC within required time frames

Numerator: # Abuse, neglect, and exploitation allegations reported to the UMC within required time frames

Denominator: # Abuse, neglect and exploitation allegations reported

- 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 UMC is responsible for overseeing the operation of the WVIMS (when available) and is responsible for real time monitoring of Provider incident investigations. Every incident submitted must be reviewed by the UMC to ensure that appropriate and timely steps are taken by the Providers. A report is generated monthly which is reviewed by BMS and management staff of the UMC at regular contract meetings to identify and address system issues and concerns and prevent re-occurrences. Quarterly reports are also reviewed by the Quality Improvement Advisory Council.

As part of the Quality Improvement System (QIS), the UMC reviews a representative sample of files annually, including (as applicable) compliance with Incident Management policies. This data is also reviewed and analyzed by BMS, UMC and the Quality Improvement Advisory Council.

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:

Providers are mandatory reporters and as such are required to report any incidents of the use of restraints or seclusion directly to Adult Protective Services (APS) or Child Protective Services (CPS). APS or CPS is required to investigate these allegations. Providers also have a responsibility per policy to investigate and to report the incident directly to the UMC until the WV Incident Management System (WVIMS) is available.

WV does not permit the use of restraints or restrictive interventions on this program, however, all providers are mandatory reports and, as such, WV requires TBIW providers to have policies and procedures for thoroughly reviewing, investigating, and tracking all incidents involving the risk or potential risk to the health and safety of the people they serve. The provider is responsible for taking appropriate action on both an individual and systemic basis in order to identify potential harms, or to prevent further harm, to the health and safety of all people served. Anyone providing services to a person on the TBIW who suspects an allegation of abuse, neglect, or exploitation must report the incident to West Virginia Centralized Intake immediately by calling 1-800-352-6513, 7 days a week, 24 hours day. This initial referral must then be followed by a written report, submitted to the local Department of Health and Human Resources where the alleged victim resides, within 48 hours following the verbal referral. An Adult Protective Services (APS) or Child Protective Services (CPS) Worker MAY be assigned to investigate the alleged abuse, neglect and/or exploitation. The TBIW provider, member or legal representative may also report suspected sexual assault and/or sexual abuse, serious physical abuse or exploitation to your local law enforcement agency by calling 911. Any incident attributable to the failure of TBIW provider staff to perform his/her responsibilities that compromises the health or safety of the person receiving TBIW services is considered to be neglect and must be reported to Adult or Child Protective Services. Incidents shall be classified by the provider as one of the following:

Critical incidents are occurrences with a high likelihood of producing real or potential harm to the health and welfare of the person receiving ADW services or incidents which have caused harm or injury. It could also include any type of suspected criminal activity. For the purpose of this system, critical incidents do not result from abuse/neglect/exploitation. These incidents may include, but are not limited to, the following:

- a. Attempted suicide, or suicidal threats or gestures.
- b. Suspected and/or observed criminal activity by the member receiving TBIW services, member's families, health care providers, concerned citizens, and public agencies that compromise the health or safety of the person.
- c. An unusual event such as a fall or injury of unknown origin requiring medical intervention or first aid if abuse and neglect is not suspected.
- d. A significant interruption of a major utility, such as electricity or heat in the member's residence that compromises the health or safety of the member.
- e. Environmental/structural problems with the member's home, including inadequate sanitation or structural damage that compromises the health or safety of the member.
- f. Fire in the home resulting in relocation or property loss that compromises the health or safety of the member.
- g. Unsafe physical environment in which the personal attendant and/or other agency staff are threatened or abused, and the staff's welfare is in jeopardy.
- h. Disruption of the delivery of TBIW services, due to involvement with law enforcement authorities by the member and/or others residing in the member's home that compromises the health or safety of the member.
- i. Medication errors by a member or his/her family caregiver that compromises the health or safety of the member, such as medication taken that was not prescribed or ordered for the member, and failure to follow directions for prescribed medication, including inappropriate dosages, missed doses, or doses administered at the wrong time.
- j. Disruption of planned services for any reason that compromises the health or safety of the member receiving TBIW services, including failure of member's emergency backup plan.
- k. Any other incident judged to be significant and potentially having a serious negative impact on the member receiving TBIW services.
- l. Any incident attributable to the failure of TBIW provider staff to perform his/her responsibilities that compromises the member's health or safety is considered to be neglect and must be reported to Adult or Child Protective Services (APS).

Simple incidents are any unusual events occurring to a person receiving TBIW services that cannot be characterized as a critical incident and does not meet the level of abuse or neglect. Examples of simple incidents include, but are not limited to, the following:

- a. Fall or other incident that does not require minor first aid or medical intervention.
- b. Minor injuries of unknown origin with no detectable pattern.
- c. Dietary errors with minimal or no negative outcome.

- **The use of restraints is permitted during the course of the delivery of waiver services.** Complete Items G-2-a-i and G-2-a-ii.
 - i. **Safeguards Concerning the Use of Restraints.** Specify the safeguards that the State has established

concerning the use of each type of restraint (i.e., personal restraints, drugs used as restraints, mechanical restraints). State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

- ii. **State Oversight Responsibility.** Specify the State agency (or agencies) responsible for overseeing the use of restraints and ensuring that State safeguards concerning their use are followed and how such oversight is conducted and its frequency:

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (2 of 3)

- b. **Use of Restrictive Interventions.** *(Select one):*

The State does not permit or prohibits the use of restrictive interventions

Specify the State agency (or agencies) responsible for detecting the unauthorized use of restrictive interventions and how this oversight is conducted and its frequency:

Providers are mandatory reporters and as such are required to report any incidents of the use of restrictive interventions directly to Adult Protective Services (APS) or Child Protective Services (CPS). APS/CPS is required to investigate these allegations. Providers also have a responsibility per policy to investigate and to report the incident in the WV Incident Management System (WVIMS) until such time it becomes available they must report to the UMC.

WV does not permit the use of restraints or restrictive interventions on this program, however, all providers are mandatory reports and, as such, WV requires TBIW providers to have policies and procedures for thoroughly reviewing, investigating, and tracking all incidents involving the risk or potential risk to the health and safety of the people they serve. The provider is responsible for taking appropriate action on both an individual and systemic basis in order to identify potential harms, or to prevent further harm, to the health and safety of all people served. Anyone providing services to a person on the TBIW who suspects an allegation of abuse, neglect, or exploitation must report the incident to West Virginia Centralized Intake immediately by calling 1-800-352-6513, 7 days a week, 24 hours day. This initial referral must then be followed by a written report, submitted to the local Department of Health and Human Resources where the alleged victim resides, within 48 hours following the verbal referral. An Adult Protective Services (APS) or Child Protective Services (CPS) Worker MAY be assigned to investigate the alleged abuse, neglect and/or exploitation. The TBIW provider, member or legal representative may also report suspected sexual assault and/or sexual abuse, serious physical abuse or exploitation to your local law enforcement agency by calling 911. Any incident attributable to the failure of TBIW provider staff to perform his/her responsibilities that compromises the health or safety of the person receiving TBIW services is considered to be neglect and must be reported to Adult or Child Protective Services. Incidents shall be classified by the provider as one of the following:

Critical incidents are occurrences with a high likelihood of producing real or potential harm to the health and welfare of the person receiving ADW services or incidents which have caused harm or injury. It could also include any type of suspected criminal activity. For the purpose of this system, critical incidents do not result from abuse/neglect/exploitation. These incidents may include, but are not limited to, the following:

- a. Attempted suicide, or suicidal threats or gestures.
- b. Suspected and/or observed criminal activity by the member receiving TBIW services, member's families, health care providers, concerned citizens, and public agencies that compromise the health or safety of the person.
- c. An unusual event such as a fall or injury of unknown origin requiring medical intervention or first aid if abuse and neglect is not suspected.
- d. A significant interruption of a major utility, such as electricity or heat in the

- member's residence that compromises the health or safety of the member.
- e. Environmental/structural problems with the member's home, including inadequate sanitation or structural damage that compromises the health or safety of the member.
- f. Fire in the home resulting in relocation or property loss that compromises the health or safety of the member.
- g. Unsafe physical environment in which the personal attendant and/or other agency staff are threatened or abused, and the staff's welfare is in jeopardy.
- h. Disruption of the delivery of TBIW services, due to involvement with law enforcement authorities by the member and/or others residing in the member's home that compromises the health or safety of the member.
- i. Medication errors by a member or his/her family caregiver that compromises the health or safety of the member, such as medication taken that was not prescribed or ordered for the member, and failure to follow directions for prescribed medication, including inappropriate dosages, missed doses, or doses administered at the wrong time.
- j. Disruption of planned services for any reason that compromises the health or safety of the member receiving TBIW services, including failure of member's emergency backup plan.
- k. Any other incident judged to be significant and potentially having a serious negative impact on the member receiving TBIW services.
- l. Any incident attributable to the failure of TBIW provider staff to perform his/her responsibilities that compromises the member's health or safety is considered to be neglect and must be reported to Adult or Child Protective Services (APS).

Simple incidents are any unusual events occurring to a person receiving TBIW services that cannot be characterized as a critical incident and does not meet the level of abuse or neglect. Examples of simple incidents include, but are not limited to, the following:

- a. Fall or other incident that does not require minor first aid or medical intervention.
- b. Minor injuries of unknown origin with no detectable pattern.
- c. Dietary errors with minimal or no negative outcome.

The use of restrictive interventions is permitted during the course of the delivery of waiver services
Complete Items G-2-b-i and G-2-b-ii.

- i. **Safeguards Concerning the Use of Restrictive Interventions.** Specify the safeguards that the State has in effect concerning the use of interventions that restrict participant movement, participant access to other individuals, locations or activities, restrict participant rights or employ aversive methods (not including restraints or seclusion) to modify behavior. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency.

- ii. **State Oversight Responsibility.** Specify the State agency (or agencies) responsible for monitoring and overseeing the use of restrictive interventions and how this oversight is conducted and its frequency:

Appendix G: Participant Safeguards

Appendix G-2: Safeguards Concerning Restraints and Restrictive Interventions (3 of 3)

- c. **Use of Seclusion.** *(Select one): (This section will be blank for waivers submitted before Appendix G-2-c was added to WMS in March 2014, and responses for seclusion will display in Appendix G-2-a combined with information on restraints.)*

The State does not permit or prohibits the use of seclusion

Specify the State agency (or agencies) responsible for detecting the unauthorized use of seclusion and how this

oversight is conducted and its frequency:

Providers are mandatory reporters and as such are required to report any incidents of the use of restraints and restrictive interventions directly to Adult Protective Services (APS) or Child Protective Services (CPS). APS or CPS is required to investigate these allegations. Providers also have a responsibility per policy to investigate and to report the incident directly to the UMC or the WV Incident Management System (WVIMS) when available.

WV does not permit the use of seclusion in this program, however, all providers are mandatory reports and, as such, WV requires TBIW providers to have policies and procedures for thoroughly reviewing, investigating, and tracking all incidents involving the risk or potential risk to the health and safety of the people they serve. The provider is responsible for taking appropriate action on both an individual and systemic basis in order to identify potential harms, or to prevent further harm, to the health and safety of all people served. Anyone providing services to a person on the TBIW who suspects an allegation of abuse, neglect, or exploitation must report the incident to West Virginia Centralized Intake immediately by calling 1-800-352-6513, 7 days a week, 24 hours a day. This initial referral must then be followed by a written report, submitted to the local Department of Health and Human Resources where the alleged victim resides, within 48 hours following the verbal referral. An Adult Protective Services (APS) or Child Protective Services (CPS) Worker MAY be assigned to investigate the alleged abuse, neglect and/or exploitation. The TBIW provider, member or legal representative may also report suspected sexual assault and/or sexual abuse, serious physical abuse or exploitation to your local law enforcement agency by calling 911. Any incident attributable to the failure of TBIW provider staff to perform his/her responsibilities that compromises the health or safety of the person receiving TBIW services is considered to be neglect and must be reported to Adult or Child Protective Services. Incidents shall be classified by the provider as one of the following:

Critical incidents are occurrences with a high likelihood of producing real or potential harm to the health and welfare of the person receiving ADW services or incidents which have caused harm or injury. It could also include any type of suspected criminal activity. For the purpose of this system, critical incidents do not result from abuse/neglect/exploitation. These incidents may include, but are not limited to, the following:

- a. Attempted suicide, or suicidal threats or gestures.
- b. Suspected and/or observed criminal activity by the member receiving TBIW services, member's families, health care providers, concerned citizens, and public agencies that compromise the health or safety of the person.
- c. An unusual event such as a fall or injury of unknown origin requiring medical intervention or first aid if abuse and neglect is not suspected.
- d. A significant interruption of a major utility, such as electricity or heat in the member's residence that compromises the health or safety of the member.
- e. Environmental/structural problems with the member's home, including inadequate sanitation or structural damage that compromises the health or safety of the member.
- f. Fire in the home resulting in relocation or property loss that compromises the health or safety of the member.
- g. Unsafe physical environment in which the personal attendant and/or other agency staff are threatened or abused, and the staff's welfare is in jeopardy.
- h. Disruption of the delivery of TBIW services, due to involvement with law enforcement authorities by the member and/or others residing in the member's home that compromises the health or safety of the member.
- i. Medication errors by a member or his/her family caregiver that compromises the health or safety of the member, such as medication taken that was not prescribed or ordered for the member, and failure to follow directions for prescribed medication, including inappropriate dosages, missed doses, or doses administered at the wrong time.
- j. Disruption of planned services for any reason that compromises the health or safety of the member receiving TBIW services, including failure of member's emergency backup plan.
- k. Any other incident judged to be significant and potentially having a serious negative impact on the member receiving TBIW services.
- l. Any incident attributable to the failure of TBIW provider staff to perform his/her responsibilities that compromises the member's health or safety is considered to be neglect and must be reported to Adult or Child Protective Services (APS).

Simple incidents are any unusual events occurring to a person receiving TBIW services that cannot be characterized as a critical incident and does not meet the level of abuse or neglect. Examples of simple incidents include, but are not limited to, the following:

- a. Fall or other incident that does not require minor first aid or medical intervention.
- b. Minor injuries of unknown origin with no detectable pattern.
- c. Dietary errors with minimal or no negative outcome.

- The use of seclusion is permitted during the course of the delivery of waiver services.** Complete Items G-2-c-i and G-2-c-ii.

- i. Safeguards Concerning the Use of Seclusion.** Specify the safeguards that the State has established concerning the use of each type of seclusion. State laws, regulations, and policies that are referenced are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

- ii. State Oversight Responsibility.** Specify the State agency (or agencies) responsible for overseeing the use of seclusion and ensuring that State safeguards concerning their use are followed and how such oversight is conducted and its frequency:

Appendix G: Participant Safeguards

Appendix G-3: Medication Management and Administration (1 of 2)

This Appendix must be completed when waiver services are furnished to participants who are served in licensed or unlicensed living arrangements where a provider has round-the-clock responsibility for the health and welfare of residents. The Appendix does not need to be completed when waiver participants are served exclusively in their own personal residences or in the home of a family member.

- a. **Applicability.** Select one:

- No. This Appendix is not applicable** (do not complete the remaining items)
- Yes. This Appendix applies** (complete the remaining items)

- b. **Medication Management and Follow-Up**

- i. Responsibility.** Specify the entity (or entities) that have ongoing responsibility for monitoring participant medication regimens, the methods for conducting monitoring, and the frequency of monitoring.

- ii. Methods of State Oversight and Follow-Up.** Describe: (a) the method(s) that the State uses to ensure that participant medications are managed appropriately, including: (a) the identification of potentially harmful practices (e.g., the concurrent use of contraindicated medications); (b) the method(s) for following up on potentially harmful practices; and, (c) the State agency (or agencies) that is responsible for follow-up and oversight.

Appendix G: Participant Safeguards

Appendix G-3: Medication Management and Administration (2 of 2)

- c. **Medication Administration by Waiver Providers**

Answers provided in G-3-a indicate you do not need to complete this section

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

- Not applicable.** *(do not complete the remaining items)*
- Waiver providers are responsible for the administration of medications to waiver participants who cannot self-administer and/or have responsibility to oversee participant self-administration of medications.** *(complete the remaining items)*
- ii. **State Policy.** Summarize the State policies that apply to the administration of medications by waiver providers or waiver provider responsibilities when participants self-administer medications, including (if applicable) policies concerning medication administration by non-medical waiver provider personnel. State laws, regulations, and policies referenced in the specification are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

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

- Providers that are responsible for medication administration are required to both record and report medication errors to a State agency (or agencies).**
Complete the following three items:

(a) Specify State agency (or agencies) to which errors are reported:

(b) Specify the types of medication errors that providers are required to *record*:

(c) Specify the types of medication errors that providers must *report* to the State:

- Providers responsible for medication administration are required to record medication errors but make information about medication errors available only when requested by the State.**

Specify the types of medication errors that providers are required to record:

- iv. **State Oversight Responsibility.** Specify the State agency (or agencies) responsible for monitoring the performance of waiver providers in the administration of medications to waiver participants and how monitoring is performed and its frequency.

Appendix G: Participant Safeguards

Quality Improvement: Health and Welfare

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

a. Methods for Discovery: Health and Welfare

The state demonstrates it has designed and implemented an effective system for assuring waiver participant health and welfare. (For waiver actions submitted before June 1, 2014, this assurance read "The State, on an ongoing basis, identifies, addresses, and seeks to prevent the occurrence of abuse, neglect and exploitation.")

i. Sub-Assurances:

- a. Sub-assurance: The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death.** (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.)

Performance Measures

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

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

Performance Measure:

Percent of agency staff files reviewed with National Crime Information Center (NCIC) checks returned with satisfactory results within timelines
Numerator= Number of agency staff reviewed with NCICs returned with satisfactory results within timelines
Denominator= Number of agency staff files 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input type="text"/>
<input checked="" type="checkbox"/> Other Specify: UMC	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other	

	Specify:	
	<input type="text"/>	

Data Aggregation and Analysis:

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

Performance Measure:

Percent of agency staff files reviewed with monthly OIG exclusion list checks returned with satisfactory results
 Numerator= Number of agency staff files reviewed with OIG exclusion list checks with satisfactory results
 Denominator= Number of agency staff files reviewed.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

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

Data Aggregation and Analysis:

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

Performance Measure:

Percent of files of people receiving services with a document acknowledging receipt of training on information about how to report abuse, neglect, exploitation or other critical incidents signed by the person or the legal representative
Numerator= Number of files of people receiving services with that signed acknowledgement Denominator= Number of files 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval =

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

Data Aggregation and Analysis:

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

Performance Measure:

Percent of files of people receiving services that have a document signed by person or legal representatives acknowledging they know how to report abuse, neglect, exploitation or other critical incidents. Numerator= Number of files of people receiving services with that signed document Denominator= Number of files of people receiving services 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):
<input type="checkbox"/> State Medicaid	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review

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

Data Aggregation and Analysis:

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

- b. **Sub-assurance:** *The state demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.*

Performance Measures

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

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

Performance Measure:

Percent of reported critical and abuse/neglect/exploitation incidents resolved within fourteen days
Numerator= Number of reported critical and abuse/neglect/exploitation incidents marked resolved within fourteen days
Denominator= Number of reported critical and abuse/neglect/exploitation incidents entered into the WVIMS for any given period

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

Performance Measure:
Percent of reported critical and abuse/neglect/exploitation incidents followed-up on by providers with established timelines. Numerator-Number of reported critical & abuse/neglect/exploitation incidents followed-up on by the provider with timelines. Denominator-Number of reported critical & abuse/neglect/exploitation incidents.

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

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

Data Aggregation and Analysis:

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

Performance Measure:

Percent of mortality reports of people receiving services reported by Service Coordinator that coincide with cause of death on death certificate. Numerator-Number of mortality reports of people receiving services that coincide with the cause of death on the death certificate. Denominator-Number of mortality reports submitted.

Data Source (Select one):

Mortality reviews

If 'Other' is selected, specify:

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

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

Data Aggregation and Analysis:

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

Performance Measure:

Percent of unexplained, suspicious and untimely deaths for which review/investigation resulted in the identification of preventable causes
Numerator: Number of unexplained, suspicious and untimely deaths for which review/investigation resulted in the identification of preventable causes
Denominator: Total number of deaths

Data Source (Select one):

Mortality reviews

If 'Other' is selected, specify:

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

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

Data Aggregation and Analysis:

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

- c. **Sub-assurance: The state policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.**

Performance Measures

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

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

- 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:

Percent of files of people receiving services reviewed whose Service Plan reflected a person's health care needs were coordinated. Numerator: The number of files of people receiving services reviewed whose Service Plan reflected a person's health care needs were coordinated. Denominator: The number of files reviewed.

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

Performance Measure:

Percent of files of people receiving services reviewed with a current and appropriate backup/crisis plan in their file
Numerator: The number of files of people receiving services reviewed with a current and appropriate backup/crisis plan in their file
Denominator: The number of files reviewed

Data Source (Select one):

Record reviews, on-site

If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

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

BMS will review all mortality reports/death certificates for unexplained and/or unexpected deaths and refer to BMS legal counsel for further action.

b. Methods for Remediation/Fixing Individual Problems

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

All information related to this assurance is collected and monitored by the UMC. The UMC will collect and monitor this assurance using the WV IMS when the WV IMS system is available. The UMC will collect and monitor this assurance using results of Provider reviews, BMS Fiscal Agency data, and mortality reviews. Providers issues/concerns such as failure to meet requirements are addressed immediately upon identification by the UMC. Providers may be required to submit Plans of Correction addressing identified issues that must be approved by the UMC.

- ii. **Remediation Data Aggregation**

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

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

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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.

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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 UMC is responsible for monitoring the quality of Waiver services and implementing and evaluating quality improvement strategies. The Waiver's Quality Improvement System (QIS) is evidence-driven and incorporates a broad-base of stakeholders in active roles in the process.

Discovery and remediation activities focus on the collection of data necessary to monitor the quality indicators established to provide evidence relating to the CMS assurances and sub-assurances. Specific data sources include provider monitoring, claims data, incident management reports, contract oversight meetings and reports, and other stakeholder feedback and input.

The primary mechanism for involving stakeholders in the Waiver's quality improvement initiative is the Quality Improvement Advisory (QIA) Council. The Council is comprised of people who currently or formerly received TBIW services and/or their legal representatives (if applicable) of the program, Waiver providers, advocates and other interested stakeholders. The Council serves as a forum for people and/or their legal representative (if applicable) and the public to raise and address program issues and concerns affecting the quality of Waiver services.

The Council:

1. Reviews findings from discovery activities.
2. Recommends program priorities and quality initiatives.
3. Recommends policy changes.
4. Monitors and evaluates the implementation of Waiver priorities and quality initiatives.
5. Monitors and evaluates policy changes.
6. Serves as a liaison between the Waiver and its stakeholders.
7. Establishes committees and work groups consistent with its purpose and guidelines.

The Quality Management Report, which incorporates data from discovery and remediation activities, is reviewed and analyzed by the Bureau for Medical Services (BMS) Management staff through regular meetings with contractors. The report is also reviewed with the QIA Council in order to identify trends and to monitor the effectiveness of quality improvement activities.

Quality improvement priorities are identified through data analysis and stakeholder input and are incorporated in the annual Quality Management Plan. Updates on the goals and objectives of this plan are reviewed at each meeting and guide the efforts of the Council and staff. The Quality Management Plan is evaluated at the annual QIA Council meeting and is revised if necessary to reflect current quality issues.

The UMC receives reported incidents within 24-hours of the provider becoming aware of the incident. The UMC reviews these reports and initially follows up with the provider to provide technical assistance (review timelines and policy). The UMC verifies any investigations are completed by the provider within timeline (and that any appropriate referrals have been made to Protective Services, law enforcement etc.). The UMC compiles information monthly and reports to BMS. Quarterly, information is reviewed by the Quality Improvement Advisory Council for possible suggested policy/procedural changes.

The UMC generates monthly reports to identify and monitor incident trends.

The UMC provides and reviews the Member Handbook with applicants and members during the UMC’s eligibility assessment. The handbook includes information on the toll-free hotline. The UMC follows the Complaint and Investigation protocol to investigate the concerns that people have communicated via the toll-free hotline.

The purpose of the TBI Waiver Quality Improvement Advisory (QIA) Council (hereafter known as the Council) is to provide guidance and feedback to the Department of Health and Human Resources Bureau for Medical Services (BMS) and its contracted Operating Agency in the development of an ongoing quality assurance and improvement system for the TBI Waiver Program. To this end, the Council’s charge is to work with staff to develop and strengthen the TBI Waiver program’s ability to:

- Collect data and assess member experiences in order to assess the ongoing implementation of the program, identifying strengths and opportunities for quality improvement,
- Act in a timely manner to remedy specific problems or concerns as they arise and
- Use data and quality information to engage in actions that lead to continuous improvement in the TBI Waiver program.

The Council will work with BMS and the Operating Agency to ensure that the TBI Waiver supports the desired outcomes outlined in the six (6) focus areas of the Quality Framework developed by the Centers for Medicare and Medicaid Services (CMS).

The role of the Council is advisory in nature and therefore, it has no authority in administering the TBI Waiver Program. Its function is to advise and assist BMS in program planning, development, and evaluation consistent with its stated purpose. In this role, the Council shall:

- Review findings from evidence-based discovery activities,
- Recommend program priorities and quality initiatives,
- Recommend policy changes,
- Monitor and evaluate the implementation of TBI Waiver priorities and quality initiatives,
- Monitor and evaluate policy changes,
- Serve as a liaison between the TBI Waiver program and its stakeholders and
- Establish committees and work groups consistent with its purpose and guidelines.

ii. System Improvement Activities

Responsible Party <i>(check each that applies):</i>	Frequency of Monitoring and Analysis <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input checked="" type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input checked="" type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Quality Improvement Committee	<input checked="" type="checkbox"/> Annually
<input checked="" type="checkbox"/> Other Specify: UMC	<input type="checkbox"/> Other Specify: <input style="width: 100%; height: 20px;" type="text"/>

b. System Design Changes

- i. Describe the process for monitoring and analyzing the effectiveness of system design changes. Include a description of the various roles and responsibilities involved in the processes for monitoring & assessing system design changes. If applicable, include the State's targeted standards for systems improvement.

The TBIW Quality Improvement System (QIS) is designed to: 1) Collect the data necessary to provide evidence that the CMS assurances are being met and 2) ensure the active involvement of stakeholders in the quality improvement process. The primary sources of discovery include provider reviews, incident management reports and complaints, administrative reports, oversight of delegated administrative functions, and stakeholder input.

Provider Reviews:

The primary means of monitoring the quality of Waiver services is provider reviews conducted by staff of the UMC.

Prior to enrolling as a TBIW Provider, agencies interested in providing Waiver services are reviewed by the UMC to ensure that all Licensure and/or Certification standards are met. All new providers are reviewed after the first six (6) months in order to identify and address any issues or concerns.

Providers are required to submit evidence to the UMC annually to document continuing compliance with all Licensure and/or Certification requirements as specified in the TBIW Policy Manual. This evidence must be signed by an appropriate official of the provider (e.g., Executive Director, Board Chair, etc.). If appropriate documentation is not provided, a Provisional Certification may be issued until appropriate documents are submitted and approved by the UMC. Providers receiving a Provisional Certification are required to have an on-site review by the UMC prior to full re-certification. A percentage of Providers are randomly selected each year for an on-site review to validate certification documentation. Targeted on-site provider reviews may be conducted based on Incident Management Reports and complaint data.

A statewide representative sample of files are reviewed every 12 months. Files are reviewed by staff of the UMC. Monitoring tools have been developed to ensure that the critical data necessary to monitor CMS assurances are collected. A random sample, ensuring that at least one person's chart from each Provider site is reviewed, will be identified with the guidance of CMS technical assistance contractors.

West Virginia Incident Management System (WVIMS):

Another key source for monitoring the quality of TBIW services will be the online West Virginia Incident Management System (WVIMS). Currently the WVIMS system is not available to TBIW Providers. Waiver Providers will be required to use the online application to report and track all incidents including 1) Simple Incidents, 2) Critical Incidents, and 3) Abuse, Neglect, and Exploitation. Currently Providers are required to report all incidents to the UMC. The online system will give providers the ability to generate agency specific reports to identify and monitor trends. The WVIMS also provides the UMC the capability to monitor reported incidents in "real time" in order to ensure that timely, appropriate steps are taken by providers. The UMC generates periodic reports to identify and monitor trends statewide.

The UMC also operates a toll-free hotline allowing people to contact them directly to report and address concerns with their services. Data from these calls are compiled and analyzed for trends.

Reports:

BMS management staffs receive and review the following contract reports:

- UMC - Monthly Program Report, Monthly Activity Report, semi-monthly Tracking Report, and ad hoc reports as requested.
- Personal Options- Monthly Program report and ad hoc reports as requested.
- Claims processing entity - regular claims data reports and ad hoc reports as requested.

Contract Oversight Meetings:

BMS management staff conducts monthly oversight meetings with each of its contractors to monitor performance and address identified issues/concerns.

The quality management data collected through discovery methods is compiled using the Quality Management Report Template and reviewed at least monthly by BMS and the UMC at its contract meetings. The Quality Management Report is also compiled and reviewed quarterly by the QIA Council.

A comprehensive report summarizing the findings of provider reviews is compiled at the end of each review cycle, reviewed and analyzed by Waiver staff and presented to the QIA Council for its review and analysis.

The Quality Improvement Advisory (QIA) Council:

The QI Advisory Council is the focal point of stakeholder input for the Waiver and plays an integral role in data analysis, trend identification, and the development and implementation of remediation strategies.

The Council provides Waiver staff feedback and guidance regarding quality improvement initiatives. In partnership with Waiver staff, the Council reviews and analyzes data, identifies trends and priorities, and develops the annual Quality Management Plan in which specific quality improvement goals and objectives are established.

The Council may establish work groups consisting of Council members and others wishing to participate in the process to address specific improvement goals and objectives.

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

The goals and objectives outlined in the Quality Management Plan are continuously monitored by the QIA Council, with regular updates being provided at each quarterly meeting. An annual planning meeting is held to review progress toward the goals and objectives of the plan and to update the plan as indicated by quality management data.

Appendix I: Financial Accountability

I-1: Financial Integrity and Accountability

Financial Integrity. Describe the methods that are employed to ensure the integrity of payments that have been made for waiver services, including: (a) requirements concerning the independent audit of provider agencies; (b) the financial audit program that the state conducts to ensure the integrity of provider billings for Medicaid payment of waiver services, including the methods, scope and frequency of audits; and, (c) the agency (or agencies) responsible for conducting the financial audit program. State laws, regulations, and policies referenced in the description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

A statewide representative sample of TBI files is reviewed every 12 months to verify documentation of services billed. Provider reviews are conducted by staff of the UMC to ensure the integrity of payments that have been made for waiver services. When provider documentation does not support services billed, providers are required to submit Plan of Correction which must be approved by the UMC and BMS. Providers are required to reimburse the Bureau for Medical Services for any services billed without supporting documentation or provided by unqualified staff. The Medicaid Program (which would include the TBIW) is audited annually under the West Virginia Statewide Single Audit. The State of West Virginia Statewide Single Audit is conducted by Ernst & Young, LLP. The claims submitted by providers for services provided under the TBIW will be processed through the MMIS, just as any other claim. During the single audit process the auditors select a sample of claims processed through the MMIS for testing; since the TBIW claims are processed through the MMIS, they would be included in the population of all claims that are selectable for testing during the single audit process.

The audit procedures performed by Ernst and Young for waiver providers is to validate:

- Authorization of Provider services
- Delivery of Provider services
- Payment of Provider services

The audit procedures for waiver provider services are included in Ernst and Young sample selection methodology for all provider payments.

The Ernst and Young audit procedures are an additional layer of review – in addition to the UMC contractor processes to verify accurate service provision and expenditures.

WV Code §16-5F-1 requires submission of an annual audit report to the WV Healthcare Authority for certain healthcare providers.

100% of providers are reviewed annually. 100% of member files are reviewed upon on-site provider review. 50% of member claims are reviewed and compared to Service Plans, assessments, and documentation to substantiate services are billed in compliance with policy standards.

If a fraudulent provider is uncovered, the UMC refers the case to Office of Program Integrity who then refers to the Medicaid Fraud Control Unit for follow-up.

The UMC does verify service documentation and staffing qualifications as part of the provider review.

The UMC submits to OPI a list of members to be reviewed (100% sample). OPI pulls a sample of TBI Waiver claims representing 6-months of services for each member to be reviewed.

The UMC expects the provider to submit outstanding document (ex. Evidence of provider qualifications, training, policies, etc.). Upon the provider's next annual on-site review, the UMC verifies whether or not the provider has successfully implemented their Plan of Correction.

All fraudulent activity is referred to Office of Program Integrity (OPI), who refers to the Medicaid Fraud Control Unit.

WV relies on the fiscal agent to monitor the appropriate exclusions databases upon enrollment and re-enrollment validation. The fiscal agent compares providers against the Medicare Exclusion Database and the General Services Administration's Excluded Parties List System. The fiscal agent also checks the HHS/OIG List of Excluded Individuals/Entities monthly.

The Bureau for Medical Services is responsible for the UMC's performance.

BMS is responsible to examine all Provider Review Reports generated by the UMC. BMS, OPI, UMC, and any other entity deemed necessary by BMS meet as a Review Committee to consider provider's comments related to a Provider Draft Disallowance Report. BMS is responsible to make the final determination for any recommended disallowance resulting from the UMC provider review during the Review Committee. BMS is responsible to forward the finalized Provider Review Reports to the Provider with instructions for repayment.

Types of Activities to ensure the integrity of services payments:

- 1.) Licensing Process: All TBI W Providers must meet initial and continuing Certification Reviews. All TBI W Providers must be enrolled with Molina and receive a provider number from Molina. TBI W Case Managers must be licensed in WV as a Social Worker, Counselor, or Registered Nurse and employed by a TBI Waiver Case Management Agency enrolled with Medicaid. Professional credentials are verified during Provider on-site reviews by the UMC.
- 2.) Compliance Process: Upon completion of each provider retrospective review, the UMC conducts a face-to-face exit summation with the agency director. Following the exit summation, the UMC will make available to the provider a draft Review Report and if necessary a Draft Plan of Correction to be completed by the TBI Waiver provider. If potential disallowances are identified, the TBI Waiver provider will have 30 days from receipt of the draft Review Report to send comments back to the UMC. After the 30 day comment period has ended, BMS will review the draft Review Report and any comments submitted by the TBI Waiver provider and issue a Final Review Report to the TBI Waiver provider's Director.

The final report reflects the provider's overall performance, details of each area reviewed and any disallowance, if applicable, for any inappropriate or undocumented billing of TBI Waiver Services. A cover letter to the TBI Waiver provider's Director will outline the following options to effectuate repayment:

- (1) Payment to BMS within 60 days after BMS notifies the provider of the overpayment; or
- (2) Placement of a lien by BMS against further payments for Medicaid reimbursements so that recovery is effectuated within 60 days after notification of the overpayment; or
- (3) A recovery schedule of up to a 12 month period, through monthly payments or the placement of a lien against future payments.

If the TBI Waiver provider disagrees with the final disallowance report, the TBI Waiver provider may request a document/desk review within 30 days of receipt of the final report pursuant to the procedures in Common Chapter 800, General Administration of the West Virginia Medicaid Provider Manual. The TBI Waiver provider must still complete the written repayment arrangement within 30 days of receipt of the Final Disallowance Report, but scheduled repayments will not begin until after the document/desk review decision. The request for a document/desk review must be in writing, signed and set forth in detail the items in contention.

3.) What is the process of prior authorization of services to ensure the integrity of services payments?

The UMC receives the Service Request from the member's assigned Case Management Agency (CMA). A complete Service Request must include:

- The Medicaid Traumatic Brain Injury Waiver Services Prior Authorization Cover Sheet
- Copy of the signed Service Plan
- Copy of the most current, signed Member Assessment
- Completed budget

The UMC will examine the clinical information (Member Assessment and Service Plan) submitted by the CMA and the associated prior authorization service request. The UMC conducts a care management review to ensure the following:

- Verifying medical eligibility of member

- Verifying financial eligibility of member
- Quality review of submitted Member Assessment
- Quality Review of submitted Member's Service Plan
- Calculate spending and unit limits (See worksheet for instructions)
- Determine the budget is within service and annual limits
- Determine if prorated budget is required due to anchor date alignment

A positive care management review will result in the creation of the Prior Authorization Notice (PAN). The PAN includes the following information Service Type, Units approved, dollar amount based on approved units, date ranged and authorization numbers for each unit obtained from the Molina system.

4.) How are providers prioritized to be audited to ensure the integrity of services payments?

100% of providers are reviewed annually. 100% of member files are reviewed upon on-site provider review. 50% of member claims are reviewed and compared to Service Plans, assessments, and documentation to substantiate services are billed in compliance with policy standards.

5.) What are the surveillance and utilization review activities to ensure the integrity of services payments?

On-site Provider Reviews are conducted annually by the UMC using a standardized review tool that is based on TBIW program policies. Review activities include a comparison of claims to the Service Plan and service notes (Case Management and Personal Attendant). Services that: were not included on the Service plan, did not have appropriate supporting documentation, were provided by unqualified staff, or were included on an invalid Service Plan, to a member who was not medically or financially eligible or those provided outside of policy limits or definitions are recommended for a potential disallowance.

5.) What are the surveillance and utilization review activities to ensure the integrity of services payments?

On-site Provider Reviews are conducted annually by the UMC using a standardized review tool that is based on TBIW program policies. Review activities include a comparison of claims to the Service Plan and service notes (Case Management and Personal Attendant). Services that: were not included on the Service plan, did not have appropriate supporting documentation, were provided by unqualified staff, or were included on an invalid Service Plan, to a member who was not medically or financially eligible or those provided outside of policy limits or definitions are recommended for a potential disallowance.

Appendix I: Financial Accountability

Quality Improvement: Financial Accountability

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

a. Methods for Discovery: Financial Accountability

State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver. (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:

Percent of provider claims reviewed that resulted in recoupment due to an unsatisfactory audit Numerator: Number of provider claims reviewed that resulted in recoupment Denominator: Number of provider claims 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):
<input type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input checked="" type="checkbox"/> Representative Sample Confidence Interval = 95%
<input checked="" type="checkbox"/> Other Specify: UMC	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input type="text"/>
	<input type="checkbox"/> Other Specify: <input type="text"/>	

Data Aggregation and Analysis:

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

	<input type="checkbox"/> Other Specify: <input style="width: 100%;" type="text"/>
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Performance Measure:
Number and percent of waiver claims in a representative sample paid using the correct rate as specified in the Waiver application. Numerator = Number of waiver claims paid using the correct rate as specified in the Waiver application.
Denominator = Total number of waiver claims paid

Data Source (Select one):

Financial audits

If 'Other' is selected, specify:

Responsible Party for data collection/generation <i>(check each that applies):</i>	Frequency of data collection/generation <i>(check each that applies):</i>	Sampling Approach <i>(check each that applies):</i>
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly	<input checked="" type="checkbox"/> 100% Review
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly	<input type="checkbox"/> Less than 100% Review
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Representative Sample Confidence Interval = <input style="width: 50%;" type="text"/>
<input type="checkbox"/> Other Specify: <input style="width: 100%;" type="text"/>	<input type="checkbox"/> Annually	<input type="checkbox"/> Stratified Describe Group: <input style="width: 100%;" type="text"/>
	<input checked="" type="checkbox"/> Continuously and Ongoing	<input type="checkbox"/> Other Specify: <input style="width: 100%;" type="text"/>
	<input type="checkbox"/> Other Specify: <input style="width: 100%;" type="text"/>	

Data Aggregation and Analysis:

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

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

Performance Measure:
Number and percent of processed claims that were denied per MMIS edits.
Numerator: Number of processed claims that were denied per MMIS edits.
Denominator: The number of processed claims.

Data Source (Select one):
Reports to State Medicaid Agency on delegated
 If 'Other' is selected, specify:

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

Data Source (Select one):
Reports to State Medicaid Agency on delegated
 If 'Other' is selected, specify:

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

Data Aggregation and Analysis:

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

- b. *Sub-assurance: The state provides evidence that rates remain consistent with the approved rate methodology throughout the five year waiver cycle.*

Performance Measures

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

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

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

The data and information generated through onsite provider retrospective reviews is collected on Discovery and Remediation report and reviewed monthly with BMS.

Any Provider scoring less than 100% compliance on post payment review items is subject to potential disallowance and must develop a Plan of Correction to achieve compliance. Provider’s Plan of Corrections must be approved by the UMC and is monitored during review cycles. Remediation actions are reviewed during Contract Management meetings with BMS and UMC.

Monthly review of the Discovery and Remediation report findings by BMS allows for discussion and identification of systematic and/or provider compliance issues. Remediation steps are discussed and developed and are addressed through technical assistance and/or training for Providers conducted by BMS and the UMC.

Post-payment financial reviews are conducted annually by the UMC during the Provider Retrospective Review. 100% of providers and 100% of member files are reviewed. 50% of the provider claims are reviewed to ensure that the claims are properly supported by documentation of the TBI waiver services provided. Any claims/services delivered with no or insufficient documentation is recommended for a potential denial and a Plan of Correction must be developed to address the deficiencies.

b. Methods for Remediation/Fixing Individual Problems

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

All information relating to this assurance is collected through the review and analysis of claims data provided by the claims processing entity. Evidence collected via claims data is reviewed and analyzed by BMS and the claims processing entity in order to identify any system 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):
<input checked="" type="checkbox"/> State Medicaid Agency	<input type="checkbox"/> Weekly
<input type="checkbox"/> Operating Agency	<input type="checkbox"/> Monthly
<input type="checkbox"/> Sub-State Entity	<input type="checkbox"/> Quarterly
<input checked="" type="checkbox"/> Other Specify: Claims processing entity	<input checked="" type="checkbox"/> Annually
	<input type="checkbox"/> Continuously and Ongoing
	<input type="checkbox"/> Other Specify: <div style="border: 1px solid gray; height: 20px; width: 100%;"></div>

c. Timelines

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

No

Yes

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

Appendix I: Financial Accountability

I-2: Rates, Billing and Claims (1 of 3)

- a. Rate Determination Methods.** In two pages or less, describe the methods that are employed to establish provider payment rates for waiver services and the entity or entities that are responsible for rate determination. Indicate any opportunity for public comment in the process. If different methods are employed for various types of services, the description may group services for which the same method is employed. State laws, regulations, and policies referenced in the description are available upon request to CMS through the Medicaid agency or the operating agency (if applicable).

The current rate structure for the TBIW services is based on services in the existing approved IDDW and Aged and Disabled Waiver. The rate for Case Management was based on the established rate in the existing approved IDDW, and has been developed to reflect service definitions, provider requirements, operational service delivery and administrative considerations. The following components were used to determine the current TBIW rates: Bureau for Labor Statistics wage information; employee related expenses; productivity adjustment factor; and administrative overhead. This methodology was applied to those HCPCS Level II codes and were last updated in November 2006. The rate for Personal Attendant Services is based on the existing rate for Personal Attendant service in the Aged and Disabled Waiver was increased as follows at the direction of Department Administration following negotiations with providers; in October 2008 the rate was increased from \$3.05 per 15 minute unit to \$3.25; in August 2009 the rate was increased from \$3.25 to \$3.50 per 15 minute unit; in July 2011 the rate was increased from \$3.50 to \$3.75 per 15 minute unit. Mileage reimbursement for Transportation is based on the approved mileage rate as published by the West Virginia Division of Purchasing, Travel Management Office. The described rate methodology is consistently applied to all waiver services. The current rate methodology provides consistency with the provisions of section 1902(a)30(A) and 42 CFR section 447.200-205. The state of West Virginia does not use a formula to base increase for inflation, and at this time does not anticipate rate increases. BMS will post payment rates on the Agency website so that waiver participants and providers will be aware of the cost of waiver services.

There is an annual update of the calculation of factors described in question 60 below based on the established methodology (however funding limitations are a consideration in implementation of any rate increases).

A methodology to evaluate changes in the factors described in the response to question 60 for reimbursement rates was developed in 2010, with annual updates being calculated each year since 2012. However funding limitations are a consideration in implementation of any rate increases, and as additional funds become available increases to rates have been implemented as described in the application for Personal Attendant Services.

The \$35,000 individualized budget was originally based on the available funding dedicated to the TBI Waiver and the anticipated members to be served during the initial 3 years. Budget updates would be subject to availability of additional funding, balancing the needs of the population to be served and the number of members.

There is an annual update calculation of the factors described in the response to question 60 that comprise the rate calculations, which are performed by staff in the DHHR Office of Accountability and Management Reporting, Rate Setting Unit. This information is in shared with the Bureau for Medical Services for inclusion in the evaluation of the overall Medicaid budget and funding available for the TBI Waiver.

When rates are changes, the TBIW providers are notified and it is posted on the BMS website and also on the TBIW web page. Rates and rate methodologies are included in the Waiver application, which is posted on the DHHR-BMS

website for a public comment period. Rates are available on the DHHR-BMS website as well as the TBIW webpage.

WV Code §16-5F-1 requires submission of an annual audit report to the WV Healthcare Authority for certain healthcare providers.

Factors included in the rate methodology include Wages (based on Bureau for Labor Statistics for similar occupations and mixes of occupations to those providing Waiver services); Inflation (Consumer Price Index); Payroll Taxes; Employee Benefits; Administrative (allowing for both non-billable administration for direct-care providers and for administrative support staff); Mileage; and Capital/Technology. An annual update calculation of rates is performed (although funding limitations are a consideration in implementation of rate increases). Geographical fees are not a component of the rate determination.

- 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:

Authorization is processed through a third party contractor and claims are directly submitted to the Medicaid fiscal agent for payment.

Providers bill the state's claims payer directly. There is a provider portal and the provider can enter their claims directly into that portal. Direct data entry is available or claims can be uploaded. Once a provider is enrolled, then they complete a trading partner agreement that allows the use of electronic filing. The provider may also use a clearing house to bill for their claims. The provider may also send paper claims to the claims payer. Timely filing is one year.

The UMC receives reviews and authorizes all service requests for the TBI W program. The UMC issues a Prior Authorization Notice (PAN) to the provider that includes the following information: Service Type, Units, Dollars, PA Number and Date Range and Service Type. The Provider uses this information when submitting claims to the claims payer.

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:

Each claim is subjected to a series of edits to ensure that the person is eligible on the date of service, that the provider has a valid enrollment status and that the service is eligible for payment. If the claim passes these initial edits, further assurances are provided through prior authorization of waiver services based on the person's approved Service Plan. Post-payment review activities are conducted to ensure that services were provided.

- e. **Billing and Claims Record Maintenance Requirement.** Records documenting the audit trail of adjudicated claims (including supporting documentation) are maintained by the Medicaid agency, the operating agency (if applicable), and providers of waiver services for a minimum period of 3 years as required in 45 CFR §92.42.

Appendix I: Financial Accountability

I-3: Payment (1 of 7)

- a. **Method of payments -- MMIS (select one):**

- Payments for all waiver services are made through an approved Medicaid Management Information System (MMIS).**
- Payments for some, but not all, waiver services are made through an approved MMIS.**

Specify: (a) the waiver services that are not paid through an approved MMIS; (b) the process for making such payments and the entity that processes payments; (c) and how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

- Payments for waiver services are not made through an approved MMIS.**

Specify: (a) the process by which payments are made and the entity that processes payments; (b) how and through which system(s) the payments are processed; (c) how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

- Payments for waiver services are made by a managed care entity or entities. The managed care entity is paid a monthly capitated payment per eligible enrollee through an approved MMIS.**

Describe how payments are made to the managed care entity or entities:

Appendix I: Financial Accountability

- 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:

- Providers are paid by a managed care entity or entities for services that are included in the State's contract with the entity.

Specify how providers are paid for the services (if any) not included in the State's contract with managed care entities.

Appendix I: Financial Accountability

I-3: Payment (3 of 7)

- c. **Supplemental or Enhanced Payments.** Section 1902(a)(30) requires that payments for services be consistent with efficiency, economy, and quality of care. Section 1903(a)(1) provides for Federal financial participation to States for expenditures for services under an approved State plan/waiver. Specify whether supplemental or enhanced payments are made. *Select one:*

- No. The State does not make supplemental or enhanced payments for waiver services.
- Yes. The State makes supplemental or enhanced payments for waiver services.

Describe: (a) the nature of the supplemental or enhanced payments that are made and the waiver services for which these payments are made; (b) the types of providers to which such payments are made; (c) the source of the non-Federal share of the supplemental or enhanced payment; and, (d) whether providers eligible to receive the supplemental or enhanced payment retain 100% of the total computable expenditure claimed by the State to CMS. Upon request, the State will furnish CMS with detailed information about the total amount of supplemental or enhanced payments to each provider type in the waiver.

Appendix I: Financial Accountability

I-3: Payment (4 of 7)

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

- No. State or local government providers do not receive payment for waiver services.** Do not complete Item I-3-e.
- Yes. State or local government providers receive payment for waiver services.** Complete Item I-3-e.

Specify the types of State or local government providers that receive payment for waiver services and the services that the State or local government providers furnish:

Appendix I: Financial Accountability

I-3: Payment (5 of 7)

e. Amount of Payment to State or Local Government Providers.

Specify whether any State or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed its reasonable costs of providing waiver services and, if so, whether and how the State recoups the excess and returns the Federal share of the excess to CMS on the quarterly expenditure report. *Select one:*

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

- The amount paid to State or local government providers is the same as the amount paid to private providers of the same service.**
- The amount paid to State or local government providers differs from the amount paid to private providers of the same service. No public provider receives payments that in the aggregate exceed its reasonable costs of providing waiver services.**
- The amount paid to State or local government providers differs from the amount paid to private providers of the same service. When a State or local government provider receives payments (including regular and any supplemental payments) that in the aggregate exceed the cost of waiver services, the State recoups the excess and returns the federal share of the excess to CMS on the quarterly expenditure report.**

Describe the recoupment process:

Appendix I: Financial Accountability

I-3: Payment (6 of 7)

f. Provider Retention of Payments. Section 1903(a)(1) provides that Federal matching funds are only available for expenditures made by states for services under the approved waiver. *Select one:*

- Providers receive and retain 100 percent of the amount claimed to CMS for waiver services.**
- Providers are paid by a managed care entity (or entities) that is paid a monthly capitated payment.**

Specify whether the monthly capitated payment to managed care entities is reduced or returned in part to the State.

Appendix I: Financial Accountability

I-3: Payment (7 of 7)

g. Additional Payment Arrangements

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

- No. The State does not provide that providers may voluntarily reassign their right to direct payments to a governmental agency.**
- Yes. Providers may voluntarily reassign their right to direct payments to a governmental agency as provided in 42 CFR §447.10(e).**

Specify the governmental agency (or agencies) to which reassignment may be made.

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

- No. The State does not employ Organized Health Care Delivery System (OHCDS) arrangements under the provisions of 42 CFR §447.10.**
- Yes. The waiver provides for the use of Organized Health Care Delivery System arrangements under the provisions of 42 CFR §447.10.**

Specify the following: (a) the entities that are designated as an OHCDS and how these entities qualify for designation as an OHCDS; (b) the procedures for direct provider enrollment when a provider does not voluntarily agree to contract with a designated OHCDS; (c) the method(s) for assuring that participants have free choice of qualified providers when an OHCDS arrangement is employed, including the selection of providers not affiliated with the OHCDS; (d) the method(s) for assuring that providers that furnish services under contract with an OHCDS meet applicable provider qualifications under the waiver; (e) how it is assured that OHCDS contracts with providers meet applicable requirements; and, (f) how financial accountability is assured when an OHCDS arrangement is used:

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

- The State does not contract with MCOs, PIHPs or PAHPs for the provision of waiver services.**
- The State contracts with a Managed Care Organization(s) (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.**

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:

The source of funding is dedicated general revenue appropriated by the legislature annually.

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (2 of 3)

- b. **Local Government or Other Source(s) of the Non-Federal Share of Computable Waiver Costs.** Specify the source or sources of the non-federal share of computable waiver costs that are not from state sources. *Select One:*

- Not Applicable.** There are no local government level sources of funds utilized as the non-federal share.
 Applicable

Check each that applies:

- Appropriation of Local Government Revenues.**

Specify: (a) the local government entity or entities that have the authority to levy taxes or other revenues; (b) the source(s) of revenue; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement (indicate any intervening entities in the transfer process), and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

- Other Local Government Level Source(s) of Funds.**

Specify: (a) the source of funds; (b) the local government entity or agency receiving funds; and, (c) the mechanism that is used to transfer the funds to the State Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if funds are directly expended by local government agencies as CPEs, as specified in Item I-2-c:

Appendix I: Financial Accountability

I-4: Non-Federal Matching Funds (3 of 3)

- c. **Information Concerning Certain Sources of Funds.** Indicate whether any of the funds listed in Items I-4-a or I-4-b that make up the non-federal share of computable waiver costs come from the following sources: (a) health care-related taxes or fees; (b) provider-related donations; and/or, (c) federal funds. *Select one:*

None of the specified sources of funds contribute to the non-federal share of computable waiver costs

The following source(s) are used

Check each that applies:

Health care-related taxes or fees

Provider-related donations

Federal funds

For each source of funds indicated above, describe the source of the funds in detail:

Appendix I: Financial Accountability

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

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

No services under this waiver are furnished in residential settings other than the private residence of the individual.

As specified in Appendix C, the State furnishes waiver services in residential settings other than the personal home of the individual.

- b. **Method for Excluding the Cost of Room and Board Furnished in Residential Settings.** The following describes the methodology that the State uses to exclude Medicaid payment for room and board in residential settings:

Do not complete this item.

Appendix I: Financial Accountability

I-6: Payment for Rent and Food Expenses of an Unrelated Live-In Caregiver

Reimbursement for the Rent and Food Expenses of an Unrelated Live-In Personal Caregiver. *Select one:*

No. The State does not reimburse for the rent and food expenses of an unrelated live-in personal caregiver who resides in the same household as the participant.

Yes. Per 42 CFR §441.310(a)(2)(ii), the State will claim FFP for the additional costs of rent and food that can be reasonably attributed to an unrelated live-in personal caregiver who resides in the same household as the waiver participant. The State describes its coverage of live-in caregiver in Appendix C-3 and the costs attributable to rent and food for the live-in caregiver are reflected separately in the computation of factor D (cost of waiver services) in Appendix J. FFP for rent and food for a live-in caregiver will not be claimed when the participant lives in the caregiver's home or in a residence that is owned or leased by the provider of

Medicaid services.

The following is an explanation of: (a) the method used to apportion the additional costs of rent and food attributable to the unrelated live-in personal caregiver that are incurred by the individual served on the waiver and (b) the method used to reimburse these costs:

Appendix I: Financial Accountability**I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (1 of 5)**

- a. Co-Payment Requirements.** Specify whether the State imposes a co-payment or similar charge upon waiver participants for waiver services. These charges are calculated per service and have the effect of reducing the total computable claim for federal financial participation. *Select one:*

- No. The State does not impose a co-payment or similar charge upon participants for waiver services.**
- Yes. The State imposes a co-payment or similar charge upon participants for one or more waiver services.**
- i. Co-Pay Arrangement.**

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

Charges Associated with the Provision of Waiver Services (if any are checked, complete Items I-7-a-ii through I-7-a-iv):

- Nominal deductible**
- Coinsurance**
- Co-Payment**
- Other charge**

Specify:

Appendix I: Financial Accountability**I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (2 of 5)**

- a. Co-Payment Requirements.**
- ii. Participants Subject to Co-pay Charges for Waiver Services.**

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability**I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (3 of 5)**

- a. Co-Payment Requirements.**
- iii. Amount of Co-Pay Charges for Waiver Services.**

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (4 of 5)

a. Co-Payment Requirements.

iv. Cumulative Maximum Charges.

Answers provided in Appendix I-7-a indicate that you do not need to complete this section.

Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (5 of 5)

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

- No. The State does not impose a premium, enrollment fee, or similar cost-sharing arrangement on waiver participants.**
- Yes. The State imposes a premium, enrollment fee or similar cost-sharing arrangement.**

Describe in detail the cost sharing arrangement, including: (a) the type of cost sharing (e.g., premium, enrollment fee); (b) the amount of charge and how the amount of the charge is related to total gross family income; (c) the groups of participants subject to cost-sharing and the groups who are excluded; and, (d) the mechanisms for the collection of cost-sharing and reporting the amount collected on the CMS 64:

Appendix J: Cost Neutrality Demonstration

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

Composite Overview. Complete the fields in Cols. 3, 5 and 6 in the following table for each waiver year. The fields in Cols. 4, 7 and 8 are auto-calculated based on entries in Cols 3, 5, and 6. The fields in Col. 2 are auto-calculated using the Factor D data from the J-2-d Estimate of Factor D tables. Col. 2 fields will be populated ONLY when the Estimate of Factor D tables in J-2-d have been completed.

Level(s) of Care: Nursing Facility

Col. 1	Col. 2	Col. 3	Col. 4	Col. 5	Col. 6	Col. 7	Col. 8
Year	Factor D	Factor D'	Total: D+D'	Factor G	Factor G'	Total: G+G'	Difference (Col 7 less Column4)
1	30449.00	10903.00	41352.00	57396.00	8406.00	65802.00	24450.00
2	31972.00	11448.00	43420.00	59440.00	9078.00	68518.00	25098.00
3	33568.70	12020.00	45588.70	61556.00	9804.00	71360.00	25771.30
4	35249.00	12621.00	47870.00	63747.00	10588.00	74335.00	26465.00
5	37009.33	13252.00	50261.33	66017.00	11435.00	77452.00	27190.67

Appendix J: Cost Neutrality Demonstration

- a. **Number Of Unduplicated Participants Served.** Enter the total number of unduplicated participants from Item B-3-a who will be served each year that the waiver is in operation. When the waiver serves individuals under more than one level of care, specify the number of unduplicated participants for each level of care:

Table: J-2-a: Unduplicated Participants

Waiver Year	Total Unduplicated Number of Participants (from Item B-3-a)	Distribution of Unduplicated Participants by Level of Care (if applicable)	
		Level of Care:	
		Nursing Facility	
Year 1	74		74
Year 2	70		70
Year 3	66		66
Year 4	62		62
Year 5	59		59

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.

It is estimated that waiver participants will stay on the waiver a full year when added and will remain indefinitely thereafter.

The 372 Report for the period 1/31/13 represents data for the initial year of the TBI Waiver; all members included in that year's reporting enrolled at some point during that period, however the State does not believe that partial year of participation is representative of what would be expected when more of the available Waiver slots have been filled. It is anticipated that over the first few years of the Waiver there would be a gradual increase in the ALOS and that when the Waiver is mature the ALOS would be closer to 365 days, or similar to the experience on the A/D Waiver and the I/DD Waiver (325.7 and 357.3 respectively for the most recent 372 report, period ended 6/30/13).

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:
- Estimated based on services to be provided under the waiver at existing rates projected based on estimated usage per participant.
- 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:

The estimates for Factor D' are derived from historical trends of actual claims experience used in preparing the CMS-372 reports (average cost of acute care services per person) for a similar population in the approved Aged/Disabled Waiver, utilizing nursing facility level of care, using the latest data available for SFY 2014. There are no wrap-around benefits provided to Medicare/Medicaid dual eligibles therefore the only prescription costs included would be for those drugs excluded from the Medicare formulary.

The Factor D estimate is trended forward for each year in the Waiver application based on the current (2015) average member budget of \$29,000, trended forward for years 2016-2020 at an estimated annual increase of

5%. The actual expenditure data available for the TBI Waiver at the time of preparation of the application was limited due to low enrollment for historical periods, therefore the State relied upon the current actual average per member budget to calculate the estimates for the application.

In the acute care comparison, the Factor G' is less than the Factor D'. The members in the TBI Waiver are Nursing Facility level of care, however the members that have participated in this Waiver to date have shown a higher level of acute care expenditures than those on the State's other waiver with Nursing Facility level of care (Aged/Disabled Waiver) as well as the average per member cost for acute care services that is experienced for members in a Nursing Facility. For example, the table below provides a comparison of the per member acute care costs for these two waivers since the initial year of the TBI Waiver, along with the Nursing Facility average per member acute care costs:

TBI ADW NF			
2013	8,116	6,904	6508
2014	11,662	7,276	7207

Based on the limited data available for the TBI Waiver, it appears that the utilization of acute care services is higher for members participating in the TBI Waiver than either the A/D Waiver or members in Nursing Facilities, resulting in the projections (trended forward from actual data) for Factor D' higher than Factor G'.

The Case Management and Transportation services are forecast at the maximum allowed units per member for each year in the application, which is the reason the utilization for those services does not change over the waiver period. Additional details of the calculation for each individual service are shown in the accompanying workpaper.

The most recent 372 report filed was for the period 1/31/13, in which there were only 7 unduplicated participants. Since the historical utilization data available was limited to a partial year of utilization for those 7 participants, the State sought more recent information to forecast the members that may choose Personal Options and used the number of participants for which the Financial Management Service (FMS) indicated were using Personal Options to calculate the forecast amounts in the application.

- 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:

Institutional (nursing facility) care average per person- projections based on 6-30-14 claims data.

The estimate for Factor G' was calculated from the prior periods' actual acute care costs for the A/D Waiver population, and the source data is from the same data reports that are used to prepare the 372 reporting. The costs for the Factor G' are pulled from claims data in the MMIS by identifying the members during the reporting period with claims for Nursing Home services, then by running a report to aggregate the acute care (non-Nursing Home) claims paid for those members. The average acute care costs per member were then trended forward for the estimate included in the Waiver application using the average of increases experienced from the most recent years available (2010 through preliminary 2014 data).

- 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:

Services in addition to insitutional (nursing facility) services provided to people (ie acute care services, etc)

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (4 of 9)

Component management for waiver services. If the service(s) below includes two or more discrete services that are reimbursed separately, or is a bundled service, each component of the service must be listed. Select "*manage components*" to add these components.

Waiver Services
Case Management
Personal Attendant Services
Transportation

Appendix J: Cost Neutrality Demonstration**J-2: Derivation of Estimates (5 of 9)****d. Estimate of Factor D.**

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 1

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Case Management Total:						120768.00
Case Management	15 minute	74	192.00	8.50	120768.00	
Personal Attendant Services Total:						2054610.00
Personal Attendant Services	15 minute	42	7404.00	3.75	1166130.00	
Personal Options Personal Attendant Services	15 minute	32	7404.00	3.75	888480.00	
Transportation Total:						77832.00
Transportation	1 mile	26	3600.00	0.47	43992.00	
Personal Options Transportation	1 mile	20	3600.00	0.47	33840.00	
GRAND TOTAL:						2253210.00
Total Estimated Unduplicated Participants:						74
Factor D (Divide total by number of participants):						30449.00
Average Length of Stay on the Waiver:						365

Appendix J: Cost Neutrality Demonstration**J-2: Derivation of Estimates (6 of 9)****d. Estimate of Factor D.**

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 2

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Case Management Total:						114240.00
Case Management	15 minute	70	192.00	8.50	114240.00	
Personal Attendant Services Total:						2052750.00
Personal Attendant Services	15 minute	40	7820.00	3.75	1173000.00	
Personal Options Personal Attendant Services	15 minute	30	7820.00	3.75	879750.00	

Transportation Total:						71064.00
Transportation	1 mile	24	3600.00	0.47	40608.00	
Personal Options Transportation	1 mile	18	3600.00	0.47	30456.00	
GRAND TOTAL:						2238054.00
Total Estimated Unduplicated Participants:						70
Factor D (Divide total by number of participants):						31972.00
Average Length of Stay on the Waiver:						365

Appendix J: Cost Neutrality Demonstration

J-2: Derivation of Estimates (7 of 9)

d. Estimate of Factor D.

i. Non-Concurrent Waiver. Complete the following table for each waiver year. Enter data into the Unit, # Users, Avg. Units Per User, and Avg. Cost/Unit fields for all the Waiver Service/Component items. Select Save and Calculate to automatically calculate and populate the Component Costs and Total Costs fields. All fields in this table must be completed in order to populate the Factor D fields in the J-1 Composite Overview table.

Waiver Year: Year 3

Waiver Service/ Component	Unit	# Users	Avg. Units Per User	Avg. Cost/ Unit	Component Cost	Total Cost
Case Management Total:						107712.00
Case Management	15 minute	66	192.00	8.50	107712.00	
Personal Attendant Services Total:						2040142.50
Personal Attendant Services	15 minute	38	8243.00	3.75	1174627.50	
Personal Options Personal Attendant Services	15 minute	28	8243.00	3.75	865515.00	
Transportation Total:						67680.00
Transportation	1 mile	23	3600.00	0.47	38916.00	
Personal Options Transportation	1 mile	17	3600.00	0.47	28764.00	
GRAND TOTAL:						2215534.50
Total Estimated Unduplicated Participants:						66
Factor D (Divide total by number of participants):						33568.70
Average Length of Stay on the Waiver:						365

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
Case Management Total:						101184.00
Case Management	15 minute	62	192.00	8.50	101184.00	
Personal Attendant Services Total:						2019960.00
Personal Attendant Services	15 minute	35	8688.00	3.75	1140300.00	
Personal Options Personal Attendant Services	15 minute	27	8688.00	3.75	879660.00	
Transportation Total:						64296.00
Transportation	1 mile	22	3600.00	0.47	37224.00	
Personal Options Transportation	1 mile	16	3600.00	0.47	27072.00	
GRAND TOTAL:						2185440.00
Total Estimated Unduplicated Participants:						62
Factor D (Divide total by number of participants):						35249.00
Average Length of Stay on the Waiver:						365

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
Case Management Total:						96288.00
Case Management	15 minute	59	192.00	8.50	96288.00	
Personal Attendant Services Total:						2024658.75
Personal Attendant Services	15 minute	34	9151.00	3.75	1166752.50	
Personal Options Personal Attendant Services	15 minute	25	9151.00	3.75	857906.25	
Transportation Total:						62604.00
Transportation	1 mile	21	3600.00	0.47	35532.00	
Personal Options Transportation	1 mile	16	3600.00	0.47	27072.00	
GRAND TOTAL:						2183550.75
Total Estimated Unduplicated Participants:						59
Factor D (Divide total by number of participants):						37009.33
Average Length of Stay on the Waiver:						365