PURPOSE OF THE HCBS WAIVER PROGRAM

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

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

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

1. Major Changes

Describe any significant changes to the approved waiver that are being made in this renewal application:
1. Added Personal Emergency Response System (PERS) unit for any interested members - A PERS unit will be provided to any ADW member who expresses an interest.

2. Implementation of Conflict Free Case Management requirements to be in compliance with federal regulations 79 FR 2948 and 42 CFR 431.301 (c)(1)(vi). Case Management agencies must be separate from Personal Attendant services. A provider agency may offer both services (CM & PA) but not to the same member.

3. Implementation of Electronic Visit Verification (EVV). BMS received approval from CMS for a good faith effort exception. The State will demonstrate compliance with EVV for Personal Care Services by Jan. 1, 2021.

4. Implementation of the use of a National Provider Identification (NPI) number.

5. Incorporated supervision into the personal attendant service definition. Incorporation of this activity will allow for on-going supervision and monitoring of the member's health and safety during activities and upon completion of other PA functions.

6. Added requirement of a monthly Face to Face home visit by the Case Manager with the members to assure health and safety.

7. Removed caseload limits for case managers. Case load numbers will be determined by the ADW CMA agency and be based on member needs and geographic location of the member.

8. Added requirement that all Person-Centered Service Plans (PCSP) must be developed by ADW Case Managers. This will allow for increased monitoring of health and welfare, and remove conflict of interest due to implementation of Conflict Free Case Management.

9. Expanded definition of skilled nursing to include hands-on skilled assessment by the RN 2x yearly.

10. Removed the Personal Options Service Codes of T1001-U2 and T1002-U1-due to utilization review indicating non-use of services.

11. Expanded the criteria for a case manager to include a 4 year degree in a human service field with certification from on-line case management training developed by the Bureau for Medical Services. This will assist with capacity issues.

12. Added a progressive remediation and discipline system for provider non-compliance with incident management system and monitoring system.

13. Added Requirement of daily billing to include NPI numbers of all staff.

**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):

   Aged and Disabled 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

   Original Base Waiver Number: WV.0134

   Draft ID: WV.006.07.00

   D. Type of Waiver (select only one):

   Regular Waiver

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

   07/01/20

   03/04/2020
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

- [X] 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
- [X] 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 Aged and Disabled Waiver (ADW) Program is a long-term care alternative that provides services that enable an individual to remain at or return home rather than receive nursing home care. The program provides home and community-based services to West Virginia residents who are eligible to participate in the program. Individuals must be at least 18 years of age and choose home and community-based services rather than nursing home placement. The goals and objectives of this program are focused on providing services that are person-centered and promote choice, independence, participant-direction, respect and dignity and community integration.

The Bureau for Medical Services (BMS) contracts with another State agency, the Bureau of Senior Services, to operate the program. BMS also contracts with a Utilization Management Contractor (UMC) to assess medical eligibility for program applicants, as well as, annual re-evaluations for those receiving Waiver services. The UMC also authorizes ADW services for eligible persons and maintains the Managed Enrollment List (MEL). BMS contracts with a claims processing entity to process claims. For people who choose to direct their own services, BMS contracts with a sole Government sub-agent Fiscal Employer Agent (FE/A) Financial Management Service (FMS), hereafter referred to as Personal Options, to provide support.

People on the ADW program can choose one of two service delivery models - Traditional or Personal Options. People choosing the Traditional Model receive their services from certified ADW Personal Attendant and Case Management Agencies. The services available include Case Management, Personal Attendant Services, Skilled Nursing, PERS, and Transportation.

People who choose to self-direct their services through the Personal Options model are allotted a monthly budget which they can use to hire employees to provide Personal Attendant Services. They may also budget for Transportation per policy guidelines if they prefer.

The number of Personal Attendant hours an eligible person can receive under the Traditional Model and the amount of an individual's monthly budget allotment, if they choose the Personal Options model, is based upon their assessed level of service.

The Operating Agency is responsible for implementing the Quality Improvement System (QIS) for the ADW program. The Operating Agency employs staff who review providers every twelve (12) months to ensure provider qualifications and the delivery of quality services. Case Management agencies have front line responsibility for ensuring the health and safety of people on the ADW program. The West Virginia Incident Management System (WVIMS) is a web-based application that allows providers to report incidents, enter information about their follow-up investigations, document referrals to appropriate authorities such as Adult Protective Services or law enforcement, and track incidents. The Operating Agency’s staff utilizes the WVIMS to monitor and track critical incidents in real time and generates monthly statewide reports. Reports are analyzed at the monthly contract management meetings and the ADW Quality Improvement Advisory (QIA) Council.

An ADW Quality Improvement Advisory (QIA) Council, representing a wide range of stakeholders, reviews and evaluates all quality management data and makes quality improvement recommendations to BMS and the Operating Agency. Specific quality improvement goals and objectives are incorporated into the Quality Work Plan. The Quality Work Plan is used to guide the work of the Quality Improvement Advisory Council meeting.

3. Components of the Waiver Request

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

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

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

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

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

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

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

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

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

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

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

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

4. Waiver(s) Requested

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

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

- Not Applicable
- No
- Yes

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

- No
- Yes

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

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

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

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

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

1. As specified in Appendix C, adequate standards for all types of providers that provide services under this waiver;

2. Assurance that the standards of any state licensure or certification requirements specified in Appendix C are met for services or for individuals furnishing services that are provided under the waiver. The state assures that these requirements are met on the date that the services are furnished; and,

3. Assurance that all facilities subject to §1616(e) of the Act where home and community-based waiver services are provided comply with the applicable state standards for board and care facilities as specified in Appendix C.

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

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

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

1. Informed of any feasible alternatives under the waiver; and,

2. Given the choice of either institutional or home and community-based waiver services. Appendix B specifies the procedures that the state employs to ensure that individuals are informed of feasible alternatives under the waiver and given the choice of institutional or home and community-based waiver services.

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

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

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

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

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

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

**Note:** Item 6-I must be completed.

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

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

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

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

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

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

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

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

I. **Public Input.** Describe how the state secures public input into the development of the waiver:
The Aged and Disabled Waiver Quality Improvement Advisory (QIA) Council meets quarterly to develop and monitor the implementation of quality improvement strategies. The dates of these meetings are posted on the WV Secretary of State's web site so outside individuals are aware of the meeting dates, times, and location so they can attend. A portion of each meeting is set aside to hear public comment and feedback concerning the implementation of the Waiver. The Council, with its broad-base of stakeholder representation, is the primary conduit for public input.

The Bureau for Medical Services and the operating agency along with members of the QIA Council, conducted forums in 7 locations throughout the state to gather input from participants, families, providers and other stakeholders for the ADW renewal application. Alternative opportunities were encouraged and provided beyond the forums via written or verbal feedback. Additionally, a policy work group was developed and met three times to gain further insight into possible changes.

A notice was placed in the Charleston Gazette/Daily Mail and on the website for this program notifying the public that the draft application was available for public comment from March 5, 2020 to April 4, 2020. IDDW agency providers were sent a copy of the draft application by email along with a flyer with specific information on how to comment on the draft to post in their offices. IDDW case managers were asked to share the information with the members on the program as well as their legal representatives. The information on how to request the draft application in an alternative format was available in the newspaper notice, on the website and on the flyers distributed to agency providers.

The State of West Virginia does not have any federally-recognized Tribal Governments thus no tribal consultation was required.

**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:

<table>
<thead>
<tr>
<th>Last Name:</th>
<th>Hill</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Name:</td>
<td>Randall K</td>
</tr>
<tr>
<td>Title:</td>
<td>Director of Office of Home and Community-Based Services</td>
</tr>
<tr>
<td>Agency:</td>
<td>Bureau for Medical Services, Department of Health and Human Resources</td>
</tr>
<tr>
<td>Address:</td>
<td>350 Capitol Street, Room 251</td>
</tr>
<tr>
<td>City:</td>
<td>Charleston, WV</td>
</tr>
</tbody>
</table>
B. If applicable, the state operating agency representative with whom CMS should communicate regarding the waiver is:

Last Name: Brown
First Name: Cecilia
Title: Interim Medicaid Director
Agency: Bureau of Senior Services
Address: 1900 Kanawha Blvd., East
City: Charleston
State: West Virginia
Zip: 25305
Phone: (304) 558-3317
Ext: TTY
Fax: (304) 558-6647
E-mail: Cecilia.A.Brown@wv.gov

8. Authorizing Signature

This document, together with Appendices A through J, constitutes the state's request for a waiver under §1915(c) of the Social Security Act. The state assures that all materials referenced in this waiver application (including standards, licensure and certification requirements) are readily available in print or electronic form upon request to CMS through the Medicaid agency or, if applicable, from the operating agency specified in Appendix A. Any proposed changes to the waiver will be submitted by the Medicaid agency to CMS in the form of waiver amendments. Upon approval by CMS, the waiver application serves as the state's authority to provide home and community-based waiver services to the specified target groups. The state attests that it will abide by all provisions of the approved waiver and will
continuously operate the waiver in accordance with the assurances specified in Section 5 and the additional requirements specified in Section 6 of the request.

Signature: [ Signature field filled in by State Medicaid Director or Designee ]

Submission Date: [ Submission Date field filled in by State Medicaid Director or Designee ]

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

Last Name: Beane
First Name: Cynthia
Title: Commissioner
Agency: Bureau for Medical Services
Address: 350 Capitol Street Room 251
City: Charleston
State: West Virginia
Zip: 25301
Phone: (304) 558-1700 Ext: [ Ext field filled in by State Medicaid Director or Designee ]
Fax: (304) 558-4398
E-mail: Cynthia.E.Beane@wv.gov

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

- [X] Replacing an approved waiver with this waiver.
- [ ] Combining waivers.
- [ ] Splitting one waiver into two waivers.
- [X] 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:

This is a 5 year renewal

Removed the Personal Options Service Codes of T1001-U2 and T1002-U1 due to utilization review indicating non-use of services. Since these services were not being utilized, a transition plan is not needed.

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.

WV assures that this Waiver will be subject to any provisions or requirements included in WV’s most recent and/or approved home and community-based settings Statewide Transition Plan. WV will implement any Center for Medicaid and Chip Services (CMCS)-required changes by the end of the transition period as outlined in the home and community-based settings Statewide Transition Plan.

Additional Needed Information (Optional)

Provide additional needed information for the waiver (optional):

Appendix A: Waiver Administration and Operation

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

   - The waiver is operated by the state Medicaid agency.

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

   - The Medical Assistance Unit.

   Specify the unit name:

   (Do not complete item A-2)
Another division/unit within the state Medicaid agency that is separate from the Medical Assistance Unit.

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

(Complete item A-2-a).

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

Specify the division/unit name:
The Bureau of Senior Services (BoSS)

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:
The Aged and Disabled Waiver (ADW) is operated by a separate agency of the State under the supervision and guidance of the West Virginia Bureau for Medical Services (BMS). BMS provides administrative oversight and issues policies, rules and regulations related to the operation of the ADW program. A copy of the interagency agreement between BMS and the Operating Agency outlining specific activities, functions, and responsibilities is on file. The administrative functions delegated to the Operating Agency include:

- Participant waiver enrollment
- Qualified provider enrollment and continuing certification
- Provider monitoring reviews (assessments, service plans, plan of care, employee qualifications, etc.)
- Quality assurance and quality improvement activities

Per the interagency agreement with BMS, the Operating Agency will:

- Perform on-site visits to prospective ADW providers to evaluate certification requirements
- Refer potential service providers for enrollment as ADW providers
- Enroll new people on the ADW
- Monitor provider compliance with Program policies and certification criteria
- Monitor the delivery of ADW services for appropriateness and effectiveness
- Provide monthly reports on all provider monitoring activities.
- Maintain ADW provider files, information, and reports necessary to determine compliance with established program standards
- Represent BMS’s interests in all ADW Fair Hearings.
- Provide ADW providers with appropriate Medicaid regulations and policies
- Confer with BMS staff on training and providing technical assistance to ADW providers
- Respond to all referrals and other requests (except for fiscal issues) in writing with consultation with BMS
- Establish and maintain secure Email capacity that complies with HIPAA regulations.
- Provide the necessary appropriated state funds to match with federal administrative matching funds for ADW services and certify in writing, on a quarterly basis, the availability of such funds
- Invoice the Bureau for Medical Services for allowable administrative costs
- Repay any administrative funds that are disallowed as a result of federal and/or state audits.

Quality Improvement

- Maintain an ongoing and effective Quality Improvement system for the ADW
- Maintain and support an ADW Quality Improvement Advisory (QIA) Council
- Develop and monitor the implementation of an annual Quality Work Plan for the ADW
- Develop and distribute the ADW Discovery and Remediation (D & R) Report and distribute quarterly to the QIA Council and distribute monthly to BMS.
- Manage an Incident Management System and complaint line for the ADW
- Maintain minutes of the monthly operational meeting with BMS.
- Conduct quality reviews of all ADW providers and prepare review reports. (Final reports must be approved by BMS prior to any distribution or action.)

The methods BMS employs to provide oversight and guidance related to the implementation of the agreement include:

- Monthly contract meetings with BMS, Operating Agency staff, and other contracted entities
- Monthly written reports prepared for and submitted to BMS and Operating Agency management staff
- Quarterly QIA Council meetings

Transition Coordination
The contractor will provide Transition Coordination to support residents of nursing facilities, hospitals and IMDs who qualify for Waiver transition services. The contractor will provide a network of at least five (5) Full-Time Equivalent (FTE) Transition Coordinators located strategically throughout the state. Transition Coordinators will work one-on-one with eligible residents and their Transition Teams to:
- Accept and follow-up with referrals from the Aging & Disability Resource Network (ADRN);
- Conduct interviews to share information about options for returning to the community, including the availability of Waiver transition services;
- Assess residents’ transition support needs, including risk factors that may jeopardize a safe and successful transition to the community;
- Facilitate the development of a Transition Team consisting of the resident, the Transition Coordinator, the Waiver Case Manager, the facility social worker and other appropriate staff and anyone else the resident chooses to include in the transition process;
- Work with the resident and his/her Transition Team to develop a written Transition Plan which incorporates specific services and supports to meet identified transition needs;
- Conduct a Risk Analysis and develop a written Risk Mitigation Plan to address and monitor all identified risks that may jeopardize the resident’s successful transition;
- Arrange and facilitate the procurement and delivery of needed transition services and supports including Waiver transition services prior to transition.

The contractor will also provide one (1) Transition Manager to:
- Oversee the day-to—day operations and delivery of Transition Coordination;
- Participate in monthly contract meetings with designated staff from the contractor and the Bureau for Medical Services (BMS);
- Review and approve all Transition Plans prior to the delivery of Waiver transition services;
- Organize and facilitate monthly calls with Transition Coordinators to share information, provide technical assistance as needed, acquire feedback and address concerns that may impact the delivery of effective Transition Coordination;
- Provide monthly Program and data reports as specified;
- Provide ad hoc reports as requested by BMS, and;
- Attend Waiver Quality Improvement Advisory Council meetings.

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
   5. Community Transition Coordination

2. Community Transition Coordination
   1. Transition Manager
   2. 5 Transition Coordinators located state-wide to assist individuals who require transition services to safely transition from long-term facilities, such as nursing homes and hospitals, to the community.
   3. Part-time support staff.

3. Utilization Management Contractor (UMC) Overview and Functions:
   (UMC):
   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
   5. Maintenance of database (ADW CareConnection) that holds comprehensive list of all enrolled ADW members

4. 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

5. Government Fiscal Employer/Agent (F/EA) (Personal Options) Overview and Functions:
   1. Assists 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 direct support workers;
   10. Provide ongoing information and assistance to person and/or their legal/non-legal representative; and
   11. Serve as FMS for processing Community Transition Service invoices.

6. EVV Contractor
   The EVV system will verify
   1. They type of service performed
   2. The individual receiving the service
   3. The date of the service
   4. The location of the service delivery
   5. The individual providing the service
6. The time the service begins and ends

For services requiring EVV, direct care staff, nurses, and case managers will use the system to check-in at the beginning of the visit. After the visit, the member or authorized representative will use the system to verify the correct visit has been provided.

The state is currently seeking a vendor to provide these services, and methods of collecting the data are expected to include a web-based application, phones, and other device options.

The specific waiver services included in the EVV system:
1. BMS will work with CMS to determine which PCS and HHCS services in the state plan, Aged and Disabled Waiver are subject to EVV requirements.
2. The date the system was/will be fully implemented/operational
3. The WV EVV system is expected to be fully implemented/operational in the November 2020 time frame.

☐ 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 WV 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.
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, the Operating Agency 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 ADW Discovery and Remediation (D & R) Report and the monthly activity reports of the contracted agencies (OA, UMC, FEA) and reviewed at least monthly by BMS at its contract meetings. Information from the ADW D & R Report is also reviewed quarterly by the ADW Quality Improvement Advisory Council.

**Reports:**

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

1. ADW Discovery and Remediation Report and monthly activity reports on delegated functions and ad hoc reports as requested.
2. Personal Options 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.
4. UMC monthly reports on delegated functions and ad hoc reports as requested.

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.

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

03/04/2020
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:
A-ai-1: Number of requests for prior authorizations that the UMC responded to within established timelines. Numerator=Number of requests for prior authorization responded to by the UMC within established timelines. Denominator=Number of requests for prior authorization.

Data Source (Select one):
Reports to State Medicaid Agency on delegated Administrative functions
If ‘Other’ is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☒ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
</tbody>
</table>

Confidence Interval =
<table>
<thead>
<tr>
<th>Data Aggregation and Analysis:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Responsible Party for data aggregation and analysis (check each that applies):</td>
<td>Frequency of data aggregation and analysis (check each that applies):</td>
</tr>
<tr>
<td>✓ State Medicaid Agency</td>
<td>□ Weekly</td>
</tr>
<tr>
<td>□ Operating Agency</td>
<td>✓ Monthly</td>
</tr>
<tr>
<td>□ Sub-State Entity</td>
<td>✓ Quarterly</td>
</tr>
<tr>
<td>✓ Other Specify:</td>
<td>✓ Annually</td>
</tr>
<tr>
<td>UMC</td>
<td></td>
</tr>
</tbody>
</table>

Performance Measure:
A-ai-2: Number of written grievances/complaints resolved by the OA within established timelines. Numerator=Number of written grievances/complaints resolved by the OA within established timelines Denominator=Number of written grievances/complaints submitted to the OA.
### Data Source (Select one):
Operating agency performance monitoring
If 'Other' is selected, specify:

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

### Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☒ Quarterly</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☒ Annually</td>
</tr>
</tbody>
</table>
Responsible Party for data aggregation and analysis (check each that applies):  

- [ ] Continuously and Ongoing
- [ ] Other
  Specify:

<table>
<thead>
<tr>
<th>Performance Measure:</th>
</tr>
</thead>
<tbody>
<tr>
<td>A-ai-3: Number of member 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 completed.</td>
</tr>
</tbody>
</table>

Data Source (Select one):
Analyzed collected data (including surveys, focus group, interviews, etc)
If 'Other' is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] State Medicaid Agency</td>
<td>[ ] Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>[ ] Operating Agency</td>
<td>☒ Monthly</td>
<td>[ ] Less than 100% Review</td>
</tr>
<tr>
<td>[ ] Sub-State Entity</td>
<td>[ ] Quarterly</td>
<td>[ ] Representative Sample</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Confidence Interval =</td>
</tr>
<tr>
<td>[ ] Other</td>
<td>[ ] Annually</td>
<td>[ ] Stratified</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
<td>Describe Group:</td>
</tr>
<tr>
<td>UMC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☒ Continuously and Ongoing</td>
<td>[ ] Other</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Specify:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>[ ] Other</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

03/04/2020
**Data Aggregation and Analysis:**

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☒ Weekly</td>
</tr>
<tr>
<td></td>
<td>☒ Monthly</td>
</tr>
<tr>
<td></td>
<td>☒ Quarterly</td>
</tr>
<tr>
<td>☒ Other</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
</tr>
<tr>
<td>UMC</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Data Source (Select one):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Record reviews, off-site</td>
</tr>
</tbody>
</table>

If 'Other' is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
<td></td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Less than 100% Review</td>
</tr>
</tbody>
</table>

Performance Measure:

A-ai-4: Number of on-site provider reviews conducted within established timelines.

Numerator = Number of on-site provider reviews conducted within established timelines.

Denominator = Number of on-site provider reviews conducted.

Data Source (Select one):

Record reviews, off-site

If 'Other' is selected, specify:
<table>
<thead>
<tr>
<th>Data Aggregation and Analysis:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Responsible Party for data aggregation and analysis (check each that applies):</td>
<td>Frequency of data aggregation and analysis (check each that applies):</td>
</tr>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
</tr>
<tr>
<td>☐ Continuously and Ongoing</td>
<td></td>
</tr>
<tr>
<td>☐ Other</td>
<td></td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
</tr>
</tbody>
</table>

Performance Measure:
A-a1-5: Number 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:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample&lt;br&gt;Confidence Interval =</td>
</tr>
<tr>
<td>☐ Other&lt;br&gt;Specify:</td>
<td>☐ Annually</td>
<td>☐ Stratified&lt;br&gt;Describe Group:</td>
</tr>
<tr>
<td>☐ Other&lt;br&gt;Specify:</td>
<td>☐ Continuously and Ongoing</td>
<td>☐ Other&lt;br&gt;Specify:</td>
</tr>
<tr>
<td>☐ Other&lt;br&gt;Specify:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other&lt;br&gt;Specify:</td>
<td>☒ Annually</td>
</tr>
</tbody>
</table>
### Performance Measure:

A-ai-6 Number of appeals resolved following approved processes. Numerator = Number of appeals resolved following approved processes. Denominator = Number of appeals resolved.

### Data Source (Select one):

- Reports to State Medicaid Agency on delegated Administrative functions

If 'Other' is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Annually</td>
<td>☐ Stratified Describe Group:</td>
</tr>
<tr>
<td>☒ Continuously and Ongoing</td>
<td>☒ Annually</td>
<td>☐ Other Specify:</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Other Specify:</td>
<td></td>
</tr>
</tbody>
</table>
### Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☒ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☒ Quarterly</td>
</tr>
<tr>
<td>☐ Other</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>☐ Continuously and Ongoing</td>
<td></td>
</tr>
</tbody>
</table>

**Performance Measure:**

A-ai-7: Number of authorizations granted. Numerator=Number of authorizations granted. Denominator=Number of authorizations requested

### Data Source (Select one):

Reports to State Medicaid Agency on delegated Administrative functions

If 'Other' is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☒ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☒ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☒ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
</tbody>
</table>

Confidence Interval =
Other Specify: UMC

☐ Annually

☐ Stratified Describe Group:

☐ Continuously and Ongoing

☐ Other Specify:

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☒ Quarterly</td>
</tr>
<tr>
<td>☒ Other Specify: UMC</td>
<td>☐ Annually</td>
</tr>
<tr>
<td>☐ Continuously and Ongoing</td>
<td>☐ Other Specify:</td>
</tr>
</tbody>
</table>

Performance Measure:
A-ai-8: Number of authorizations denied. Numerator=Number of authorizations denied. Denominator=Number of authorizations requested.

Data Source (Select one):
Reports to State Medicaid Agency on delegated Administrative functions
If 'Other' is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☒ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
<tr>
<td>☒ Other Specify:</td>
<td></td>
<td>Confidence Interval =</td>
</tr>
<tr>
<td>UMC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Continuously and Ongoing</td>
<td>☐ Other Specify:</td>
<td></td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☒ Quarterly</td>
</tr>
<tr>
<td>☒ Other Specify:</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>UMC</td>
<td></td>
</tr>
</tbody>
</table>
ii. If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.

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

   The operating agency and the UMC are 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)

<table>
<thead>
<tr>
<th>Responsible Party (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☒ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☒ Quarterly</td>
</tr>
<tr>
<td>☒ Other</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>Specify:</td>
<td>☐ Continuously and Ongoing</td>
</tr>
<tr>
<td>UMC</td>
<td>☐ Other</td>
</tr>
<tr>
<td>Specify:</td>
<td>Cox Other</td>
</tr>
</tbody>
</table>

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.

O No
O 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:

<table>
<thead>
<tr>
<th>Target Group</th>
<th>Included</th>
<th>Target SubGroup</th>
<th>Minimum Age</th>
<th>Maximum Age</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Aged</td>
<td>65</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Disabled (Physical)</td>
<td>18</td>
<td>64</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Disabled (Other)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

c. **Transition of Individuals Affected by Maximum Age Limitation.** When there is a maximum age limit that applies to individuals who may be served in the waiver, describe the transition planning procedures that are undertaken on behalf of participants affected by the age limit (select one):
Not applicable. There is no maximum age limit

The following transition planning procedures are employed for participants who will reach the waiver’s maximum age limit.

Specify:

There is no need for a transition procedure - essentially these individuals continue to be on the program under the minimum age requirements for the aged population as specified above.

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 on the ADW are addressed in their Service Plan (SP), which is developed by the ADW Case Manager and the person/legal representative receiving services. The SP includes Waiver services, non-Waiver services, informal supports, and emergency backup planning. The SP must address all identified needs, including risks to member health and welfare and member choice. If a member is denied eligibility then the denial letter sent to the member will include notification of how to file for a request for a Medicaid Fair Hearing.

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 ADW services as outlined on the Service Plan (SP). At a minimum, the Case Managers must visit ADW members monthly to review the implementation of the SP and address any issues or concerns identified during the required assessments. If a person experiences a change in medical status, the UMC may authorize an increase to the person's service level. At no time however would a service level be authorized for more than the maximum amount approved based on medical status on the PAS.

If circumstances arise that places the person's health and welfare at risk and cannot be adequately addressed with ADW services, 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 ADW services 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>
<thead>
<tr>
<th>Waiver Year</th>
<th>Unduplicated Number of Participants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1</td>
<td>6523</td>
</tr>
<tr>
<td>Year 2</td>
<td>6600</td>
</tr>
<tr>
<td>Year 3</td>
<td>6600</td>
</tr>
<tr>
<td>Year 4</td>
<td>6600</td>
</tr>
<tr>
<td>Year 5</td>
<td>6600</td>
</tr>
</tbody>
</table>

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>
<thead>
<tr>
<th>Waiver Year</th>
<th>Maximum Number of Participants Served At Any Point During the Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1</td>
<td></td>
</tr>
<tr>
<td>Year 2</td>
<td></td>
</tr>
<tr>
<td>Year 3</td>
<td></td>
</tr>
<tr>
<td>Year 4</td>
<td></td>
</tr>
<tr>
<td>Year 5</td>
<td></td>
</tr>
</tbody>
</table>
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:

<table>
<thead>
<tr>
<th>Purposes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transition Services</td>
</tr>
</tbody>
</table>

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)*:

Transition Services

**Purpose** *(describe)*:

The State will reserve capacity in Waiver Years 1, 2, 3, 4 and 5 for individuals who are medically and financially eligible for the Aged and Disabled Waiver program, who have been in a facility, such as nursing home, hospital or IMD, for at least ninety consecutive days and who choose to transition to a community setting consistent with the CMS Integrated Setting Rule.

**Describe how the amount of reserved capacity was determined**:

The amount of capacity reserved is based on the number of transitions projected for Waiver Years 1, 2, 3, 4 and Waiver Year 5. These projections were based on the experience of the Money Follows the Person demonstration grant.

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

<table>
<thead>
<tr>
<th>Waiver Year</th>
<th>Capacity Reserved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1</td>
<td>76</td>
</tr>
<tr>
<td>Year 2</td>
<td>76</td>
</tr>
<tr>
<td>Year 3</td>
<td>76</td>
</tr>
<tr>
<td>Year 4</td>
<td>76</td>
</tr>
<tr>
<td>Year 5</td>
<td>76</td>
</tr>
</tbody>
</table>
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 Aged and Disabled Waiver (ADW) program is reached, applicants for ADW services are placed on a Managed Enrollment List (MEL) until a funded slot is available. Upon application, financial eligibility must be determined prior to medical eligibility. Once financial eligibility and medical eligibility are determined, applicants are placed on the MEL. Applications for entry to the program will be processed based on the date/time of their correctly completed Medical Necessity Evaluation Request (MNER) as capacity becomes available. If at any time there would not be a MEL, the applicant will be entrants to the waiver program upon completion of financial and medical eligibility.

Take Me Home applicants are not subject to the same MEL requirements which requires an ADW funded slot be available. They may access a slot immediately as long as a slot earmarked for TMH is available in Waiver Years 1, 2, 3, 4 and 5.

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.
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:

<table>
<thead>
<tr>
<th>Eligibility Groups Served in the Waiver (excluding the special home and community-based waiver group under 42 CFR §435.217)</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Low income families with children as provided in §1931 of the Act</td>
</tr>
<tr>
<td>☑ SSI recipients</td>
</tr>
<tr>
<td>☐ Aged, blind or disabled in 209(b) states who are eligible under 42 CFR §435.121</td>
</tr>
<tr>
<td>☐ Optional state supplement recipients</td>
</tr>
<tr>
<td>☐ Optional categorically needy aged and/or disabled individuals who have income at:</td>
</tr>
<tr>
<td>Select one:</td>
</tr>
<tr>
<td>☐ 100% of the Federal poverty level (FPL)</td>
</tr>
<tr>
<td>☑ % of FPL, which is lower than 100% of FPL. Specify percentage:</td>
</tr>
<tr>
<td>☐ Working individuals with disabilities who buy into Medicaid (BBA working disabled group as provided in §1902(a)(10)(A)(ii)(XIII)) of the Act)</td>
</tr>
<tr>
<td>☐ Working individuals with disabilities who buy into Medicaid (TWWIIA Basic Coverage Group as provided in §1902(a)(10)(A)(ii)(XV) of the Act)</td>
</tr>
<tr>
<td>☐ 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)</td>
</tr>
<tr>
<td>☐ 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)</td>
</tr>
<tr>
<td>☐ Medically needy in 209(b) States (42 CFR §435.330)</td>
</tr>
<tr>
<td>☐ Medically needy in 1634 States and SSI Criteria States (42 CFR §435.320, §435.322 and §435.324)</td>
</tr>
<tr>
<td>☐ Other specified groups (include only statutory/regulatory reference to reflect the additional groups in the state plan that may receive services under this waiver)</td>
</tr>
<tr>
<td>Specify:</td>
</tr>
</tbody>
</table>

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

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

☑ Yes. The state furnishes waiver services to individuals in the special home and community-based waiver group under 42 CFR §435.217.

Select one and complete Appendix B-5.

☐ All individuals in the special home and community-based waiver group under 42 CFR §435.217

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

Check each that applies:

☒ A special income level equal to:

Select one:

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

○ A percentage of FBR, which is lower than 300% (42 CFR §435.236)

Specify percentage: [ ]

○ A dollar amount which is lower than 300%.

Specify dollar amount: [ ]

☐ Aged, blind and disabled individuals who meet requirements that are more restrictive than the SSI program (42 CFR §435.121)

☐ Medically needy without spend down in states which also provide Medicaid to recipients of SSI (42 CFR §435.320, §435.322 and §435.324)

☐ Medically needy without spend down in 209(b) States (42 CFR §435.330)

☐ Aged and disabled individuals who have income at:

Select one:

○ 100% of FPL

○ % of FPL, which is lower than 100%.

Specify percentage amount: [ ]

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

Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

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

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

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

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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

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

- The following standard included under the state plan

  Select one:

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

  (select one):

  - 300% of the SSI Federal Benefit Rate (FBR)
    Specify the percentage:

  - A percentage of the FBR, which is less than 300%
    Specify the percentage:

  - A dollar amount which is less than 300%.
    Specify dollar amount:

  - A percentage of the Federal poverty level
    Specify percentage:

  - Other standard included under the state Plan
    Specify:
The following dollar amount

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

The following formula is used to determine the needs allowance:

Specify:

Other

Specify:

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

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

Specify:

Specify the amount of the allowance (select one):

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

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

The amount is determined using the following formula:

Specify:

iii. Allowance for the family (select one):

- Not Applicable (see instructions)
- AFDC need standard
- Medically needy income standard
- The following dollar amount:
Specify dollar amount: __________ The amount specified cannot exceed the higher of the need standard for a family of the same size used to determine eligibility under the state’s approved AFDC plan or the medically needy income standard established under 42 CFR §435.811 for a family of the same size. If this amount changes, this item will be revised.

- The amount is determined using the following formula:

  Specify:

- Other

  Specify:

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

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

Select one:

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

- The state does not establish reasonable limits.

- The state establishes the following reasonable limits

  Specify:

Appendix B: Participant Access and Eligibility

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

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

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

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

Appendix B: Participant Access and Eligibility

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

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

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

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

i. Allowance for the personal needs of the waiver participant

(select one):

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

Specify percentage:

- The following dollar amount:

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

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

Specify formula:

- Other

Specify:

300% of the federal SSI benefit rate.

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:

All income is allowed for the personal needs of the waiver participant.

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:
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.


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

Appendix B: Participant Access and Eligibility

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

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


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.


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

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

Appendix B: Participant Access and Eligibility

B-6: Evaluation/Reevaluation of Level of Care

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

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

i. Minimum number of services.

The minimum number of waiver services (one or more) that an individual must require in order to be determined to need waiver services is: [ ]
ii. **Frequency of services.** The state requires (select one):

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

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

---

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

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

*Specify the entity:*

- Utilization Management Contractor
- 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:

*Per contract with the UMC, all initial assessments for the determination of medical eligibility for the ADW are conducted by registered nurses.*

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.
Medical Eligibility Criteria:

Initial medical necessity is based on information provided to, assessed by and/or demonstrated to a RN of the UMC, which is documented on the Pre-Admission Screening (PAS). An applicant must have at least five (5) deficits to qualify medically for the ADW Program. These deficits are derived from a combination of the following assessment elements on the PAS.

1. Decubitus (Stages 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 1 or 2 person assistance)
   - Wheeling (must require assistance with walking in the home)
4. Individual has skilled needs in one or more of the following areas:
   - Suctioning
   - Tracheotomy
   - Ventilator
   - Parenteral fluids
   - Sterile dressings
   - Irrigation
5. Individual is not capable of administering his/her own medications.

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

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

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

**f. Process for Level of Care Evaluation/Reevaluation:** Per 42 CFR §441.303(c)(1), describe the process for evaluating waiver applicants for their need for the level of care under the waiver. If the reevaluation process differs from the evaluation process, describe the differences:
The Utilization Management Contractor (UMC) employs registered nurses located across the state who conduct assessments of medical eligibility for the Aged and Disabled Waiver Program (ADW). Staffing for the program is adjusted based on the volume of medical eligibility requests received by the UMC. The process detailed below applies to both initial assessments of medical eligibility as well as annual re-evaluations except where otherwise noted:

1. Initial and re-evaluation requests are submitted to the UMC to initiate scheduling of the medical necessity evaluation.
2. The UMC returns all initial referrals to the referring entity if the MNER is not signed by the applicant’s treating physician, Advanced Practice Registered Nurse (APRN) Practitioner or Physician’s Assistant within sixty (60) days of receipt. The re-evaluation referral only requires the physician’s, APRN Practitioner’s or Physician’s Assistant’s signature if/when the person has had a change of diagnosis and/or prognosis since the previous referral. All referrals require the person/legal representative’s signature.
3. For initials, the UMC enters the information from the referral into a database. The UMC sends the applicant/legal representative a WVDHHR DHS-2 form and letter instructing them to acquire financial eligibility for Waiver Services with the local DHHR. A Freedom of Choice Form and Case Management Provider Selection Form are included, in case the applicant wants assistance with establishing financial eligibility.
4. If WVDHHR notifies the UMC the applicant is not financially eligible, the referral is closed.
5. If WVDHHR notifies the UMC the applicant is financially eligible, the UMC will attempt to contact the applicant/legal representative within established timeframes.
6. The UMC issues a potential closure if the applicant/person cannot be contacted within an established number of contact attempts. The potential closure notification includes a toll-free number to call to schedule the evaluation.
7. The UMC closes the referral if no response is received within established time frames. If the applicant/person decides to have the evaluation after the referral is closed, a new referral is required.
8. Upon contacting the applicant/person (or legal representative), the UMC schedules the evaluation visit.
9. The UMC sends an appointment confirmation to the applicant/person (or legal representative) once the visit is scheduled; copies of the appointment confirmation are made available to the referring entity.
10. During the assessment, an UMC RN distributes informational handouts to the applicant/person (or legal representative). The RN explains the reason for the visit and offers to read any of the information distributed.
11. The RN reviews and explains the Service Delivery Model Options with the applicant during the initial visit if the applicant did not previously make selections.
12. The RN collects data for the PAS Assessment Form by asking questions and requesting the applicant/person demonstrates abilities (e.g. walking, transferring, ROM assessment). The RN reviews the assessment documentation with those present at the visit once the evaluation is complete and allows time for any questions or discussions surrounding the documentation.
13. The RN submits the evaluation. During the time between the assessment and submission of the evaluation, the RN attempts to clarify any outstanding issues with the applicant/person’s treating physician. Such issues may include additional diagnoses.
14. A service level change may be requested at any time with supporting documentation to justify the request.
15. The UMC runs the evaluation through an algorithm based on current BMS policy to determine eligibility. If the applicant/person has the required deficits, the algorithm will calculate the person’s service level, consistent with BMS policy.
16. If the person is medically eligible, the UMC issues a medical eligibility determination letter which is also made available to the referring entity.
17. If the evaluation shows less than the required number of deficits, the UMC issues a potential denial letter to the applicant/person and the referring entity, allowing time to submit additional clinical information. The UMC issues a final denial letter to the applicant/person (or legal representative) and referring entity with appeal rights information and a copy of the evaluation if no additional information is submitted within timeframes.
18. A final denial letter is made available to the applicant/person (or legal representative) and the referring entity, along with a copy of the final assessment form and appeal rights. Also available are the hearing request form with instructions for completion and the BMS approved insert with additional resources listed.
19. The UMC conducts annual re-evaluations prior to the person’s next Anchor Date when the MNER referral is received within timelines. The starting point for re-evaluation is the receipt of the completed referral. The starting point for initials is the notice of financial eligibility approval by DHHR.

### 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**

03/04/2020
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):

Per the ADW Policy Manual, it is the responsibility of Case Management Agencies to ensure that each person's annual Medical Necessity Evaluation Request (MNER) is submitted in a timely manner. ADW Case Managers must submit the Medical Necessity Re-Evaluation Request Form to the UMC up to 90 days and no later than 45 days prior to the person's anchor date (annual re-evaluation). Per contract, the UMC is responsible for completing all annual re-evaluations prior to the anchor date.

For those individuals who self-direct, the person or the program representative is responsible for submitting the MNER to the Case manager using the same timelines as above.

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 initial assessments and annual re-evaluations of medical eligibility determinations are maintained for a minimum of 5 years by the UMC.

Appendix B: Evaluation/Reevaluation of Level of Care

Quality Improvement: Level of Care

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

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

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

i. Sub-Assurances:

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

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

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

Performance Measure:
B-aia-1: Number of applicants who received Level of Care determinations prior to receipt of ADW services. Numerator= Number of ADW members who were determined to meet Level of Care requirements prior to receiving ADW services. Denominator= Total number of enrolled ADW members.

Data Source (Select one):
Other
If ‘Other’ is selected, specify:
Assessment tracking database

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☒ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Confidence Interval =</td>
</tr>
<tr>
<td>☒ Other</td>
<td>☐ Annually</td>
<td>☐ Stratified</td>
</tr>
<tr>
<td>Specify: UMC</td>
<td></td>
<td>Describe Group:</td>
</tr>
<tr>
<td>☒ Continuously and Ongoing</td>
<td>☐ Other</td>
<td>Specify:</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Other</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☒ Weekly</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☒ Quarterly</td>
</tr>
<tr>
<td>☒ Other Specify:</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>☐ Continuously and Ongoing</td>
<td>☐ Other Specify:</td>
</tr>
</tbody>
</table>

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.

Performance Measure:
B-aib-1: Number of enrolled ADW members that were re-evaluated within 1 year of their pervious LOC review. Numerator= Number of enrolled ADW participants that were re-evaluated within 1 year of their pervious LOC review. Denominator= Total number of enrolled ADW members requiring a LOC re-evaluation within the calendar month.

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

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

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☒ Quarterly</td>
</tr>
<tr>
<td>☒ Other</td>
<td>☒ Annually</td>
</tr>
</tbody>
</table>
c. Sub-assurance: The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant level of care.

Performance Measures

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

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

Performance Measure:
B-aic-1: Number of secondary reviews of LOC determinations that are consistent with the current LOC determination. Numerator= Number of secondary review LOC decisions that were consistent with the current LOC determinations. Denominator= Number of secondary reviews completed.

Data Source (Select one):
Record reviews, on-site
If ‘Other’ is selected, specify:
Confidence Interval = 95%

<table>
<thead>
<tr>
<th>Other Specify:</th>
<th>Annually</th>
<th>Stratified Describe Group:</th>
</tr>
</thead>
<tbody>
<tr>
<td>UMC</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Continuously and Ongoing</th>
<th>Other Specify:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other Specify:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis</th>
<th>Frequency of data aggregation and analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] State Medicaid Agency (check each that applies)</td>
<td>[ ] Weekly</td>
</tr>
<tr>
<td>[ ] Operating Agency</td>
<td>[ ] Monthly</td>
</tr>
<tr>
<td>[ ] Sub-State Entity</td>
<td>[ ] Quarterly</td>
</tr>
<tr>
<td>[ ] Other Specify:</td>
<td>[ ] Annually</td>
</tr>
<tr>
<td>UMC</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Continuously and Ongoing</th>
<th>Other Specify:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Performance Measure:
B-aic-2: Number of ADW members whose ADW eligibility determination utilized WV’s approved screening instrument and process. Numerator= The number of ADW eligibility determinations made when the instrument and process were applied as determined by WV. Denominator= Number of ADW members who had an eligibility determination

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

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☒ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
<tr>
<td>☒ Other</td>
<td>☒ Annually</td>
<td></td>
</tr>
<tr>
<td>Specify: UMC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Continuously and Ongoing</td>
<td>☐ Other Specify:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Data Aggregation and Analysis:
### Responsible Party for data aggregation and analysis (check each that applies):

<table>
<thead>
<tr>
<th>Responsible Party</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Medicaid Agency</td>
<td>□ Weekly</td>
</tr>
<tr>
<td>Operating Agency</td>
<td>□ Monthly</td>
</tr>
<tr>
<td>Sub-State Entity</td>
<td>□ Quarterly</td>
</tr>
<tr>
<td>Other</td>
<td>□ Annually</td>
</tr>
</tbody>
</table>

### Performance Measure:
B-aic-3: Number of ADW members whose ADW eligibility determination was performed within the designated timeframe. Numerator = Number of ADW members whose ADW eligibility determination was performed within the designated timeframe. Denominator = Number of ADW members who had an eligibility determination within the month.

### Data Source (Select one):
Record reviews, on-site

If ‘Other’ is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Medicaid Agency</td>
<td>□ Weekly</td>
<td>□ 100% Review</td>
</tr>
<tr>
<td>Operating Agency</td>
<td>□ Monthly</td>
<td>□ Less than 100% Review</td>
</tr>
<tr>
<td>Sub-State Entity</td>
<td>□ Quarterly</td>
<td>□ Representative Sample</td>
</tr>
</tbody>
</table>

Confidence Interval =
<table>
<thead>
<tr>
<th>☐ Other Specify:</th>
<th>☐ Annually</th>
<th>☐ Stratified Describe Group:</th>
</tr>
</thead>
<tbody>
<tr>
<td>UMC</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>☐ Continuously and Ongoing</th>
<th>☐ Other Specify:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>☐ Other Specify:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis <em>(check each that applies):</em></th>
<th>Frequency of data aggregation and analysis <em>(check each that applies):</em></th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☒ Quarterly</td>
</tr>
<tr>
<td>☒ Other Specify:</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>UMC</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>☐ Continuously and Ongoing</th>
<th>☐ Other Specify:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**ii.** If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.
1. The UMC conducts monthly quality assurance and improvement activities on all field nurses. Retrospective reviews are conducted on PAS assessment utilizing a random 10% sampling each month. All elements of both medical eligibility and level of care are reviewed to determine if the nurse is applying the criteria accurately and appropriately. Feedback is given to each nurse monthly regarding the final outcome of the reviews.

2. Visits are made with the field nurses at least once a year and as needed thereafter as a quality assurance activity. Unannounced home visits with the nurse for assessments can occur at any time.

3. Periodically, case scenarios are created based on actual PAS assessments, blinded and presented to all the field nurses. The nurses then complete the PAS assessment as a desk review and the outcomes both individually and collectively are tallied with feedback given to the staff.

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): |
       |-----------------------------------------------|---------------------------------------------------------------|
       | State Medicaid Agency                          | Weekly                                                       |
       | Operating Agency                               | Monthly                                                      |
       | Sub-State Entity                               | Quarterly                                                    |
       | Other                                          | Annually                                                     |
       | Specify:                                       | Continuous and Ongoing                                        |
       | UMC                                            | Other                                                        |
       | Specify:                                       |                                                               |

   c. Timelines
   When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Level of Care that are currently non-operational.
   □ No
   ○ Yes
   Please provide a detailed strategy for assuring Level of Care, the specific timeline for implementing identified strategies, and the parties responsible for its operation.
Appendix B: Participant Access and Eligibility

B-7: Freedom of Choice

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

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

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

At the point of referral (receipt of the MNER by the UMC), the applicant is provided with an ADW Program Brochure that details services available to eligible individuals. The Brochure includes information about their right to choose between home and community based services and institutional services. A Consent Form is used to document the applicant's choice between home and community based services and institutional services.

The ADW Program Brochure also informs the applicant of their right to choose between a Traditional Model and Personal Options Model of services. A Service Delivery Model Selection Form is used to document the applicant's choice between Traditional Model services and Personal Options services. Freedom of Choice of Provider forms is also included at this time. If the applicant chooses, they can select an ADW Case Management agency to assist them in establishing financial eligibility.

When the UMC conducts the initial medical eligibility assessment, applicants are again presented with the ADW Program Brochure, the Consent Form and the Service Delivery Model Selection Form. If the applicant has not previously signed the forms, indicating their choices, they will be asked to do so at this visit.

**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 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:

<table>
<thead>
<tr>
<th>Service Type</th>
<th>Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>Statutory Service</td>
<td>Case Management</td>
</tr>
<tr>
<td>Statutory Service</td>
<td>Personal Attendant Services</td>
</tr>
<tr>
<td>Other Service</td>
<td>Community Transition Services</td>
</tr>
<tr>
<td>Other Service</td>
<td>Non-Medical Transportation</td>
</tr>
<tr>
<td>Other Service</td>
<td>Personal Emergency Response System</td>
</tr>
<tr>
<td>Other Service</td>
<td>Pre-Transition Case Management</td>
</tr>
<tr>
<td>Other Service</td>
<td>Skilled Nursing</td>
</tr>
</tbody>
</table>

**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:**
- Case Management

**Alternate Service Title (if any):**

**HCBS Taxonomy:**

<table>
<thead>
<tr>
<th>Category 1:</th>
<th>Sub-Category 1:</th>
</tr>
</thead>
<tbody>
<tr>
<td>01 Case Management</td>
<td>01010 case management</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Category 2:</th>
<th>Sub-Category 2:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Category 3:</th>
<th>Sub-Category 3:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Category 4:</th>
<th>Sub-Category 4:</th>
</tr>
</thead>
</table>

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

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

**Service Definition (Scope):**
Services that assist people receiving ADW services in gaining access to needed waiver services and other State Plan services, as well as medical, social, educational and other services, regardless of the funding source for the services to which access is gained.

Case Management responsibilities also include:
- The ongoing monitoring of the provision of services included in the person’s service plan and member health and welfare.
- Initiating the process to re-evaluate the person's medical eligibility and the development of service plans.
- Development of a person-centered service plan that meets people's needs and considers preferences.
- Provides advocacy, coordination of and linkage to services.
- Ensures the health and safety of the member.
- Make monthly face to face contact in home with person receiving services.
- Availability and/or plan in place to respond to a person in crisis whenever needed.

Case Managers will be subject to usage of Electronic Visit Verification and all of the requirements to record monthly home visits.

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

| 1 Unit Per Month - Reimbursed at a monthly rate |

**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:**

<table>
<thead>
<tr>
<th>Provider Category</th>
<th>Provider Type Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agency</td>
<td>ADW Case Management Agency</td>
</tr>
</tbody>
</table>

**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:**  
ADW Case Management Agency

**Provider Qualifications**

**License (specify):**

ADW Case Management Agency must be certified by the Bureau for Medical Services (BMS) by the Operating Agency initially and annually thereafter.

**Certificate (specify):**

Agency must be an approved ADW agency and an enrolled Medicaid provider.
Other Standard (specify):

Staff must 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, valid driver's license, proof of current vehicle insurance, inspection per state law and registration, be able to perform the tasks and meet training requirements as mandated by BMS.

Case management services must be provided by an individual fully licensed (this does not include provisional or temporary license) in West Virginia as a social worker, counselor or registered nurse or may be an individual with a four year degree (BA or BS) in a human service field and certification in the on-line case management training developed by the Bureau for Medical Services.

Verification of Provider Qualifications

Entity Responsible for Verification:

Agency is verified by the Operating Agency.
Agency staff is verified by the Operating Agency.
The Operating Agency will perform certification validation during on-site reviews.

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 5 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:

<table>
<thead>
<tr>
<th>Category 1</th>
<th>Sub-Category 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>08 Home-Based Services</td>
<td>08030 personal care</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Category 2</th>
<th>Sub-Category 2</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Category 3</th>
<th>Sub-Category 3</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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 services are defined as long-term direct care and support services that are necessary in order to enable a person to remain at home rather than enter a nursing facility, or to enable a person to return home from a nursing facility. This service provides people receiving ADW services, direct-care assistance/supervision with Activities of Daily Living (ADLs) such as eating, bathing, grooming, dressing, prompting with normally self-administered medications, essential light housekeeping, etc. Personal Attendant staff are also responsible for reporting changes in the person's condition, needs, and supervision of health and welfare risk factors in the home and community. Only qualified staff can provide this support.

Personal Attendants will be subject to usage of the EVV and all of the requirements. Daily billing is required by PA staff and they must use their NPI number and Electronic Visit Verification.

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

The following limits apply to Members who utilize the Traditional Agency Model:

- Personal Attendant
  - Service Level D - up to 155 hours per month
  - Service Level C - up to 124 hours per month
  - Service Level B - up to 93 hours per month
  - Service Level A - up to 62 hours per month

The following limits apply to people who utilize the Personal Options Model:

- Personal Attendant - cannot exceed the member's monthly budget.

**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:**

<table>
<thead>
<tr>
<th>Provider Category</th>
<th>Provider Type Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual</td>
<td>Personal Options</td>
</tr>
<tr>
<td>Agency</td>
<td>ADW Personal Attendant Agency</td>
</tr>
</tbody>
</table>

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 ADW 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 ADW Policy Manual. Daily billing is required by PA staff and they must use their NPI number and Electronic Visit Verification.

Verification of Provider Qualifications
Entity Responsible for Verification:
The person/Employer of 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. The Operating Agency will perform certification validation during on-site reviews.

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 5 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:
ADW Personal Attendant Agency

Provider Qualifications
License (specify):
ADW Personal Attendant Agency must be certified by the Bureau for Medical Services (BMS) by the Operating Agency initially and annually thereafter.
Certificate (specify):
Agency must be an approved ADW 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 Operating Agency.
Agency staff is verified by the Operating Agency.
The Operating Agency will perform certification validation during on-site reviews.

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 5 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:
Community Transition Services

HCBS Taxonomy:

<table>
<thead>
<tr>
<th>Category 1:</th>
<th>Sub-Category 1:</th>
</tr>
</thead>
<tbody>
<tr>
<td>16 Community Transition Services</td>
<td>16010 community transition services</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Category 2:</th>
<th>Sub-Category 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Category 3:</th>
<th>Sub-Category 3:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Service Definition (Scope):

The Community Transition Service is the primary Waiver service available to support qualifying individuals' safe and successful transition from facility-based living to the community. Community Transition Services are one-time expenses necessary to support individuals wishing to transition from a nursing facility, hospital or Institution for Mental Disease (IMD) to their own home or apartment in the community. Allowable expenses are those necessary to address barriers to a safe and successful transition identified through a comprehensive Transition Needs Assessment and included in an approved individualized Transition Plan. Community Transition Services are furnished only to the extent that they are reasonable and necessary as determined through the service plan development process, clearly identified in the service plan and the person is unable to meet such expense or when the services cannot be obtained from other services. Community Transition Services do not include monthly rental or mortgage expense; food, regular utility charges; and/or household appliances or items that are intended for purely diversional/recreational purposes. The components of the Community Transition Service include:

(a) Home accessibility adaptation modification - assistance to individuals requiring physical adaptations to a qualified residence. This service covers basic modifications such as ramps, widening of doorways, purchase and installation of grab-bars and bathroom modifications needed to ensure health, welfare and safety and/or to improve independence.

(b) Home furnishings and essential household items - assistance to individuals requiring basic household furnishings to help them transition back into the community. This service is intended to help with the initial set-up of a qualifying residence.

(c) Moving expenses - includes rental of a moving van/truck or the use of a moving or delivery service to move a individual's goods to a qualified residence. Although this service is intended as a one-time set-up service to help establish a qualified residence, under certain circumstances it may be used throughout the transition period to relocate a member

(d) Security deposit - used to cover rental security deposit.

(e) Utility deposits - used to assist individuals with required utility deposits for a qualifying residence

(f) Transition support - provides assistance to help individuals with unique needs based on assessed needs and necessary for a successful transition.

(g) Personal Emergency Response System (PERS)- One-time payment that includes initial installation upon transition to the community and service for the initial transition period (one year).

(h) Equipment - Items and services and necessary to enable individuals to interact more independently and/or reduce dependence on physical supports and enhance quality of life (e.g. Lift Chairs, bathing aids such as handheld showers, shower chairs, transfer boards and portable showers). These items or services must be justified in the Transition Plan

(i) Transportation - assists individuals with transportation service prior to transition in order to gain access to community activities, services and resources (i.e. food pantry). This service is used when other forms of transportation are not otherwise available. This service does not replace the Medicaid non-emergency transportation (for medical appointments) or emergency ambulance services.

(j) Specialized Medical Supplies - includes purchases of various specialized medical supplies that enable individuals to maintain or improve independence, health, welfare and safety and reduce dependence on the physical support needed from others. The service includes one-time purchases of incontinence items and food supplements needed as a bridge until Medicaid covers once the participant transitions home.

Services or supports that address an identified need in the Transition Plan, and decreases the need for other Medicaid Services, or increase the person's safety in the home, or improves and maintains the individual's opportunities for full membership in the community may be considered.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
The total expenditures for Services cannot exceed $4000 per transition period. Community Transition Services cannot be used to cover the following items. Please note that this is not intended to be an all-inclusive list of exclusions:

- Rent;
- Home improvements or repairs that are considered regular maintenance or upkeep;
- Recreational or illegal drugs;
- Alcohol;
- Medications or prescriptions;
- Past due credit card or medical bills;
- Payments to someone to service as a representative;
- Gifts for staff, family or friends;
- Electronic entertainment equipment;
- Regular utility payments;
- Swimming pools, hot tubs or spas or any accessories, repairs or supplies for these items;
- Travel;
- Vehicle expense including routine maintenance and repairs, insurance and gas money;
- Internet service;
- Pet/Service/Support Care, including food and veterinary care;
- Experimental or prohibited treatments;
- Education;
- Personal hygiene services (manicures, pedicures, hair cuts, etc.), or;
- Discretionary cash
- Assistive Technology

Any service or support that does not address an identified need in the Transitional Plan, or decrease the need for other Medicaid services, or increase the person’s safety in the home, or improve and maintain the person’s opportunities for full membership in the community is excluded.

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:

<table>
<thead>
<tr>
<th>Provider Category</th>
<th>Provider Type Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual</td>
<td>Community Transition Service Provider</td>
</tr>
</tbody>
</table>

Appendix C: Participant Services

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

<table>
<thead>
<tr>
<th>Provider Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Provider Type:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community Transition Service Provider</td>
</tr>
</tbody>
</table>
Provider Qualifications

License (specify):

The FMS Vendor will only pay for work performed by a vendor that has a Business License and/or relevant skills for work to be performed.

Certificate (specify):

Not applicable.

Other Standard (specify):

Not applicable.

Verification of Provider Qualifications

Entity Responsible for Verification:

The FMS vendor is responsible for validating vendor qualifications prior to processing invoices and verifies that the item is on an approved transition plan. The UMC vendor verifies the item is not on the exclusion list and a receipt is present for the purchase.

Frequency of Verification:

The contracted FMS vendor verifies prior to each purchase. The UMC vendor verifies the item is not on the exclusion list and a receipt is present for the purchase during the quality review process.

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:

Non-Medical 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:  

03/04/2020
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):

Non-Medical Transportation is used for essential errands and community activities. Non-Medical Transportation assists the person with essential errands which are activities necessary for the person to remain in their home and promote independent living (grocery shopping, pharmacy, etc.). Community activities allow opportunities to integrate the person into his/her home community and utilize local community resources (library, park, restaurants).

All Non-Medical Transportation with, or on behalf of, a person receiving services must be included on the Service Plan. The Service Plan must address the availability of family, friends or other community agencies to provide the Non-Medical Transportation for the person prior to the service.

Non-Medical Transportation Services are only to be utilized for the person's receiving services needs and cannot be for the benefit of the Personal Attendant, the person’s family and friends or others.

Non-Medical Transportation: Services are provided to persons who receive ADW 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. This service must be for the sole benefit of the person receiving the service.

If an individual wishes to exceed the 300 mile monthly limit, the Case Manager should document why the individual has exceeded the 300 mile monthly limit, the reason the individual is unable to access Non-Emergency Medical Transportation and submit the request to the Operating Agency (OA). A form will be created to expedite the process. If the OA grants the request, then the UMC will be notified to prior-authorize the additional mileage needed for that month. This waiver mileage is for essential errands and community activities and is a supplement to natural supports. Individuals can and should access natural supports unless there is an extenuating circumstance. If the OA does not grant the request (the service is denied), then the individual will be afforded Medicaid Fair Hearing Rights by the OA. The forms will be inserted with the Notice of Denial of a Service by the OA.

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

Non-Medical Transportation Miles: The maximum annual units: 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:
Appendix C: Participant Services

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

| Service Type: Other Service |
| Service Name: Non-Medical Transportation |

**Provider Category:**
- Agency

**Provider Type:**
- ADW Personal Attendant  Agency

**Provider Qualifications**

**License (specify):**
- Agency must be certified by the Bureau for Medical Services.

**Certificate (specify):**
- Agency must be an approved ADW 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, 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 Operating Agency.
- Agency staff certification is verified by the Operating Agency.
- The Operating Agency will perform certification validation during on-site reviews.

**Frequency of Verification:**
- Agency is certified annually.
- Agency staffs' credentials are verified initially and annually with the exception of the state and federal fingerprint-based checks which are checked every 5 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: Non-Medical Transportation |

**Provider Category:**
- Individual

**Provider Type:**
Personal Options

Provider Qualifications

License *(specify):*

Not applicable as the Personal Options self-directing participant/Employer of Record is not required to have a Behavioral Health License or be an enrolled ADW Provider.

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, inspection per state law and registration, the ability to perform the tasks and be currently trained on all training requirements listed in the Personal Options section of the ADW 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.

The Operating Agency will perform certification validation during on-site reviews.

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 5 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:

Personal Emergency Response System

HCBS Taxonomy:

<table>
<thead>
<tr>
<th>Category 1:</th>
<th>Sub-Category 1:</th>
</tr>
</thead>
<tbody>
<tr>
<td>14 Equipment, Technology, and Modifications</td>
<td>14010 personal emergency response system (PERS)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Category 2:</th>
<th>Sub-Category 2:</th>
</tr>
</thead>
</table>
Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:

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

Service Definition (Scope):

Personal Emergency Response System (PERS) is an electronic device and monitoring service that enable certain individuals to secure help in an emergency. PERS services shall be limited to those individuals who have expressed a desire to have the monitoring system in place or during the person centered planning assessment, nursing assessment, and Service Planning meetings, it is determined that the member lives alone or is alone for significant parts of the day, has no regular caregiver /informal supports for extended periods of time, and who would otherwise require routine supervision can also be offered the service.

PERS is a service that monitors member's safety in their homes, and provides access to emergency assistance for medical or environmental emergencies through the provision of a two-way voice communication system that dials a 24-hour response or monitoring center upon activation and via the members' home telephone system.

PERS services shall not be used as a substitute for providing adequate supervision for the member enrolled in the waiver.

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

- Monthly event code up to $50.00 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:

<table>
<thead>
<tr>
<th>Provider Category</th>
<th>Provider Type Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agency</td>
<td>ADW Personal Attendant Program Services Provider</td>
</tr>
</tbody>
</table>

Appendix C: Participant Services

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

<table>
<thead>
<tr>
<th>Service Type:</th>
<th>Other Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service Name:</td>
<td>Personal Emergency Response System</td>
</tr>
</tbody>
</table>

Provider Category:
Provider Type:

**ADW Personal Attendant Program Services Provider**

**Provider Qualifications**

**License (specify):**

Not Applicable

**Certificate (specify):**

Not Applicable

**Other Standard (specify):**

The ADW Personal Attendant Program Service Provider will choose a PERS agency vendor(s) to provide the service for the members that are serving and desire or are in need of the service. The PERS provider must provide an emergency response center with fully trained operators who are capable of receiving signals for help from a member's PERS equipment 24-hours a day, 365, or 366, days per year as appropriate, of determining whether an emergency exists, and of notifying an emergency response organization or an emergency responder that the PERS service member needs emergency help.

**Verification of Provider Qualifications**

**Entity Responsible for Verification:**

The Operating Agency will perform certification validation during on-site reviews.

**Frequency of Verification:**

Agency is certified annually.

---

**Appendix C: Participant Services**

**C-1/C-3: Service Specification**

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

**Service Type:**

Other Service

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

**Service Title:**

Pre-Transition Case Management

**HCBS Taxonomy:**

**Category 1:**

01 Case Management

**Sub-Category 1:**

01010 case management

**Category 2:**

Sub-Category 2:
Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:

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

Service Definition *(Scope)*:

**THIS SERVICE WAS NOT AVAILABLE UNTIL 01/01/2019.**

The purpose of the Pre-Transition Case Management service is to ensure that Waiver services are in place day one of the resident's transition to the community. Prior to the person's transition from the facility, Pre-Transition Case managers will:

- Participate in the transition assessment and planning process to help ensure that home and community-based services and supports needs are thoroughly considered in transition planning;
- Conduct the Member Assessment as required by Waiver policy;
- Complete the required Waiver Service Plan;
- Facilitate the development of the Assessment for those eligible for and planning to enroll in the Aged and Disabled Waiver Program when returning to the community;
- Facilitate the development of the Service Plan by the selected Waiver Personal Attendant Agency;
- Coordinate with the Personal Attendant Agency to ensure that direct-care services are in place the first day the resident returns home;
- Enroll the member in the Waiver program immediately prior to their transition home. Individuals who have been determined eligible are not “enrolled” in the program until they are ready to receive services. Residents of nursing homes may apply and be determined eligible, but are not enrolled into the Waiver until they have been discharged from the facility (transitioned) and begin Waiver services.

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

Individuals eligible to receive this service:

1. Live in a nursing facility, hospital, Institution for Mental Disease or a combination of any of the three for at least 90 consecutive days, and;
2. Have been determined medically and financially eligible for the Aged and Disabled Waiver program, and;
3. Wish to transition from facility-based living to their own homes or apartments in the community consistent with the CMS Settings Rule (1915(I));
4. Have a home or apartment in the community to return to upon leaving the facility that is consistent with the CMS Settings Rule (1915(I)),
5. Require Waiver transition services to safely and successfully transition to community living, and;
6. Can reasonably be expected to transition safely to the community within 180 days of initial date of transition service.

The pre-transition case management service may be billed up to 24 units (a unit is 15 minutes) only one-time following transition to the community. This service is not available once the resident transitions to the community and enrolls in the Waiver.

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:

<table>
<thead>
<tr>
<th>Provider Category</th>
<th>Provider Type Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agency</td>
<td>ADW Case Management Agency</td>
</tr>
</tbody>
</table>

Appendix C: Participant Services

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

Service Type: Other Service
Service Name: Pre-Transition Case Management

Provider Category:
Agency

Provider Type:
ADW Case Management Agency

Provider Qualifications

License (specify):
ADW Case Management Agency must be certified by the Bureau for Medical Services' (BMS) Operating Agency initially and annually thereafter.

Certificate (specify):
Agency must be an approved ADW Agency.

Other Standard (specify):
Staff must have an acceptable background check through WV CARES per policy, be over the age of 18, valid driver's license, proof of current vehicle insurance and inspection per state law and registration, be able to perform the tasks and meet training requirements as mandated by BMS.

Case management services must be provided by an individual fully licensed (this does not include provisional or temporary license) in West Virginia as a social worker, counselor or registered nurse.

Verification of Provider Qualifications

Entity Responsible for Verification:
Agency is verified by the Operating Agency.
Agency staff is verified by the Operating Agency.
The Operating Agency will perform certification validation during on-site reviews.

Frequency of Verification:
Agency is certified annually.
Agency staff's credentials are verified initially and annually with the exception of the fingerprint-based checks through the WV CARES which are checked every five years.
Appendix C: Participant Services

C-1/C-3: Service Specification

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

Service Type:
Other Service

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

Service Title:
Skilled Nursing

HCBS Taxonomy:

<table>
<thead>
<tr>
<th>Category 1:</th>
<th>Sub-Category 1:</th>
</tr>
</thead>
<tbody>
<tr>
<td>05 Nursing</td>
<td>05020 skilled nursing</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Category 2:</th>
<th>Sub-Category 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Category 3:</th>
<th>Sub-Category 3:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Category 4:</th>
<th>Sub-Category 4:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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):

Registered Nurse (RN) services listed in the service plan are within the scope of the West Virginia Nurse Practice Act and are provided by a RN licensed to practice in the State. RN services are services which only a licensed RN can perform. This service includes two components, two Nursing Assessments and On-Going RN Duties.

The purpose of the two Nursing Assessments is to assess and determine any changes related to a person's needs to allow for comprehensive service planning and addressing any health and safety issues.

The purpose of the On-Going RN duties is to ensure supervision and oversight of the services provided as well as providing Skilled Nursing duties per BMS policy.

RN’s will be subject to usage of the EVV and all of it's requirements to document six month home visits to assure health and safety.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:
The Nursing Assessment is two events per calendar year.

On-Going RN Duties is 6 units (15 minute) 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:**

<table>
<thead>
<tr>
<th>Provider Category</th>
<th>Provider Type Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual</td>
<td>Personal Options</td>
</tr>
<tr>
<td>Agency</td>
<td>ADW Personal Attendant Agency</td>
</tr>
</tbody>
</table>

**Appendix C: Participant Services**

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

- **Service Type:** Other Service
- **Service Name:** Skilled Nursing

**Provider Category:**

| Individual |

**Provider Type:**

| Personal Options |

**Provider Qualifications**

**License (specify):**

The self-directing employer of record, through the Personal Options vendor, may purchase this service from an approved ADW Personnel Attendant Agency who employs the RNs. The ADW Agency must be certified by the Bureau for Medical Services (BMS) by the Operating Agency initially and annually thereafter. The ADW Agency must be an approved ADW Provider and an enrolled WV Medicaid Provider. ADW Personal Attendant Agency RN must be a WV Licensed Registered Nurse

**Certificate (specify):**

**Other Standard (specify):**

The ADW Agency staff must 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, valid driver's license, proof of current vehicle insurance and registration, be able to perform the tasks and meet training requirements as mandated by BMS. Agency staff must be a WV Licensed Registered Nurse.

**Verification of Provider Qualifications**

| Entity Responsible for Verification: |
The Personal Options Vendor is responsible to only purchase this service from a certified ADW Personal Attendant Agency. The ADW Agency is verified by the BMS’ operating agency. The ADW Agency staff is verified by the BMS’ operating agency. The Operating Agency will perform certification validation during on-site reviews.

Frequency of Verification:

The ADW Agency is certified annually. The ADW Agency staff’s credentials are verified initially and annually with exception of the state and federal fingerprint-based checks which are checked every 5 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: Skilled Nursing

Provider Category:
Agency

Provider Type:
ADW Personal Attendant Agency

Provider Qualifications
License (specify):
Agency must be certified by the Bureau for Medical Services (BMS)
ADW Personal Attendant RN must be a WV Licensed Registered Nurse

Certificate (specify):
Agency must be an approved ADW provider and an enrolled WV Medicaid Provider.

Other Standard (specify):
Agency staff must 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 the Bureau for Medical Services.

Verification of Provider Qualifications
Entity Responsible for Verification:
Agency is verified by the Operating Agency.
Staff verification is verified by the Operating Agency.
The Operating Agency will perform certification validation during on-site reviews.

Frequency of Verification:
Agency is certified annually.
Agency staffs’ credentials are verified initially and annually with the exception of the state and federal fingerprint-based checks which are checked every 5 years and the OIG which is checked monthly.
b. Provision of Case Management Services to Waiver Participants. Indicate how case management is furnished to waiver participants (select one):

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

*Check each that applies:*

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

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

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):

For the Traditional Option:
State and federal fingerprint-based checks are to be conducted by ADW Case Management and Personal Attendant agencies on all staff having direct contact with individuals using ADW services prior to the Agency staff providing services.

For Personal Options:
The person/Employer of Record enrolled in the Personal Options program is responsible for ensuring all of their employees complete state and federal fingerprint-based checks prior to providing services. The Personal Options vendor is responsible for verifying the employee’s credentials. ADW CMA responsible for ensuring all CMs providing services to personal options member have completed state and federal fingerprint based checks prior to providing services.

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 WV Code § 15-2C-1. The West Virginia State Police, Criminal Identification Bureau maintains the Central Abuse Registry. All ADW Providers and in the Personal Options Model, the employer of record, are required to request a Criminal Background Check (Central Abuse Registry) for all direct-care staff. 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 operating agency 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.
Self-directed
 Agency-operated

**c. 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.**

**e. 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:
Certification of any provider applicant will be conducted by the Operating Agency. Once certified by the OA, the Bureau for Medical Services (BMS) claims processing entity provides entities interested in becoming an Aged and Disabled Waiver (ADW) provider an enrollment packet, including a provider agreement, along with specific requirements and procedures to qualify. Per policy, the BMS claims processing entity has five (5) business days to process the enrollment application.

The applicant must return the provider agreement signed by an authorized applicant representative to BMS. An authorized representative from BMS signs the Provider Agreement and returns a copy to the applicant. 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 agency that it may begin providing services with a copy to the operating agency. Information on the certification and enrollment process is posted on the operating agency’s website.

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

Appendix C: Participant Services

Quality Improvement: Qualified Providers

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

a. Methods for Discovery: Qualified Providers

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

   i. Sub-Assurances:

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

      Performance Measures

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

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

      Performance Measure:
      C-aia-1: Number of approved ADW provider applications that initially meet certification standards. Numerator= Number of approved ADW provider applications that initially meet waiver certification standards prior to furnishing waiver services. Denominator= Number of ADW provider applications

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

      Responsible Party for data | Frequency of data collection/generation | Sampling Approach (check each that applies):
<p>| | |
| | |</p>
<table>
<thead>
<tr>
<th>collection/generation (check each that applies):</th>
<th>(check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Continuously and Ongoing</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Annual</td>
</tr>
</tbody>
</table>

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☒ Annually</td>
</tr>
</tbody>
</table>
### Responsible Party for data aggregation and analysis (check each that applies):

- [ ] Continuously and Ongoing
- [ ] Other
  - Specify:

### Frequency of data aggregation and analysis (check each that applies):

- [ ] Continuously and Ongoing
- [ ] Other
  - Specify:

#### Performance Measure:

C-aia-2: Number of ADW providers who continue to meet certification standards.

**Numerator** = Number of ADW providers who continue to meet certification standards. **Denominator** = Total Number of active ADW providers.

#### Data Source (Select one):

- Reports to State Medicaid Agency on delegated Administrative functions
- If ‘Other’ is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Medicaid Agency</td>
<td>Weekly</td>
<td>100% Review</td>
</tr>
<tr>
<td>Operating Agency</td>
<td>Monthly</td>
<td>Less than 100% Review</td>
</tr>
<tr>
<td>Sub-State Entity</td>
<td>Quarterly</td>
<td>Representative Sample</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Confidence Interval =</td>
</tr>
<tr>
<td>Other</td>
<td>Annually</td>
<td>Stratified</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
<td>Describe Group:</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis</th>
<th>Frequency of data aggregation and analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>× State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>× Operating Agency</td>
<td>☐ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☒ Annually</td>
</tr>
<tr>
<td></td>
<td>☐ Continuously and Ongoing</td>
</tr>
<tr>
<td></td>
<td>☐ Other Specify:</td>
</tr>
</tbody>
</table>

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

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

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

**Performance Measure:**

C-aib-1: Number of certified providers who delivered ADW services. Numerator=
Number of providers who delivered ADW services. Denominator= All certified ADW providers

**Data Source (Select one):**

- Record reviews, on-site

If ‘Other’ is selected, specify:
<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☐ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample Confidence Interval =</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☒ Annually</td>
<td>☐ Stratified Describe Group:</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Continuously and Ongoing</td>
<td>☐ Other Specify:</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Data Aggregation and Analysis:**

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☐ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☒ Annually</td>
</tr>
</tbody>
</table>
c. Sub-Assurance: The State implements its policies and procedures for verifying that provider training is conducted in accordance with state requirements and the approved waiver.

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

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

Performance Measure:
C-aic-1: Number of ADW provider agency staff that meet all training requirements. Numerator= Number of ADW provider agency staff that meet all training requirements. Denominator =Total number of ADW provider agency staff fields reviewed.

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

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☐ 100% Review</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
<td>☒ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☒ Representative Sample</td>
</tr>
</tbody>
</table>

Confidence Interval =
Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☐ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☒ Annually</td>
</tr>
</tbody>
</table>

If applicable, in the textbox below provide any necessary additional information on the strategies employed by the State to discover/identify problems/issues within the waiver program, including frequency and parties responsible.
b. Methods for Remediation/Fixing Individual Problems
   i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the state to document these items.

   All data surrounding this sub-assurance will be collected through the Operating Agency’s Quality and Utilization Review process. As individual problems are identified by the OA 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)

<table>
<thead>
<tr>
<th>Responsible Party</th>
<th>Frequency of data aggregation and analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Medicaid Agency</td>
<td>❌ Weekly, ✔ Monthly, ☐ Quarterly, ☐ Annually, ☐ Continuously and Ongoing</td>
</tr>
<tr>
<td>Operating Agency</td>
<td>❌ Weekly, ☐ Monthly, ☐ Quarterly, ☐ Annually, ☐ Continuously and Ongoing</td>
</tr>
<tr>
<td>Sub-State Entity</td>
<td>☐ Weekly, ☑ Monthly, ☑ Quarterly, ☑ Annually, ☑ Continuously and Ongoing</td>
</tr>
<tr>
<td>Other</td>
<td>☑ Quality Improvement Advisory Council (analysis only by QAI), ☑ Annually, ☑ Continuously and Ongoing</td>
</tr>
</tbody>
</table>

   iii. Timelines

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

   ☑ No
   ☐ Yes

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

Appendix C: Participant Services

C-3: Waiver Services Specifications

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

C-4: Additional Limits on Amount of Waiver Services

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

☐ Not applicable - The state does not impose a limit on the amount of waiver services except as provided in Appendix C-3.

☐ Applicable - The state imposes additional limits on the amount of waiver services.

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

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

Furnish the information specified above.

☐ Prospective Individual Budget Amount. There is a limit on the maximum dollar amount of waiver services authorized for each specific participant.

Furnish the information specified above.

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

Furnish the information specified above.

☐ Other Type of Limit. The state employs another type of limit.

Describe the limit and furnish the information specified above.

Appendix C: Participant Services

C-5: Home and Community-Based Settings

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

1. Description of the settings and how they meet federal HCB Settings requirements, at the time of submission and in the
future.

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

Note instructions at Module 1, Attachment #2, 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 assures that this Waiver will be subject to any provisions or requirements included in WV’s most recent and/or approved home and community-based settings Statewide Transition Plan. WV will implement any Center for Medicaid (CMS) required changes by the end of the transition period as outlined in the home and community-based settings Statewide Transition Plan.

Appendix D: Participant-Centered Planning and Service Delivery

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

State Participant-Centered Service Plan Title:

Service Plan

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

- [ ] Registered nurse, licensed to practice in the state
- [ ] Licensed practical or vocational nurse, acting within the scope of practice under state law
- [ ] Licensed physician (M.D. or D.O)
- [x] 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:

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 initial medical eligibility assessment, applicants (or legal representative) 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) is provided as well.

Person-Centered Planning is the process by which the Case Manager (CM) works in collaboration with the person (or legal representative) to develop the Service Plan (SP). The initial SP is scheduled and developed in collaboration with informal supports as requested by the person/legal representative. Subsequent annual and bi-annual revisions to the SP are conducted in collaboration with service providers and informal supports or as needed and requested by the individual (or legal representative).

The SP is developed utilizing the medical eligibility assessment and the Person-Centered Assessment. It incorporates the preferences and needs identified by the individual. By participating in the assessment process and having access to the support of the CM and other professionals and informal supports, the individual has the opportunity and tools to be actively engaged in the Service Plan development process.

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?

ADW Case Managers (CMs) are responsible for the development of the SP (SP) in collaboration with the person receiving services or legal representative (if applicable). Participation in the initial SP development is mandatory for the person receiving services and the Case Manager. The person receiving services or legal representative (if applicable) may choose to have whomever else they wish to participate in the process. Participation in subsequent reviews and annual SP updates are mandatory for the person receiving services, the Case Manager and staff of the Personal Attendant Agency or the Resource Consultant for members who choose self directed service delivery model, State Plan Personal Care provider agency staff (if applicable). The Case Management section of the Person-Centered Assessment must be completed within timeframe required in policy. The SP, which is scheduled in collaboration with the person, must be completed within required timeframe in policy. 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 the number of days in policy for assessments to be completed, the SP meeting to be scheduled and the SP to be developed.

b) What are the types of assessments that are conducted to support the SP development process, including securing information about participant needs, preferences, goals, desired outcomes, risk factors, and health status?

There are two primary assessments conducted to support the SP development process. The medical eligibility assessment (PAS) and the Person Centered Assessment. These assessments identify medical issues and functional deficits in Activities of Daily Living. The Person Centered 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 member informed of the services that are available under the waiver?

All applicants are provided information that includes an overview of the ADW Program and available services at the time of the medical eligibility assessment. Prior to enrollment, 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 SP addresses the member's goals, needs (including health care needs) and preferences?

The medical eligibility assessment and the Person Centered Assessment must be completed and reviewed with the person prior to the development of the SP. The medical eligibility assessment and the Person-Centered 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 plan development. The SP document requires that these areas be addressed. As part of the Quality Improvement System (QIS), the Operating Agency reviews files to ensure that SPs address participant goals, outcomes, needs (including health care needs), health and welfare, and preferences.

e) How are waiver and other services coordinated?

Identification of all needed services commences with the Person Centered Assessment. Coordination of services begins with the SP development process. It is the Case Manager'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), Operating Agency reviews files and conduct Participant Experience Surveys 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 services and other services are listed on the SP. The Case Manager, via monthly contact, is responsible for monitoring the implementation of the plan to ensure service delivery. As part of the Quality Improvement System (QIS), Operating Agency reviews files and conduct Participant Experience Surveys to ensure that services have been delivered as planned.
g) How does the process address the member's healthcare needs?

Through the assessment and planning process, member's healthcare needs are identified and addressed. The Case Manager is responsible for assisting in scheduling and/or referral for evaluations, routine healthcare, medical equipment, and medical appointments when requested by the member.

h) How are waiver and other services coordinated?

State Plan services such as State Plan Personal Care Program Services, state medical services, and Non-emergency medical transportation are available for use by waiver members. The Case Manager identifies needed services, makes referrals for additional services, and includes the services in the Service Plan. Providers of non-waiver services can participate in service plan development if requested by the member. State Plan Personal Care program services provider staff must participate in service plan development. Veteran's services, hospice, home health are also available to waiver members. The Case Manager is responsible for coordination of services.

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

SPs are updated annually and at six months or as the member's needs change. The member may request an update at any time. The Case Manager is required to have monthly contact with the member to monitor plan implementation, identify when needs change and revise the SP to address changing needs. Additionally, SP's must be reviewed at least every six months during a face to face home visit and updated at that point as necessary. An annual SP meeting to develop a new plan is required and must include a face to face home visit. Case managers are expected to schedule these meetings at times and locations convenient to the person.

j) How is an interim service plan used to implement services until the Person Centered Assessment and Service Plan are developed?

An interim service plan is available to be developed by the Case Manager in conjunction with the member. The member informs the Case Manager of their immediate needs and the Case Manager completes the interim service plan. The interim service plan is communicated to the Personal Attendant Agency and a Personal Attendant is chosen to deliver services until a Person Centered Assessment and Service Plan can be developed (up to 21 calendar days after activation on the waiver program). This plan is available for use by members transitioning through the MFP demonstration program and to all other waiver members.

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 Person Centered Assessment. Identifed risks must be incorporated into the Service Plan (SP) subject to the person's needs and preferences. The member participates in the service plan development including identification of solutions for risks. The SP requires a detailed description of emergency back up plans/arrangements that are to be implemented if a Personal Attendant or the Personal Attendant Agency is unable to fulfill their duties. Strategies may include the utilization of an identified back up agency, family members, other informal supports, available community resources, etc. As part of the Quality Improvement System (QIS), staff of the Operating Agency review files and conduct Participant Experience Surveys to monitor the effectiveness of risk assessment and backup planning.

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.

Prior to enrollment, applicants (or legal representative) are given the opportunity to choose a Case Management provider and a Personal Attendant provider through the Traditional Model or choose to self-direct their services through the Personal Options model. Freedom of Choice Selection forms, which list both types of models and both types of ADW providers (Personal Attendant and Case Management) by county with contact information, are provided to applicants. A list of available providers is made available to ADW applicant on the Operating Agency’s website. There is also contract information about the Personal Options vendor. Applicants may also call the Operating Agency for a list of agencies that provide services in their community. Information is provided in accessible formats when requested to meet the applicant's needs.

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):

Responsibility for approving Service Plans is delegated to qualified Case Management Agencies (CMAs). The Operating Agency reviews a representative sample of SPs every 12 months as part of the Quality Improvement System (QIS). BMS and the OA meet to review draft disallowance reports prior to issuing final disallowance reports which may recoup payments for services provided by unqualified staff or not included in the service plan.

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 for a minimum period of 5 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 Operating Agency are responsible for monitoring the implementation of the Person-centered Service Plan (PCSP). Case Managers (CMs) are responsible for monthly home visits with the person to review the implementation of the PCSP in order to identify and address any issues and concerns related to the person’s choice of providers (Case Management and Personal Attendant Agencies) and the delivery of services, verification of the delivered services, and monitoring of backup plan. Incidents that create a risk to the member’s health and welfare must be reported using the West Virginia Incident Management System (WVIMS) and as appropriate, reported to Adult Protective Services (APS).

As part of the Quality Improvement System (QIS), the Operating Agency (OA) reviews a representative sample of Case Management files every 12 months to monitor compliance with this requirement. The OA conducts an exit interview to review the results of each provider monitoring. OA staff provide technical assistance to providers as needed to address any identified issues or concerns and require a Corrective Action Plan (CAP) to ensure that all identified issues are remediated within established time frames. The OA 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 OA and BMS and a final report is issued to the ADW provider.

BMS and the OA review monitoring findings at contract meetings and develop improvement strategies as indicated in collaboration with the Quality Improvement Advisory Council.

**PCSP**

Services are furnished in accordance with the PCSP;
The OA compares claims to the PCSP during on-site provider review.

Members have access to waiver services identified in the PCSP (e.g., has the member encountered problems in securing services authorized in the PCSP);
The OA reviews Case Management notes and monthly contact forms which ask the member to describe if they received all the services according to the PCSP during the month, needed medical equipment or resources, etc. The Case Manager is responsible for arranging for needed services and supports and that services meet the needs of the member. The Case Manager coordinates with the Personal Attendant Agency to ensure service delivery.

The Case Manager evaluates this monthly via the monthly contact form completed during the home visit. The OA reviews these forms during on-site provider review and determines whether or not the Case Manager has ensured the members needs were met.

CM services under this waiver are limited to additional services not otherwise covered under the Medicaid state plan, but consistent with waiver objectives of avoiding institutionalization.

Member health and welfare is assured;
During on-site provider reviews, the OA monitors: incident report submissions and follow-up by providers, initial contact made by CM with member within 7 days of completing the assessment whether or not the member needed referrals to specialist and/or health professionals (per the member assessment) and whether these referrals occurred and whether or not PCSP meetings are conducted within timelines.

The Case Manager will monitor and coordinate with the member on the backup plan to ensure prevention/mitigation of health and safety risks.
The OA also receives and reviews incident reports as they are submitted into the WVIMS within 24 hours of learning of the incident.

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

Members exercise free choice of case management and personal attendant 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, case management agency and personal attendant agency. 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. The member may not have the same...
case management agency provider and personal attendant agency provider.

Members have access to non-waiver services identified in the PCSP. Medicaid State Plan services including access to health services.

Needed non-waiver services are captured in the member assessment and the member PCSP. During on-site review, the OA evaluates whether these referrals were made.

Case Managers are responsible to make monthly home visits with members.

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 OA) should the Case Manager not resolve their issue. The OA assists members toward resolution.

Members must have different case management agencies and personal attendant agencies unless a cultural or rural exception has been approved by BMS. In these cases, 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 OA 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 States quality improvement strategy, provide information in the following fields to detail the States methods for discovery and remediation.

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

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

i. Sub-Assurances:

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

Performance Measures

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

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

Performance Measure:
D-aia-1: Number of ADW members whose service plans address all of their assessed needs as indicated in the assessment. Numerator= Number of ADW members whose service plans address each of their assessed needs as indicated in the assessment. Denominator= Number of ADW service plans reviewed.

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

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ State Medicaid Agency</td>
<td>□ Weekly</td>
<td>□ 100% Review</td>
</tr>
<tr>
<td>□ Operating Agency</td>
<td>□ Monthly</td>
<td>□ Less than 100% Review</td>
</tr>
<tr>
<td>□ Sub-State Entity</td>
<td>□ Quarterly</td>
<td>□ Representative Sample</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Confidence Interval =</td>
</tr>
<tr>
<td>□ Other</td>
<td>□ Annually</td>
<td>□ Stratified</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
<td>Describe Group:</td>
</tr>
<tr>
<td>□ Continuously and Ongoing</td>
<td>□ Other</td>
<td></td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Other</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Data Aggregation and Analysis:
# Responsible Party for data aggregation and analysis (check each that applies):

<table>
<thead>
<tr>
<th>State Medicaid Agency</th>
<th>Weekly</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Agency</td>
<td>Monthly</td>
</tr>
<tr>
<td>Sub-State Entity</td>
<td>Quarterly</td>
</tr>
<tr>
<td>Other</td>
<td>Annually</td>
</tr>
</tbody>
</table>

Specify:

- Quality Improvement Advisory Council (analysis only)

# Data Source (Select one):

**Record reviews, on-site**

If ‘Other’ is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Medicaid Agency</td>
<td>Weekly</td>
<td>100% Review</td>
</tr>
<tr>
<td>Operating Agency</td>
<td>Monthly</td>
<td>Less than 100% Review</td>
</tr>
<tr>
<td>Sub-State Entity</td>
<td>Quarterly</td>
<td>Representative Sample</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Confidence Interval =</td>
</tr>
<tr>
<td></td>
<td></td>
<td>95%</td>
</tr>
<tr>
<td>Other</td>
<td>Annually</td>
<td>Stratified</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
<td>Describe Group:</td>
</tr>
</tbody>
</table>
Continuously and Ongoing

Other
Specify:

Other
Specify:

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ State Medicaid Agency</td>
<td>□ Weekly</td>
</tr>
<tr>
<td>✓ Operating Agency</td>
<td>□ Monthly</td>
</tr>
<tr>
<td>□ Sub-State Entity</td>
<td>□ Quarterly</td>
</tr>
<tr>
<td>✓ Other Specify:</td>
<td>✓ Annually</td>
</tr>
<tr>
<td>Quality Improvement Advisory Council (analysis only)</td>
<td>□ Continuously and Ongoing</td>
</tr>
<tr>
<td>□ Other Specify:</td>
<td>□ Other Specify:</td>
</tr>
</tbody>
</table>

Performance Measure:
D-aiia-3: Number of ADW members whose service plan reflected identified health and safety risks. Numerator= Number of ADW members whose service plan reflected identified health and safety risks. Denominator= Number of service plans reviewed.

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

<table>
<thead>
<tr>
<th>Responsible Party for</th>
<th>Frequency of data</th>
<th>Sampling Approach</th>
</tr>
</thead>
</table>

03/04/2020
<table>
<thead>
<tr>
<th>data collection/generation (check each that applies):</th>
<th>collection/generation (check each that applies):</th>
<th>(check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☐ 100% Review</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☐ Monthly</td>
<td>☒ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☒ Other Specify:</td>
<td>☒ Annually</td>
<td>☐ Stratified</td>
</tr>
<tr>
<td>Quality Improvement Advisory Council (analysis only)</td>
<td></td>
<td>Describe Group:</td>
</tr>
<tr>
<td></td>
<td>☐ Continuously and Ongoing</td>
<td></td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Other Specify:</td>
<td></td>
</tr>
</tbody>
</table>

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☐ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☒ Other Specify:</td>
<td>☒ Annually</td>
</tr>
</tbody>
</table>

03/04/2020
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.

Performance Measure:
D-aib-1: Number of ADW members whose service plans were developed according to the processes in the approved waiver.
Numerator= Number of ADW members whose service plans were developed according to the processes in the approved waiver.
Denominator= Number of ADW service plans reviewed.

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

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☐ 100% Review</td>
</tr>
<tr>
<td>✗ Operating Agency</td>
<td>☐ Monthly</td>
<td>☒ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Confidence Interval =</td>
</tr>
</tbody>
</table>
### Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☐ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>☐ Continuously and Ongoing</td>
<td>☐ Other Specify:</td>
</tr>
</tbody>
</table>

Sub-assurance: Service plans are updated/revised at least annually or when warranted by changes in the waiver participants needs.
Performance Measures

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

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

Performance Measure:
D-aic-1: Number of ADW members whose service plans were updated/revised annually and every six months. Numerator- Number of files of ADW members whose service plans were updated/revised annually and every six months. Denominator- Number of files reviewed.

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

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ State Medicaid Agency</td>
<td>□ Weekly</td>
<td>□ 100% Review</td>
</tr>
<tr>
<td>□ Operating Agency</td>
<td>□ Monthly</td>
<td>□ Less than 100% Review</td>
</tr>
<tr>
<td>□ Sub-State Entity</td>
<td>□ Quarterly</td>
<td>□ Representative Sample</td>
</tr>
<tr>
<td>□ Other Specify:</td>
<td>□ Annually</td>
<td>□ Stratified</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Confidence Interval =</td>
</tr>
<tr>
<td>□ Other Specify:</td>
<td>□ Continuously and Ongoing</td>
<td>□ Other Specify:</td>
</tr>
</tbody>
</table>
Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☐ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☒ Other</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
</tr>
<tr>
<td>Quality Improvement Advisory Council (analysis only)</td>
<td></td>
</tr>
<tr>
<td>☐ Continuously and Ongoing</td>
<td></td>
</tr>
<tr>
<td>☐ Other</td>
<td></td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
</tr>
</tbody>
</table>

Performance Measure:

D-aic-2: Number of ADW members with a documented change in need whose service plan was revised. Numerator= Number of ADW members with a documented change in need whose service plan was revised. Denominator= Number of ADW members with a documented change in need.

Data Source (Select one):

Record reviews, off-site

If ‘Other’ is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☐ 100% Review</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☐ Monthly</td>
<td>☒ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
</tbody>
</table>
Confidence Interval =

<table>
<thead>
<tr>
<th>Other Specify:</th>
<th>□ Annually</th>
<th>□ Stratified Describe Group:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>□ Continuously and Ongoing</th>
<th>□ Other Specify:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>□ Other Specify:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

**Data Aggregation and Analysis:**

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ State Medicaid Agency</td>
<td>□ Weekly</td>
</tr>
<tr>
<td>□ Operating Agency</td>
<td>□ Continuously and Ongoing</td>
</tr>
<tr>
<td>□ Sub-State Entity</td>
<td>□ Other Specify:</td>
</tr>
<tr>
<td>□ Other Specify:</td>
<td>□ Annually</td>
</tr>
<tr>
<td>□ Continuously and Ongoing</td>
<td>□ Other Specify:</td>
</tr>
<tr>
<td>□ Other Specify:</td>
<td></td>
</tr>
</tbody>
</table>

Performance Measure:
D-aic-3: Number of ADW members whose Person-Centered Service Plan is comprehensive and includes access to non-waiver services, including but not limited to natural supports and health care. N= number of ADW members whose PCSP is comprehensive and includes access to non-waiver services, including but not limited to natural supports and health care. D= All ADW Member's PCSPs Reviewed.

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

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

**Data Aggregation and Analysis:**
Responsible Party for data aggregation and analysis (check each that applies):

- [X] State Medicaid Agency
- [X] Operating Agency
- [ ] Sub-State Entity
- [ ] Other
  Specify: Annually

Frequency of data aggregation and analysis (check each that applies):

- [ ] Weekly
- [ ] Monthly
- [ ] Quarterly
- [ ] Continuously and Ongoing
- [ ] Other
  Specify: Annually

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

**Performance Measures**

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

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

**Performance Measure:**

D-aid-1: Number of ADW members who received services in the type, scope, amount, duration, and frequency as specified in the service plan. Numerator= Number of ADW members who received services in the type, scope, amount, duration, and frequency as specified in the service plan. Denominator= Number of ADW service plans reviewed

**Data Source** (Select one):

Record reviews, on-site

If ‘Other’ is selected, specify:

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

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☐ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☒ Other Specify: Quality Improvement Advisory Council (analysis only)</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Continuously and Ongoing</td>
</tr>
</tbody>
</table>
Responsible Party for data aggregation and analysis (check each that applies):

Frequency of data aggregation and analysis (check each that applies):

- Other
  - Specify:

Performance Measure:
D-aid-2: Number of service plan issues/problems that are responded to and remediated promptly. Numerator= Service plan issues/problems responded to and remediated within timeframes set forth in the ADW manual. Denominator= All service plan issues/problems reported in accordance with ADW manual process and timeframes

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

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Medicaid Agency</td>
<td>Weekly</td>
<td>100% Review</td>
</tr>
<tr>
<td>x Operating Agency</td>
<td>Monthly</td>
<td>Less than 100% Review</td>
</tr>
<tr>
<td>Sub-State Entity</td>
<td>Quarterly</td>
<td>Representative Sample</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Confidence Interval =</td>
</tr>
<tr>
<td>Other</td>
<td>Annually</td>
<td>Stratified</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
<td>Describe Group:</td>
</tr>
<tr>
<td>Continuously and Ongoing</td>
<td>Other</td>
<td>Specify:</td>
</tr>
</tbody>
</table>

- Other
  - Specify:

03/04/2020
Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>✗ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>✗ Operating Agency</td>
<td>☐ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>Specify:</td>
<td>☐ Continuously and Ongoing</td>
</tr>
<tr>
<td>☐ Other</td>
<td>Specify:</td>
</tr>
</tbody>
</table>

**Sub-assurance: Participants are afforded choice: Between/among waiver services and providers.**

**Performance Measures**

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

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

**Performance Measure:**

D-aie-1: Number of files of ADW members that have a signed and current Freedom of Choice form designating institutional services vs. home and community-based services. Numerator= Number of files ADW members with a signed and current Freedom of Choice form designating institutional services vs. home and community-based services. Denominator= Number of files reviewed.

**Data Source (Select one):**
Other
If ‘Other’ is selected, specify:

UMC Data Collection System

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☐ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
</tbody>
</table>
| ☐ Sub-State Entity | ☐ Quarterly | ☐ Representative Sample  
Confidence Interval = |
| ☒ Other  
Specify: | ☐ Annually | ☐ Stratified  
Describe Group: |
| UMC | | |
| ☒ Continuously and Ongoing | ☐ Other  
Specify: | |
| | | |
| ☐ Other  
Specify: | | |

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☒ Quarterly</td>
</tr>
</tbody>
</table>
### Responsible Party for data aggregation and analysis (check each that applies):

<table>
<thead>
<tr>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>✗ Other&lt;br&gt;Specify: UMC</td>
</tr>
<tr>
<td>✗ Continuously and Ongoing</td>
</tr>
<tr>
<td>✗ Annually</td>
</tr>
</tbody>
</table>

### Performance Measure:

D-aie-2: Number of ADW members with a signed and current Freedom of Choice form designating a Case Management Agency in their file. Numerator = Number of ADW members with a signed and current Freedom of Choice form designating a Case Management Agency in their file. Denominator = Number of files reviewed.

### Data Source (Select one):

**Other**

If 'Other' is selected, specify:

UMC data collection system

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>✗ 100% Review</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☐ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
<tr>
<td>☐ Other&lt;br&gt;Specify: UMC</td>
<td>☐ Annually</td>
<td>☐ Stratified&lt;br&gt;Describe Group:</td>
</tr>
</tbody>
</table>

Confidence Interval =
### Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☒ Quarterly</td>
</tr>
<tr>
<td>☒ Other Specify:</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>☒ Continuously and Ongoing</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other Specify:</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ Annually</td>
</tr>
<tr>
<td>☒ Continuously and Ongoing</td>
</tr>
</tbody>
</table>

### Performance Measure:
D-aie-3: Number of ADW members whose file contains documentation indicating a choice of waiver service providers (does not include Case Management Agency).
Numerator= Number of ADW members whose file contains documentation indicating a choice of waiver service providers (does not include Case Management Agency).
Denominator= Number of ADW files reviewed

### Data Source (Select one):
Other
If ‘Other’ is selected, specify:
UMC Data Collection system

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

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☒ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☒ Sub-State Entity</td>
<td>☒ Quarterly</td>
</tr>
<tr>
<td>☒ Other Specify:</td>
<td>☒ Annually</td>
</tr>
</tbody>
</table>

03/04/2020
Responsible Party for data aggregation and analysis (check each that applies):

<table>
<thead>
<tr>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>UMC</td>
</tr>
<tr>
<td>✗ Continuously and Ongoing</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
</tr>
</tbody>
</table>

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

b. Methods for Remediation/Fixing Individual Problems

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

All information related to this assurance is collected by the OA through the review of member's charts. Individual issues/concerns related to this assurance identified during the chart review process are addressed immediately by the OA 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 OA and BMS. Services provided that are not documented on the PCSP 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)

<table>
<thead>
<tr>
<th>Responsible Party (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>✗ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>✗ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>✗ Quarterly</td>
</tr>
<tr>
<td>✗ Other Specify:</td>
<td>✗ Annually</td>
</tr>
<tr>
<td></td>
<td>✗ Continuously and Ongoing</td>
</tr>
<tr>
<td></td>
<td>☐ Other Specify:</td>
</tr>
</tbody>
</table>

OA and QIA Council Analysis
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.
For Self-Directed Services, WV utilizes a sole Government sub-agent Fiscal/Employer Agent Financial Management Service, herein after referred to as Personal Options. The Self-directed service option, Personal Options, is available to every eligible ADW member. All applicants are given a service delivery model selection form that allows them to choose their service delivery model. Members are educated annually about freedom of choice which includes the service delivery model. Members are given the opportunity to transfer to this service delivery model throughout the year. A member may appoint a representative who may or may not be their legal representative, to assist them in self-directing their services (hereby referred to as “representative”). The Personal Options program provides each member and representative (if applicable) with the opportunity to exercise choice and control over the self-directed services they receive and the employees they hire. (employer authority); and/or how the portion of their individualized budget associated with self-directed services (i.e., their budget) will be spent (budget authority).

The state’s goal regarding number of members who self-direct is between 10% and 20% of total ADW population.

Services provided through the Traditional Model and the Personal Options Model are comparable in description, scope, amount and duration. Members can transfer from the Personal Options Model to the Traditional Model, and vice versa, at any time without an interruption of services.

The services directed by members who choose Personal Options include:
- Personal Attendant
- Transportation

Under the Personal Options model, the person is the common law employer of the qualified Personal Attendant he or she hires directly. The 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 members’ self-directed budget funds, processing and paying the members’ qualified Personal Attendants, providing orientation at the time of enrollment with the Personal Options vendor and ongoing training and support to the member and their Personal Attendant employees.

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 PCSP. Services under the Personal Options Model must be for the sole benefit of the person receiving ADW services.

The Personal Options vendor provides both financial management and Resource Consulting (assistance and information) services for members.

The financial management services provided by the Personal Options vendor include:

1) Issuing payroll checks to qualified employees of the member receiving services via approved timesheets and Personal Attendant Logs
2) Executing provider agreements on behalf of BMS
3) Assuring the adherence to Federal and State laws and regulations
4) Verify employment fitness determinations by WV Clearance for Access: Registry and Employment Screening (WV CARES) for each Personal Attendant previous to employment by the member. WV CARES is the established framework for WV Medicaid employers to conduct background checks, review the results and provide the employers with a fitness determination for potential employees.
5) Verifying employee qualifications (including that the potential employee is not the member’s legal guardian or spouse)
6) Verifying employee time records
7) Verifying that services are within approved limits (compliance with member’s PCSP)
8) Monitoring of underpayments and overpayments
9) Assisting the member in revising Spending Plans as necessary
10) Recognizing and reporting critical incidents (including abuse, neglect and exploitation)
11) Assisting the employer of record with the responsibility of verifying employee’s citizen status.
12) Providing for payment of employee 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 member accessing the self-directed model. This support is an administrative activity and is reimbursed as such. Resource Consulting provides the member with the supports needed to self-direct and are available as needed and/or requested by the member.

Resource Consulting supports include:

1) Assisting the member as needed and/or requested with information regarding employment of personal attendants and budget matters.
2) Explaining and assisting the member with the completion of the employer packet. The Resource Consultant submits the completed employer packet to the F/EA.
3) Providing practical skills training, such as hiring, managing and terminating employees, problem solving, and conflict resolution
4) Assisting the member as needed and/or requested in the recruitment and hiring of employees
5) Maintaining a roster of qualified personal attendants
6) Maintaining/providing training modules for the members’ employees
7) Verification of required training for the member’s employees
8) Monitoring the financial and employment aspects of the members’ cases through required monthly calls and face-to-face contact at least every six months. Resource Consultants monitor more frequently as needed based on the member’s needs and/or requests
9) Recognizing and reporting critical incidents (which are then investigated by the F/EA, Operating Agency, APS, Medicaid Fraud, police, etc. as appropriate). All critical incidents are entered into the WV Incident Management System (IMS) by the Personal Options vendor and the Operating Agency analyzes data for trends.
10) Providing information on employee benefits when applicable
11) Participate in the development of the member’s PCSP when requested
12) Assisting the member as needed and/or requested in the development of the member’s Spending Plan
13) Assisting the member as needed with revisions to the their Spending Plan
14) Education of member on provision of employee training and proper documentation for Personal Attendant Services (i.e. Personal Attendant Logs)

Personal Options vendor Resource Consultants do not provide case management; therefore, Personal Options members choose a Case Management Agency to assist with advocacy needs and for development of service plan. The Personal Options vendor also operates a call center for the member 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 member/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 Logs, and invoices, providing additional training and helpful hints to ensure accurate and timely payments
4) Placing courtesy calls and mailing reminder letters to the member 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.
At the time of the initial medical eligibility assessment, the UMC provides written education on the self-directed program, Personal Options regarding the benefits and potential liabilities of the model. This information is called the Comparison Guide.

If a person requests additional information about the service delivery models available, a general overview of the participant-directed opportunity is provided. A general overview of the Personal Options model is provided via an informational brochure about the self-directed.

When the individual's annual re-evaluation assessment is conducted by the UMC, the individual and their legal representative (if applicable) will again receive education regarding Personal Options. The Comparison Guide is provided again to the member. The individual may also ask their Case Manager about the available service delivery models during routine home visits. Information about Personal Options is also available on the BMS website. BMS and the OA are always available to answer questions and provide technical assistance.

Prior to choice of a service delivery model, the UMC provides a Comparison Guide which provides members the information about pros and cons (liabilities) of self-direction. The UMC is responsible for handing out the Comparison Guide at the time of medical assessment and annually during the re-evaluation assessment. Once the member is enrolled, the FE/A gives the member a Quick Start Guide which includes an overview of member-direction, supports for member-direction, participating in the team that develops the Service Plan, developing the spending plan, selecting, hiring, training and supervising employees, the roles and responsibilities of each key stakeholder as well as the Aged and Disabled Waiver (ADW) program responsibilities.

The Operating Agency is also responsible for fielding questions from individuals and their legal representative (if applicable) by providing a toll-free telephone number. The Case Manager is responsible for providing this information to the individual and their legal representative (if applicable) upon request. BMS and staff of the Personal Options vendor are also available to provide information upon request.

The information is provided at the time of the initial medical eligibility and before enrollment. It is also provided annually during the re-evaluation assessment.

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:
Members who self-direct may appoint a non-legal representative (program representative) to assist them in the direction of their Waiver services. The nature of the assistance is determined by the member receiving ADW services. The Case Manager is responsible for developing the Service Plan and all employer-related responsibilities remain with the member receiving ADW services with the assistance of their program representative and/or staff of the Personal Options vendor as requested and their Case Manager. Personal Options vendor staff (Resource Consultants) are required to make monthly telephone contact directly with the members to address any issues or concerns with their services. If unable to reach the member by telephone, the Personal Options vendor staff must make a home visit. A face-to-face contact with the member at least every six months is also required to review the Service Plan implementation and to identify and address any health and safety concerns. As part of the Quality Improvement System (QIS), the Operating Agency reviews files and conducts Participant Experience Surveys.

ADW services may be directed by a legal representative of the member. For that purpose, the member participates as much as is possible to make their wishes known. This information is used by the legal representative to direct services.

The criterion used to determine that a member must have either a legal representative or a program representative to assist in the direction of their services, if the box on the Medical Necessity Evaluation Request (MNER) is selected by the medical professional for Alzheimer's, multi-infarct, or related conditions.

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.

<table>
<thead>
<tr>
<th>Waiver Service</th>
<th>Employer Authority</th>
<th>Budget Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal Attendant Services</td>
<td>x</td>
<td>x</td>
</tr>
<tr>
<td>Non-Medical Transportation</td>
<td>x</td>
<td>x</td>
</tr>
<tr>
<td>Skilled Nursing</td>
<td>x</td>
<td>x</td>
</tr>
</tbody>
</table>

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 for Medical Services and the sub-agent it delegates 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.

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

The F/EA is compensated through a Per member/Per Month (PM/PM) fee as specified in the vendor contract.

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

- Supports furnished when the participant is the employer of direct support workers:
  - ✓ Assist participant in verifying support worker citizenship status
  - ✓ Collect and process timesheets of support workers
  - ✓ Process payroll, withholding, filing and payment of applicable federal, state and local employment-related taxes and insurance
  - □ Other
    Specify:

- Supports furnished when the participant exercises budget authority:
  - ✓ Maintain a separate account for each participant’s participant-directed budget
  - ✓ Track and report participant funds, disbursements and the balance of participant funds
  - □ Process and pay invoices for goods and services approved in the service plan
  - ✓ Provide participant with periodic reports of expenditures and the status of the participant-directed budget
  - □ Other services and supports
    Specify:

Additional functions/activities:
Execute and hold Medicaid provider agreements as authorized under a written agreement with the Medicaid agency

Receive and disburse funds for the payment of participant-directed services under an agreement with the Medicaid agency or operating agency

Provide other entities specified by the state with periodic reports of expenditures and the status of the participant-directed budget

Other

Specify:

iv. Oversight of FMS Entities. Specify the methods that are employed to: (a) monitor and assess the performance of FMS entities, including ensuring the integrity of the financial transactions that they perform; (b) the entity (or entities) responsible for this monitoring; and, (c) how frequently performance is assessed.

Bureau for Medical Services (BMS) oversight of the F/EA includes:

1) An initial readiness review
2) Quarterly review of IRS Form 941
3) Quarterly review of FUTA deposit
4) Quarterly review of State withholding and unemployment tax payments
5) Quarterly review of complaints and grievances report
6) Quarterly review of total allocated funds for members and total spent funds
7) Quarterly comparison of bank statements to IRS reports and MMIS billing
8) Monthly contract meetings
9) Monthly review of program activity reports
10) Review of periodic consumer satisfaction survey results

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 assist the member with information or links to information related to the Personal Options Model, including the benefits and responsibilities of choosing this option. This information will be distributed to the member/representative during their annual re-evaluation by the UMC to ensure unbiased presentations are being provided. Case Managers will receive training including a scripted presentation regarding the Personal Options Model. Case Managers will also be provided with the side-by-side comparison of the two service delivery models to review with the member if he/she has any questions.

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

1. Developing the PCSP.
2. Informing the person of the availability of the Personal Options Model.
3. Explaining general rights, risks, responsibilities and the person's right to choose the Personal Options Model.
4. Assisting in determining if a Program Representative is desired and/or needed by the person.
5. Providing or linking the person/Program Representative with program materials in a format that they can use and understand.
6. Explaining person-centered planning and philosophy to the person/Program Representative.
7. Linking the person with the Personal Options vendor for completion of the necessary paperwork to enroll in this program.
8. Explaining to the person the roles and supports that will be available.
9. Monitoring and participating with the F/EA in the development and review of the budget available for participant-direction.
10. Ensuring that the person/Program Representative knows how and when to notify the Case Manager about any operational or support concerns or questions.
11. Monitoring the person's risk management activities.
12. Ensuring a seamless transition into the Personal Options Model if chosen.
13. Notifying the OA and the Personal Options vendor of concerns regarding potential issues which could lead to a person's disenrollment.
14. Notifying the OA of concerns about the status of the health and welfare of the person.
15. Following 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):

<table>
<thead>
<tr>
<th>Participant-Directed Waiver Service</th>
<th>Information and Assistance Provided through this Waiver Service Coverage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal Attendant Services</td>
<td>☐</td>
</tr>
<tr>
<td>Non-Medical Transportation</td>
<td>☐</td>
</tr>
<tr>
<td>Pre-Transition Case Management</td>
<td>☐</td>
</tr>
<tr>
<td>Community Transition Services</td>
<td>☐</td>
</tr>
<tr>
<td>Personal Emergency Response System</td>
<td>☐</td>
</tr>
<tr>
<td>Case Management</td>
<td>☐</td>
</tr>
<tr>
<td>Skilled Nursing</td>
<td>☐</td>
</tr>
</tbody>
</table>

**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.
An F/EA and FMS for ADW members is procured through the Request for Proposal (RFP) purchasing process. The F/EA provides:

1) Supports for individuals choosing the Personal Options model
2) Supports are available to:
   - provide general information and assistance on the participant-direction opportunity
   - participate in SCSP meeting
   - assist with development of the monthly budget
   - provide practical skills training such as hiring, managing and terminating workers, problem solving, and conflict resolution
   - maintain and provide required training modules for Personal Attendants
   - maintain a roster of qualified direct-care workers and assist in the verification of qualified employees
   - provide information on member employee benefits if applicable
   - monitor quality through monthly telephone contact and face-to-face contact with people receiving services at least every six months
   - monitor and assist with required program paperwork.

Bureau for Medical Services (BMS) provides oversight of the Personal Options vendor through:
- Monthly contract meetings
- Monthly review of program activity reports
- Monthly review of tax information
- Quarterly review of complaints and grievances report

The OA receives a yearly grant to provide additional oversight of delivery of Personal Options to ADW members. The OA provides the following:
- Yearly retrospective review of documentation of Personal Options cases
- Daily review of incidents entered in the WV Incident Management System (WV IMS) and follow-up on critical incidents
- Assistance with enrollment of ADW members and assignment to the PPL model

The UMC provides unbiased information regarding the benefits and liabilities of the service delivery models. The UMC is procured through the RFP process.

Independent advocacy is available on a case-by-case basis when requested by the ADW member at no cost to the member by Disability Rights of WV. It is not contracted by BMS.

Members have the right to disagree within the Service Planning process.

They have the right to file a grievance or a complaint. Level one is with the F/EA and second level is with the BMS.

Members have a right to the Medicaid Fair Hearing process. All correspondence for involuntary closure of ADW members includes free options to access for advocacy to regain ADW services.

---

Appendix E: Participant Direction of Services

E-1: Overview (10 of 13)

k. Independent Advocacy (select one).

- ☒ No. Arrangements have not been made for independent advocacy.
- ☑ Yes. Independent advocacy is available to participants who direct their services.

Describe the nature of this independent advocacy and how participants may access this advocacy:
Appendix E: Participant Direction of Services

E-1: Overview (11 of 13)

I. 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:

People who self-direct (or legal representative) can opt to transfer from the Personal Options Model to the Traditional Model at any time. Individuals who voluntarily terminate from this Option will ordinarily be effective the first day of the month, except in cases of emergency. The Personal Options vendor, Case Management Agency and Operating Agency will assist the person to assure a seamless transition or emergency transfer to traditional Personal Attendant agency to prevent interruption of services (if applicable).

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.

Members who demonstrate the inability to manage the duties related to self-direction will be required to select a representative to assist them with the responsibilities of participant-direction. If the member is unable to or refuses to select a representative, they will be required to transfer to the Traditional Model. The Personal Options vendor, the Case Management Agency and the Operating Agency will assist the person to assure a seamless transition.

The Personal Options vendor must develop a report to OA/BMS outlining the reasons the Personal Options vendor is requesting to involuntarily transfer the person from Personal Options. Issues such as the inability to manage funds or services, the inability/unwillingness to maintain safe staffing supports, inability to provide a safe work environment for FEA staff and workers, and/or inability to keep the spending plan within the budget would require the Personal Options vendor to notify BMS and the Operating Agency to review for involuntary transfer from Personal Options. Also any issues of exploitation of the member that could occur will be reported to Adult Protective Services and the Medicaid Fraud Control Unit and possibly resulting in an involuntary transfer if needed to safeguard the health and welfare of the member. An incident report will also be entered by the F/EA in the WV Incident Management System (WV IMS).

An immediate notification of the lack of health and welfare oversight must be reported through the WVIMS system as well as to the mandatory investigative agency (Adult Protective Services). Failure/inability to implement emergency or contingency plans developed within their Service Plan may result in involuntary transfer to traditional model to assure the health and welfare of the member. All paid and natural supports must be outlined in each person’s Service Plan. The Case Management Agency is responsible for the oversight of program implementation, health, and welfare of each person.

The Case Management Agency will ensure that no break in vital services will occur and that a timely revision of the Service Plan occurs.

Appendix E: Participant Direction of Services

E-1: Overview (13 of 13)

n. Goals for Participant Direction. In the following table, provide the state's goals for each year that the waiver is in effect for the unduplicated number of waiver participants who are expected to elect each applicable participant direction opportunity. Annually, the state will report to CMS the number of participants who elect to direct their waiver services.
### Table E-1-n

<table>
<thead>
<tr>
<th>Waiver Year</th>
<th>Employer Authority Only</th>
<th>Budget Authority Only or Budget Authority in Combination with Employer Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Number of Participants</td>
<td>Number of Participants</td>
</tr>
<tr>
<td>Year 1</td>
<td></td>
<td>850</td>
</tr>
<tr>
<td>Year 2</td>
<td></td>
<td>800</td>
</tr>
<tr>
<td>Year 3</td>
<td></td>
<td>750</td>
</tr>
<tr>
<td>Year 4</td>
<td></td>
<td>750</td>
</tr>
<tr>
<td>Year 5</td>
<td></td>
<td>750</td>
</tr>
</tbody>
</table>

#### 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:

- [X] **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:*

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

Specify how the costs of such investigations are compensated:

- The individual’s worker is responsible for obtaining and paying for state and federal fingerprint-based checks.

- [ ] Specify additional staff qualifications based on participant needs and preferences so long as such

03/04/2020
qualifications are consistent with the qualifications specified in Appendix C-1/C-3.

Specify the state's method to conduct background checks if it varies from Appendix C-2-a:

- 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.

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 individual's budget. The budget is based on assessed needs and monetized based on results of the assessment process. The budget (less the cost of FMS and Information and Assistance) is claimed as service match accordingly.

The above information was 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 .

Budgets for each service level are derived by monetizing the amount of Personal Attendant services and ADW non-medical transportation services for each of the 4 levels of service. (max number of Personal Attendant service units per service level x rate + max number of ADW non-medical transportation services x rate).

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.
Members who self-direct (or legal representative) are notified of their service level in writing by the UMC at the point of medical eligibility and slot allocation. Through an agreement with BMS, the Personal Options vendor equates the approved service level to a participant-directed budget amount and informs the person. The budget is based on rates for the service within the number of hours allocated within the service level. This pertains to all members who self-direct.

Per policy, members (or legal representative) have the opportunity to request an increase in their Service Level (an adjustment to the budget) at any time based on a documented need. The request must include clinical documentation sufficient to support the request. The member's budget would increase accordingly if approved. If denied, the member (or legal representative) is offered the opportunity to request a Medicaid Fair Hearing.

Following the initial medical eligibility and annual re-evaluation, the member is notified in writing by the UMC of the amount of his/her annual budget. Subsequently, the member, his/her legal representative (if applicable) and the Resource Consultant, if consulted, choose the types and amounts of self-directed services that will be "purchased" from the budget based PCSP. The total cost of these services is documented on the member's Spending Plan. The member or legal representative (if applicable) is provided a copy of the Spending Plan by the Resource Consultant. The Spending Plan is an addendum to the PCSP for those in the self-directed service delivery model where service amount, frequency and duration of services are specified. Case Management is authorized by the PCSP and is not deducted from the individual budget for members.

Per policy, members have the opportunity to request an increase in their individualized budget at any time if there has been a change in need. The request must include clinical documentation sufficient to support the request. If approved, the budget allocation will be adjusted accordingly. If denied, the member is offered the opportunity to request a Medicaid Fair Hearing.

The Personal Options budget is included in the CMS approved waiver application which is posted and available to the public on the WV BMS website.

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:

<table>
<thead>
<tr>
<th>The Personal Options vendor is responsible for converting the annual budget into monthly spending plans based upon input from the individual and/or his/her representative. This safeguards premature depletion of the budget.</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Personal Options vendor makes available a monthly utilization report to identify the individual'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 individual's annual budget period. The Personal Options vendor assigns a Personal Options Resource Consultant to assist and support each self-directing individual to develop and monitor the monthly spending plans. The Resource Consultants will ensure individuals/representatives are aware of under-utilization and/or any attempts to over-spend the monthly spending plan. Individuals enrolled in Personal Options may revise Service Plans if necessary.</td>
</tr>
<tr>
<td>The Personal Options vendor is flagging potential budget over-expenditures and potential underutilization of budget funding on a monthly basis so that it can be addressed in a timely manner.</td>
</tr>
</tbody>
</table>

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.
Information on Fair Hearing rights is included in the packet of information sent by the UMC to all applicants (or legal representative) when they are notified that they are medically ineligible for the ADW program.

Individuals on the Aged and Disabled Waiver (ADW) and their legal representative (if applicable) and their Case Managers are notified of their Fair Hearing rights when:

1. They do not meet medical eligibility requirements for nursing home level of care (re-evaluation assessment). They are notified by the UMC at the time of determination. The UMC maintains all records of medical eligibility denials.
2. Their services have been reduced at the time of the annual re-evaluation (e.g., from Service Level D to Service Level C). They are notified by the UMC. The UMC maintains all records of annual re-evaluations.
3. Their request for a Service Level increase is denied. They are notified by the UMC at the time of denial. The UMC maintains all records of requests for Service Level increases and decisions.
4. They are determined ineligible for Waiver transition services or denied a specific Waiver transition service. They are notified by the Transition Coordination contractor at the time of denial.
5. Their ADW case has been closed (per established policies and procedures). They are notified by the Operating Agency at the time of closure. The Operating Agency maintains all records of case closures.

Members only have access to the Fair Hearing process in the above 5 circumstances. All other circumstances under which a member would complain/grieve are addressed through the complaint/grievance process.

In all cases, applicants/people and/or their legal representative (if applicable) and their Case Managers are notified that the UMC maintains all applicable records of medical eligibility, service denials and closures.

All notifications of Fair Hearing rights include information that services will continue throughout the Fair Hearing process if applicable policy is followed when making the request. Information on available advocacy support is also provided. People are also provided the opportunity for a Pre-Hearing Conference to attempt to resolve the issues with BMS through the Operating Agency.

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 Operating Agency.

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/legal representatives has the right to file complaints/grievances regarding (1) Program Services and (2) Service Plan disagreement.

The grievance/complaint process is in place to resolve ADW service(s) grievances/complaints that are not subject to the Fair Hearing process. All ADW provider agencies are required to have a written grievance policy and procedure which is reviewed annually by the Operating Agency to monitor for compliance. The person may use the formal written grievance process or contact the Operating Agency by phone or written correspondence. The Operating Agency will conduct oversight and follow up to ensure grievances and complaints are resolved in a timely manner.

First Level Grievance

Responsible Party: ADW Provider

1. Person (or legal representative) completes the grievance form and submits it to the provider.
2. Provider has 10 days to hold a meeting with the person (or legal representative) either in person or by telephone.
3. Provider holds the meeting and completes the “Level One” response.
4. Person (or legal representative) and provider sign/date Level One decision.
5. Provider sends a copy of the grievance decision to the person (or legal representative) within three working days.
6. Provider maintains a copy of the grievance in an administrative file.
7. Provider maintains a record of the number of grievances filed, reasons for grievances, dates of grievances, and responses.

Second Level Grievance (If person (or legal representative) is not satisfied with Level One decision)

Responsible Party: The Operating Agency

1. The provider sends a copy of the Level One grievance decision to the Operating Agency and the person (or legal representative) within three working days.
2. The Level One decision and any additional information is reviewed by the Operating Agency.
3. The Operating Agency issues a Level Two decision within 10 days of receipt of the grievance request.
4. Notice of the decision is provided in writing to the person (or legal representative), the provider agency and the Bureau for Medical Services (BMS).

The person may lodge a Service Plan disagreement at the time of the Service Plan meeting.

1. The disagreement would first go to the Service Plan Meeting team to resolve the disagreement.
2. Any unresolved disagreements are referred to the Grievance process.

The Operating Agency maintains a Complaint Hotline and database. All complaints reported by phone or letter are documented on a complaint form and maintained by the Operating Agency who is responsible for oversight and follow-up to ensure complaints are resolved.

The number and types of complaints are monitored by the Operating Agency and Quality Assurance.

Members only have access to the Fair Hearing process delineated in Appendix F-1. All other circumstances under which a member would complain/grieve are addressed through the complaint/grievance process.

Appendix G: Participant Safeguards
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).
All ADW providers have policies and procedures for the review, investigation and tracking of critical incidents involving the risk or potential risk to the health and safety of ADW members. ADW providers are required to report and track incidents using the web-based West Virginia Incident Management System (WV IMS). Providers track critical incidents through the WV IMS and report identified incidents to BMS after investigation.

All incidents are classified as follows:

- “Critical incident” means the alleged, suspected, or actual occurrence of any of the following: abuse; neglect; death due to any cause; attempted suicide; behavior that will likely lead to serious injury or significant property damage; fire resulting in injury, relocation or an interruption of services; any major involvement with law enforcement authorities; injury that requires hospitalization or results in permanent physical damage; life-threatening reaction because of a drug or food; or a serious consequence resulting from an apparent error in medication or dietary ingestion.

- Allegation of abuse, neglect or exploitation:
  - “Abused Adult”-This is when the infliction or threat to inflict physical pain or injury on or the imprisonment of any incapacitated adult or facility resident*
  - “Neglected Adult”-This is when the unreasonable failure by a caregiver to provide the care necessary to assure the physical safety or health of an incapacitated adult*

- Financial Exploitation/Misappropriation of Funds: Illegal or improper use of a person's or incapacitated adult’s resources. Examples of financial exploitation include cashing a person’s checks without authorization; forging a person’s signature; or misusing or stealing a person’s money or possessions. Another example is deceiving a person into signing any contract, will, or other legal document. (WV BMS Provider Manual, Ch 501, 512)

*WV Code §9-6-1 Definitions

All critical incidents must be reported by ADW Providers to Adult Protective Services (APS) for enrollees over the age of 18 per WV Code 9-6-1. The WV Code 49-2-803 details persons mandated to report suspected abuse and neglect. Persons required to report suspected abuse or neglect to DHHR immediately but not more than 48 hours after suspecting the abuse or neglect include, but are not limited to: any medical, dental or mental health professional, social service workers, emergency medical services personnel, peace officers or law enforcement officials, and circuit court or family court judges. If needed, involvement with emergency services, hospitals, and/or the police must follow the provider’s policies and procedures for handling medical and psychiatric emergencies per WV Code 64-11-7.8a.

Any critical incident involving a ADW member utilizing ADW services must be reported into the WV IMS within 24 hours of learning of the incident. The OA will review each Incident Report and determine whether a thorough investigation is warranted. Investigations must be initiated within 24 hours of learning of the incident. A completed Incident Report will be entered into the WV IMS within fourteen (14) calendar days of the incident. At any time during the course of an investigation should an allegation of abuse or neglect arise, the ADW provider shall notify APS as mandated by State Code. ADW providers are responsible to investigate all incidents, including those reported to APS. The ADW provider will inform the person and/or their legal representative, and the OA in writing of the results of the investigation within 5 business days. In the event that a crisis occurs which results in a critical incident being substantiated, then a prevention plan will be created by the member and their Case manager to support the crisis plan and outline strategies that will ensure similar incidents do not occur in the future.

ADW Providers and the OA are required to regularly review and analyze incident reports to identify trends regarding health and safety of enrollees. Identified health and safety concerns and remediation strategies must be incorporated into the ADW Providers’ Quality Management Plans.

The following will occur if a ADW/IDDW/TBIW provider is found to be out of compliance with program requirements: Following the first identified episode for the provider, the UMC/OA will complete technical assistance with the provider in an attempt to bring them back to compliance. If the provider continues to remain out of compliance after the UMC/OA completes technical assistance, the provider will be placed on a Corrective Action Plan. The provider will have thirty (30) days to provide the UMC/OA with its detailed Corrective Action Plan outlining the steps they intend to take to remediate the deficiencies. In addition, the UMC/OA will conduct a follow-up review within six (6) months of the deficiencies identified to ensure the Corrective Action Plan has been implemented and followed accordingly. If the provider continues to remain non-compliant after technical assistance and a Corrective Action Plan, then further action will be taken up to and including payment withholding and disenrollment as a ADW/IDDW/TBIW provider until they are determined compliant. The UMC/OA reports this type of information to BMS as part of the monthly Quality Meetings for ADW/IDDW/TBIW; additional meetings can be scheduled if an issue needs to be addressed prior to the monthly meeting.
In order to enhance its critical incident management system, BMS is currently developing a ADW HCBS Waiver Incident Reporting Guide (IRG); it will be completed prior to the implementation of the waiver. The ADW IRG outlines the activities that WV is undertaking to enhance reporting and monitoring of other types of critical incidents. The IRG's information is referenced in this application and will be available as a separate document.

Restrictive interventions (including restraints and seclusion) are prohibited in the delivery of ADW services. All unauthorized use must be reported in the WVIMS system.

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.

c. Participant Training and Education. Describe how training and/or information is provided to participants (and/or families or legal representatives, as appropriate) concerning protections from abuse, neglect, and exploitation, including how participants (and/or families or legal representatives, as appropriate) can notify appropriate authorities or entities when the participant may have experienced abuse, neglect or exploitation.

The UMC provides information and resources to all members regarding identification, prevention, and reporting any instances of potential abuse, neglect, or exploitation. The UMC provides information to members and/or their legal representative (as applicable) as part of mailed materials sent after the initial medical eligibility determination, as well as during their annual medical eligibility re-evaluation that defines abuse, neglect and exploitation and how to notify the appropriate authorities. The member and/or or their legal representative is required to sign-off indicating receipt and understanding of this information.

A brochure that defines abuse, neglect and exploitation and how to notify the appropriate authorities is provided by the UMC to all applicants (or legal representative) at their initial medical assessment as well as to all members (or legal representative) at their annual medical re-evaluation.

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.
For allegations of abuse, neglect or exploitation, or critical incidents, ADW Provider designated staff and the OA must review each Incident Report and determine whether the incident warrants a full investigation. Providers are required to enter all Incident Reports into the WV IMS and issue a report to BMS. At any time during the course of an investigation should an allegation or concern of abuse or neglect arise, the ADW Provider or OA shall notify APS or CPS as mandated by State Code. ADW providers and the OA are required to investigate all incidents, including those reports to APS. Should APS substantiate the allegation, APS will inform BMS per MOU agreement.

Per policy, when there has been an allegation of abuse, neglect or exploitation, ADW providers must:
1. Take immediate action and any necessary steps to ensure the health and safety of the member while investigating the incident,
2. Revise the member’s person-centered plan, in collaboration with the Case Management Agency, if necessary, to implement additional supports, and
3. Implement necessary systems changes, including additional training that might be helpful in preventing future incidents.

ADW Providers are required to report within 1 business day of learning of the incident. They are required to initiate an investigation of critical incidents and complete their follow-up within 14 calendar days. 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 members served. The WV IMS does not supersede the reporting of incidents to APS. 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. ADW provider agencies are responsible to investigate all incidents, including those reported to APS. If requested by APS, a provider shall delay its own investigation and document such request in the web-based WV IMS.

In any case where the mandated reporter believes that the ADW member suffered serious physical abuse, sexual abuse, and/or sexual assault, along with exploitation, the reporter must also report, or cause a report to be made to law enforcement. The report must be made to any law enforcement agency having jurisdiction to investigate the report. This report is in addition to the report made to APS.

ADW Providers are required to review their incident data and identify and address systemic issues and data trends on an annual basis, per ADW policy. The OA is responsible for regular review of the number and types of incidents across settings, providers, and provider types, identifying potential trends and patterns, opportunities for improvement, and the development and implementation of strategies to reduce the occurrence of incidents. The OA will monitor compliance with this policy during annual on-site provider reviews.

In order to enhance its critical incident management system, BMS is currently developing an ADW HCBS Waiver Incident Reporting Guide (IRG); it will be completed prior to the implementation of the renewed waiver. The ADW IRG outlines the activities that WV is undertaking to enhance reporting and monitoring of other types of critical incidents. The IRG’s information is referenced in this application and will be available as a separate document.

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 OA is responsible for the monitoring and oversight of the WV IMS and performs follow-ups as necessary regarding critical incident investigations. Incidents are entered into the WV IMS by ADW providers. Incidents submitted into the WV IMS are tracked, aggregated, and summarized by the OA, which also performs real time monitoring of critical incident investigations. BMS receives a monthly incident report summary from the OA to identify and address issues or concerns.

The OA reviews a representative sample of files annually, including (as applicable) compliance with Incident Management policies. This data is also reviewed and analyzed by BMS and the OA. ADW Providers and the OA are also required to analyze incident reports to identify health and safety trends and incorporate their findings into their Quality Management Plans. Identified health and safety concerns and remediation strategies are incorporated into the agency Quality Management Plan to address and remediate any potential concerns related to the population and/or ADW recipients.
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).
  APS 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).

  WV does not permit use of restrictive restraints (including restraints and seclusion) in the ADW program. Personal restraints, chemical restraints, mechanical restraints or any other type of restraints are all prohibited in the delivery of ADW services.

- 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 responsible for detecting and reporting any incidents of the use of restrictive interventions directly to Adult Protective Services (APS) and in the WV IMS. ADW agencies and the Personal Options vendor also have a responsibility per policy to investigate and to report the incident in the WV Incident Management System (WVIMS). The Operating Agency reviews incidents in WV IMS after submission to detect the use of restraints and restrictive interventions. The OA then reports monthly on their findings during contract management meetings.

APS is required to review and intervene on the use of restrictive interventions that meet threshold of maltreatment.

WV does not permit use of restrictive interventions (including restraints and seclusion) in the ADW program.

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 responsible for detecting and reporting any incidents of the use of seclusion directly to Adult Protective Services (APS) and in the WV IMS. ADW agencies and the Personal Options vendor also have a responsibility per policy to investigate and to report the incident in the WV Incident Management System (WVIMS). The Operating Agency reviews incidents in WV IMS after submission to detect the use of seclusion. The OA then reports monthly on their findings during contract management meetings.

APS is required to review and intervene on the use of seclusion that meet threshold of maltreatment.

WV does not permit use of restrictive interventions (including restraints and seclusion) in the ADW program.

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

**a. Methods for Discovery: Health and Welfare**

_The state demonstrates it has designed and implemented an effective system for assuring waiver participant health and welfare._ (For waiver actions submitted before June 1, 2014, this assurance read "The State, on an ongoing basis, identifies, addresses, and seeks to prevent the occurrence of abuse, neglect and exploitation.")

**i. Sub-Assurances:**

a. _Sub-assurance: The state demonstrates on an ongoing basis that it identifies, addresses and seeks to prevent instances of abuse, neglect, exploitation and unexplained death._ (Performance measures in this sub-assurance include all Appendix G performance measures for waiver actions submitted before June 1, 2014.)

**Performance Measures**

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

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

**Performance Measure:**

G-a-1: Number and percent of substantiated cases of abuse, neglect, exploitation, and misappropriation of funds where recommended actions to protect health and welfare were implemented. N= Number of substantiated cases where recommended actions to protect health and welfare were implemented. D= Total number of substantiated cases where there were recommended actions to protect health and welfare implemented.

**Data Source (Select one):**

Reports to State Medicaid Agency on delegated

If ‘Other’ is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☐ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
</tbody>
</table>

Confidence Interval =


<table>
<thead>
<tr>
<th>Other</th>
<th>Annually</th>
<th>Stratified</th>
</tr>
</thead>
<tbody>
<tr>
<td>Specify:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Adult protective services</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| | | Describe Group: |
| | | |

| | | |
| | | Continuously and Ongoing |

| | | | |
| | | | |

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☑ Operating Agency</td>
<td>☐ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other</td>
<td>☑ Annually</td>
</tr>
</tbody>
</table>

| | | Continuously and Ongoing |
| | | |

| | | |
| | | Other Specify: |

Performance Measure:

G-a-2: Number and percent of deaths with a determined need for investigation that were reported to the proper authorities (Law Enforcement or other entities) for investigation. N= Number of deaths with a determined need for investigation that were reported to the proper authorities (Law Enforcement or other entities) investigated. D= Total number of deaths with a determined need for investigation.
**Data Source** (Select one):

Critical events and incident reports
If ‘Other’ is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ State Medicaid Agency</td>
<td>□ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
<td>□ Less than 100% Review</td>
</tr>
<tr>
<td>□ Sub-State Entity</td>
<td>□ Quarterly</td>
<td>□ Representative Sample</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Confidence Interval =</td>
</tr>
<tr>
<td>□ Other</td>
<td>□ Annually</td>
<td>□ Stratified</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
<td>Describe Group:</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☒ Continuously and Ongoing</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Other</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Data Source** (Select one):

Mortality reviews
If ‘Other’ is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>□ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>Operating Agency</td>
<td>Monthly</td>
<td>Less than 100% Review</td>
</tr>
<tr>
<td>------------------</td>
<td>---------</td>
<td>-----------------------</td>
</tr>
<tr>
<td>Sub-State Entity</td>
<td>Quarterly</td>
<td>Representative Sample</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Confidence Interval =</td>
</tr>
<tr>
<td>Other Specify:</td>
<td>Anually</td>
<td>Stratified Describe Group:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Other Specify:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Other Specify:</td>
</tr>
</tbody>
</table>

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Annually</td>
</tr>
<tr>
<td>☒ Continuously and Ongoing</td>
<td>☒ Continuously and Ongoing</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Other Specify:</td>
</tr>
</tbody>
</table>
Responsible Party for data aggregation and analysis (check each that applies):

<table>
<thead>
<tr>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

Performance Measure:
G-a-3: Number and percent of deaths with a determined need for investigation that were internally investigated. Numerator = Number of deaths with a determined need for investigation that were internally investigated. Denominator = Total number of deaths with a determined need for investigation.

Data Source (Select one):
Critical events and incident reports
If ‘Other’ is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☒ Weekly</td>
<td>☒ 100% Review</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☐ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Annually</td>
<td>Confidence Interval =</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☒ Continuously and Ongoing</td>
<td>☐ Other Specify:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

03/04/2020
Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☐ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Annually</td>
</tr>
<tr>
<td>☒ Continuously and Ongoing</td>
<td></td>
</tr>
</tbody>
</table>

Performance Measures

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

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

Performance Measure:
G-b-1: Number and percent of critical incidents that were reported within the required time frames as specified in the waiver application. N: Number of critical incidents reported in the required time frames as specified in the waiver application. D: Total number of reported critical incidents in the specified areas.

Data Source (Select one):
Critical events and incident reports
If ‘Other’ is selected, specify:
### Case Management Reports and Death Certificates

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

### Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☒ Operating Agency</td>
<td>☒ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☒ Quarterly</td>
</tr>
<tr>
<td>☐ Other</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
</tr>
</tbody>
</table>
### Responsible Party for data aggregation and analysis (check each that applies):

- [ ]
- [ ]

### Frequency of data aggregation and analysis (check each that applies):
- [ ] Continuously and Ongoing
- [ ] Other
  - Specify:

### Performance Measure:
G-b-2: Number and percent of critical incident reviews/investigations that were completed as specified in the approved waiver. Critical incidents related to Abuse; Neglect; Exploitation; and Misappropriation of Funds. \( N \) = Number of critical incident reviews/investigations that were completed as specified in the approved waiver. \( D \) = Total number of critical incident reviews/investigations.

### Data Source (Select one):
**Critical events and incident reports**
If ‘Other’ is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] State Medicaid Agency</td>
<td>[ ] Weekly</td>
<td>[ ] 100% Review</td>
</tr>
<tr>
<td>[X] Operating Agency</td>
<td>[ ] Monthly</td>
<td>[ ] Less than 100% Review</td>
</tr>
<tr>
<td>[ ] Sub-State Entity</td>
<td>[ ] Quarterly</td>
<td>[ ] Representative Sample</td>
</tr>
<tr>
<td>[ ] Other</td>
<td>[ ] Annually</td>
<td>[ ] Stratified</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
<td>Describe Group:</td>
</tr>
<tr>
<td>[X] Continuously and Ongoing</td>
<td>[ ] Other</td>
<td>Specify:</td>
</tr>
</tbody>
</table>
### Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>x State Medicaid Agency</td>
<td>□ Weekly</td>
</tr>
<tr>
<td>x Operating Agency</td>
<td>□ Monthly</td>
</tr>
<tr>
<td>□ Sub-State Entity</td>
<td>□ Quarterly</td>
</tr>
<tr>
<td>□ Other Specify:</td>
<td>□ Annually</td>
</tr>
<tr>
<td></td>
<td>x Continuously and Ongoing</td>
</tr>
</tbody>
</table>

#### Performance Measure:

G-b-3: # and % of members with a critical incident who had a plan of prevention or documentation of a plan, developed as a result of the incident (abuse, neglect, exploitation). N= # of members with a critical incident who had a plan of prevention or documentation of a plan, developed as a result of the incident. D= Total # of members with at least one critical incident.

#### Data Source (Select one):

- Record reviews, on-site

If ‘Other’ is selected, specify:

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

Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☑ Operating Agency</td>
<td>☑ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Annually</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td>☐ Continuously and Ongoing</td>
</tr>
</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>Performance Measure:</th>
<th>G-c-1: Number and percent of instances of unapproved restraint, seclusion or other restrictive interventions with a prevention plan developed as a result of the incident.</th>
<th>Numerator= Number of instances with a prevention plan developed as a result of the incident. Denominator= Total number of instances that required development of a prevention plan developed as a result of the incident.</th>
</tr>
</thead>
</table>

Data Source (Select one):

Record reviews, on-site

If ‘Other’ is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ State Medicaid Agency</td>
<td>☐ Weekly</td>
<td>☑ 100% Review</td>
</tr>
<tr>
<td>☑ Operating Agency</td>
<td>☑ Monthly</td>
<td>☐ Less than 100% Review</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
<td>☐ Representative Sample</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Confidence Interval = [ ]</td>
</tr>
</tbody>
</table>
Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑️ State Medicaid Agency</td>
<td>☑️ Annually</td>
</tr>
<tr>
<td>☑️ Operating Agency</td>
<td>☑️ Quarterly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Continuously and Ongoing</td>
</tr>
<tr>
<td>☐ Other Specify:</td>
<td></td>
</tr>
</tbody>
</table>
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.

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

   Information relating to this assurance is collected through the review of charts and/or the Provider Continuing Certification Review, weekly review of mortality reporting by OA, review of Incident Management System by OA, monthly Mortality Review Committee by SMA, monthly review and analysis of D & R report findings at contract management meetings with discussion of need for remediation/quality improvement. The chart review process includes analysis of claims data provided by the claims processing entity. Individual issues/concerns related to appropriate documentation of services billed identified during the review of charts are addressed immediately by the Operating Agency with providers during an exit interview. Providers may be required to submit Corrective Action Plans addressing identified issues that must be approved by the Operating Agency. Evidence collected via claims data is reviewed and analyzed by BMS and the claims processing entity in order to identify any system issues. As part of remediation if a provider is found to be substantially non-compliant, the provider will be subject to progressive sanctions up to and including removal of provider certification. The ongoing review of the Incident Management System aims to assist the providers with individual remediation of issues and ensure appropriate reporting to agencies such as Adult Protective Services and law enforcement to assist with investigations. The monthly Mortality Review Committee gathers information for the D & R report and will refer issues back to the OA if new information comes to light to warrant further investigation. The monthly review of the D & R data at the contract management meetings is used to determine when quality improvement activities are necessary and to discuss which types of activities may be useful. Information from the ADW Quality Improvement Advisory Council is also used to recommend quality improvement activities.

   ii. Remediation Data Aggregation

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

<table>
<thead>
<tr>
<th>Responsible Party (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑️ State Medicaid Agency</td>
<td>☑️ Weekly</td>
</tr>
<tr>
<td>☑️ Operating Agency</td>
<td>☑️ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☑️ Quarterly</td>
</tr>
<tr>
<td>☐ Other</td>
<td>☐ Annually</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
</tr>
<tr>
<td>☑️ Continuously and Ongoing</td>
<td></td>
</tr>
</tbody>
</table>

03/04/2020
c. Timelines
When the State does not have all elements of the Quality Improvement Strategy in place, provide timelines to design methods for discovery and remediation related to the assurance of Health and Welfare that are currently non-operational.

☐ No
☐ Yes

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

Appendix H: Quality Improvement Strategy (1 of 3)

Under §1915(c) of the Social Security Act and 42 CFR §441.302, the approval of an HCBS waiver requires that CMS determine that the state has made satisfactory assurances concerning the protection of participant health and welfare, financial accountability and other elements of waiver operations. Renewal of an existing waiver is contingent upon review by CMS and a finding by CMS that the assurances have been met. By completing the HCBS waiver application, the state specifies how it has designed the waiver’s critical processes, structures and operational features in order to meet these assurances.

- Quality Improvement is a critical operational feature that an organization employs to continually determine whether it operates in accordance with the approved design of its program, meets statutory and regulatory assurances and requirements, achieves desired outcomes, and identifies opportunities for improvement.

CMS recognizes that a state’s waiver Quality Improvement Strategy may vary depending on the nature of the waiver target population, the services offered, and the waiver’s relationship to other public programs, and will extend beyond regulatory requirements. However, for the purpose of this application, the state is expected to have, at the minimum, systems in place to measure and improve its own performance in meeting six specific waiver assurances and requirements.

It may be more efficient and effective for a Quality Improvement Strategy to span multiple waivers and other long-term care services. CMS recognizes the value of this approach and will ask the state to identify other waiver programs and long-term care services that are addressed in the Quality Improvement Strategy.

Quality Improvement Strategy: Minimum Components

The Quality Improvement Strategy that will be in effect during the period of the approved waiver is described throughout the waiver in the appendices corresponding to the statutory assurances and sub-assurances. Other documents cited must be available to CMS upon request through the Medicaid agency or the operating agency (if appropriate).

In the QIS discovery and remediation sections throughout the application (located in Appendices A, B, C, D, G, and I), a state spells out:

- The evidence based discovery activities that will be conducted for each of the six major waiver assurances; and
- The remediation activities followed to correct individual problems identified in the implementation of each of the assurances.

In Appendix H of the application, a state describes (1) the system improvement activities followed in response to aggregated, analyzed discovery and remediation information collected on each of the assurances; (2) the correspondent roles/responsibilities
of those conducting assessing and prioritizing improving system corrections and improvements; and (3) the processes the state will follow to continuously assess the effectiveness of the OIS and revise it as necessary and appropriate.

If the state's Quality Improvement Strategy is not fully developed at the time the waiver application is submitted, the state may provide a work plan to fully develop its Quality Improvement Strategy, including the specific tasks the state plans to undertake during the period the waiver is in effect, the major milestones associated with these tasks, and the entity (or entities) responsible for the completion of these tasks.

When the Quality Improvement Strategy spans more than one waiver and/or other types of long-term care services under the Medicaid state plan, specify the control numbers for the other waiver programs and/or identify the other long-term services that are addressed in the Quality Improvement Strategy. In instances when the QIS spans more than one waiver, the state must be able to stratify information that is related to each approved waiver program. Unless the state has requested and received approval from CMS for the consolidation of multiple waivers for the purpose of reporting, then the state must stratify information that is related to each approved waiver program, i.e., employ a representative sample for each waiver.

Appendix H: Quality Improvement Strategy (2 of 3)

H-1: Systems Improvement

a. System Improvements

i. Describe the process(es) for trending, prioritizing, and implementing system improvements (i.e., design changes) prompted as a result of an analysis of discovery and remediation information.

The Operating Agency is responsible for monitoring the quality of Waiver services and implementing and evaluating quality improvement strategies. The ADW'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 six CMS assurances and sub-assurances. Specific data sources include provider monitoring, claims data, incident management reports, contract oversight meetings and reports, Participant Experience Surveys and other stakeholder feedback and input.

The primary mechanism for involving stakeholders in the Waivers quality improvement initiative is the ADW Quality Improvement Advisory (QIA) Council. It includes representation from providers of services, members who receive services, employees of the SMA, OA and the UMC. The Council serves as a forum for people (or legal representative) 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 quarterly with the QI Advisory 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 Work Plan. Updates on the goals and objectives of this plan are reviewed at each quarterly meeting and guide the efforts of the Council and staff. The Quality Work Plan is evaluated at the annual QIA Council meeting and is revised if necessary to reflect current quality issues.
### ii. System Improvement Activities

<table>
<thead>
<tr>
<th>Responsible Party</th>
<th>Frequency of Monitoring and Analysis</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ State Medicaid Agency</td>
<td>☑ Weekly</td>
</tr>
<tr>
<td>☑ Operating Agency</td>
<td>☑ Monthly</td>
</tr>
<tr>
<td>☑ Sub-State Entity</td>
<td>☑ Quarterly</td>
</tr>
<tr>
<td>☑ Quality Improvement Committee</td>
<td>☑ Annually</td>
</tr>
<tr>
<td>☑ Other</td>
<td>☑ Other</td>
</tr>
</tbody>
</table>

Specify:

<table>
<thead>
<tr>
<th>UMC</th>
</tr>
</thead>
</table>

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.
Findings from D & R report and overall quality improvement can result in systemic changes in policy, in the certification process, in the provider monitoring process, in the grievance/complaint process, in the incident management process, etc. These findings inform the quality improvement system that a change is necessary.

The ADW 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 member complaints, administrative reports, oversight of delegated administrative functions, and stakeholder input.

Provider Reviews:

The primary means of monitoring the quality of Aged and Disabled Waiver (ADW) services is provider reviews conducted by staff of the operating agency.

Prior to enrolling as an ADW provider, agencies interested in providing ADW services are reviewed by the Operating Agency to ensure that all 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. Technical assistance is provided to correct identified deficits.

Providers are required to submit evidence to the Operating Agency annually to document continuing compliance with all Certification requirements as specified in the ADW 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 is issued until appropriate documents are submitted and approved by the Operating Agency. Providers receiving a Provisional Certification are required to have an on-site review by the Operating Agency 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, claims trends and complaint data.

A statewide representative sample of charts are reviewed every 12 months. Charts are reviewed by staff of the Operating Agency using the Personal Attendant Monitoring Tool and the Case Management Monitoring Tool. The HCBS CAHPS was implemented in West Virginia because it was presented as best practice and would enable data from WV to be compared to data from other states with HCBS waivers. It is a standardized assessment tool. Some of the items from the HCBS CAHPS can be used to inform certain performance measures. These tools have been developed to ensure that the critical data necessary to monitor CMS assurances are collected. A proportionate random sample is chosen ensuring that at least one chart from each provider site is reviewed.

West Virginia Incident Management System (WVIMS):

Another key source for monitoring the quality of ADW services is the online West Virginia Incident Management System (WVIMS). Per policy, ADW providers are 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. The WVIMS also provides the Operating Agency the capability to monitor reported incidents in "real time" in order to ensure that timely, appropriate steps are taken by providers.

The Operating Agency 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 staff receive and review the following contract reports:
- Operating Agency - Monthly Program Report and ad hoc reports as requested.
- Personal Options Monthly Program report and ad hoc reports as requested.
- Utilization Management Contractor (UMC) - Monthly Activity Report, weekly Managed Enrollment Report, and various ad hoc reports as requested.
- Claims processing entity - regular claims data reports and ad hoc reports as requested.
Contract Oversight Meetings:

BMS management staff conduct monthly oversight meetings with each of their contractors to monitor performance and address identified issues/concerns. The D & R report is reviewed at least monthly by BMS and the Operating Agency at its contract meetings. The D & R report is also compiled and reviewed quarterly by the ADW QI Advisory Council. The D & R 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 QI Advisory Council for its review and analysis.

The Quality Improvement (QI) Advisory 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 Work Plan are continuously monitored by the QI Advisory 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 H: Quality Improvement Strategy (3 of 3)

H-2: Use of a Patient Experience of Care/Quality of Life Survey

a. Specify whether the state has deployed a patient experience of care or quality of life survey for its HCBS population in the last 12 months (Select one):

- [ ] No
- [x] Yes (Complete item H.2b)

b. Specify the type of survey tool the state uses:

- [x] HCBS CAHPS Survey :
- [ ] NCI Survey :
- [ ] NCI AD Survey :
- [ ] Other (Please provide a description of the survey tool used):

Appendix I: Financial Accountability

I-1: Financial Integrity and Accountability
Financial Integrity. Describe the methods that are employed to ensure the integrity of payments that have been made for waiver services, including: (a) requirements concerning the independent audit of provider agencies; (b) the financial audit program that the state conducts to ensure the integrity of provider billings for Medicaid payment of waiver services, including the methods, scope and frequency of audits; and, (c) the agency (or agencies) responsible for conducting the financial audit program. State laws, regulations, and policies referenced in the description are available to CMS upon request through the Medicaid agency or the operating agency (if applicable).

An annual independent audit from an accounting firm of the provider agency's choice is required for each provider agency. The provider must provide a copy of the findings of the independent audit to the SMA.

A statewide representative sample of member charts are reviewed every 12 months by the OA to verify documentation of services billed. Provider reviews are conducted by staff of the Operating Agency to ensure the integrity of payments that have been made for Waiver services. When provider documentation does not support services billed, providers are subject to a disallowance and repayment. In addition when a specific finding is identified, the provider must submit a Corrective Action Plan which must be approved by the Operating Agency. Disallowances recommended by the OA and information regarding collections of recommended disallowances is shared with a contracting agency.

The Medicaid Program (which would include the Aged and Disabled Waiver) 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 EVV model selected by the state (provider choice, MCO choice, state-mandated external vendor, state-mandated internal system, open vendor, or other)
- BMS is procuring an EVV solution following the open vendor model and will contract with a single EVV vendor while allowing providers to use alternate EVV vendors at their own cost, if they so choose. Upon selection of an EVV solution, BMS will establish the requirements for data collection or exchange with alternate EVV systems.
- Methods for capturing the six required data elements specified in the Cures Act: (i) the type of service performed; (ii) the individual receiving the service; (iii) the date of the service; (iv) the location of service delivery; (v) the individual providing the service; and (vi) the time the service begins and ends.
- The EVV system will verify: (i) the type of service performed; (ii) the individual receiving the service; (iii) the date of the service; (iv) the location of service delivery; (v) the individual providing the service; and (vi) the time the service begins and ends. For services requiring EVV, direct care staff and case managers will use the system to check-in at the beginning of the visit. After the visit, the member or authorized representative will use the system to verify the correct visit has been provided. The state is currently seeking a vendor to provide these services, and methods of collecting the data are expected to include a web-based application, phones, and other device options.
- The specific waiver services included in the EVV system
- BMS will work with CMS to determine which PCS and HHCS services in the state plan, Aged and Disabled Waiver, Intellectual/Developmental Disability Waiver, and Traumatic Brain Injury Waiver are subject to EVV requirements.
- The date the system was/will be fully implemented/operational
- The WV EVV system is expected to be fully implemented/operational in the November 2020 time frame.

Appendix I: Financial Accountability

Quality Improvement: Financial Accountability

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

a. Methods for Discovery: Financial Accountability Assurance:

The State must demonstrate that it has designed and implemented an adequate system for ensuring financial accountability of the waiver program. (For waiver actions submitted before June 1, 2014, this assurance read "State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.")

i. Sub-Assurances:

  a. Sub-assurance: The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.
Performance Measures

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

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

Performance Measure:
I-ai-1: Percent of clean claims paid for ADW services within the timeframes specified in the contract. Numerator= Number and percent of clean claims paid for ADW services within the timeframes specified in the contract. Denominator= Total number of clean claims submitted for ADW services.

Data Source (Select one):
Financial records (including expenditures)
If ‘Other’ is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑ State Medicaid Agency</td>
<td>☑ Weekly</td>
<td>☑ 100% Review</td>
</tr>
<tr>
<td>□ Operating Agency</td>
<td>□ Monthly</td>
<td>□ Less than 100% Review</td>
</tr>
<tr>
<td>□ Sub-State Entity</td>
<td>□ Quarterly</td>
<td>□ Representative Sample</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Confidence Interval =</td>
</tr>
<tr>
<td>□ Other Specify:</td>
<td>☑ Annually</td>
<td>□ Stratified</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Describe Group:</td>
</tr>
<tr>
<td></td>
<td>☑ Continuously and Ongoing</td>
<td>□ Other Specify:</td>
</tr>
<tr>
<td></td>
<td>□ Other</td>
<td></td>
</tr>
</tbody>
</table>
### Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>[x] State Medicaid Agency</td>
<td></td>
</tr>
<tr>
<td></td>
<td>[ ] Weekly</td>
</tr>
<tr>
<td>[ ] Operating Agency</td>
<td>[x] Monthly</td>
</tr>
<tr>
<td></td>
<td>[ ] Quarterly</td>
</tr>
<tr>
<td>[x] Sub-State Entity</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>[ ] Continuously and Ongoing</td>
</tr>
<tr>
<td>[ ] Other</td>
<td>Specify:</td>
</tr>
<tr>
<td>Specify:</td>
<td>Medicaid Finance to provide reports</td>
</tr>
</tbody>
</table>

### Performance Measure:

**I-ai-2:** Percent of ADW claims paid using the correct rate as specified in the Waiver application. Numerator = Number and percent of ADW claims paid using the correct rate as specified in the Waiver application. Denominator = Total number of ADW claims paid.

### Data Source (Select one):

**Financial records (including expenditures)**

If 'Other' is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>[x] State Medicaid Agency</td>
<td>[ ] Weekly</td>
<td>[x] 100% Review</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>[ ] Monthly</td>
<td>[ ] Less than 100% Review</td>
</tr>
<tr>
<td></td>
<td></td>
<td>[ ] Representative Sample</td>
</tr>
<tr>
<td>[ ] Operating Agency</td>
<td>[ ] Quarterly</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>[ ] Sub-State Entity</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

03/04/2020
**Data Aggregation and Analysis:**

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☐ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☒ Other Specify: Medicaid Finance to provide reports</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>☐ Continuously and Ongoing</td>
<td>☐ Other Specify:</td>
</tr>
</tbody>
</table>

*b. Sub-assurance: The state provides evidence that rates remain consistent with the approved rate*
methodology throughout the five year waiver cycle.

**Performance Measures**

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

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

**Performance Measure:**

I-b-3: The ADW rates remain consistent with the approved rate methodology throughout the five year waiver cycle. Numerator: The ADW rates remain consistent with the approved rate methodology throughout the five year waiver cycle. Denominator: The waiver year 1 through 5.

**Data Source** (Select one): Financial audits

If 'Other' is selected, specify:

<table>
<thead>
<tr>
<th>Responsible Party for data collection/generation (check each that applies):</th>
<th>Frequency of data collection/generation (check each that applies):</th>
<th>Sampling Approach (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>✗ State Medicaid Agency</td>
<td>✗ Annually</td>
<td>✗ 100% Review</td>
</tr>
<tr>
<td>[ ] Operating Agency</td>
<td>[ ] Quarterly</td>
<td>[ ] Less than 100% Review</td>
</tr>
<tr>
<td>[ ] Sub-State Entity</td>
<td>[ ] Continuously and Ongoing</td>
<td>[ ] Representative Sample</td>
</tr>
<tr>
<td>[ ] Other Specify: Financial</td>
<td>[ ] Other Specify:</td>
<td></td>
</tr>
<tr>
<td>[ ] Other Specify:</td>
<td>[ ] Other Specify:</td>
<td></td>
</tr>
</tbody>
</table>

Confidence Interval =  

Describe Group:
### Data Aggregation and Analysis:

<table>
<thead>
<tr>
<th>Responsible Party for data aggregation and analysis (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>✗ State Medicaid Agency</td>
<td>❏ Weekly</td>
</tr>
<tr>
<td>❏ Operating Agency</td>
<td>❏ Monthly</td>
</tr>
<tr>
<td>❏ Sub-State Entity</td>
<td>❏ Quarterly</td>
</tr>
<tr>
<td>❏ Other</td>
<td>❏ Annually</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
</tr>
<tr>
<td>❏ Continuously and Ongoing</td>
<td>❏ Other</td>
</tr>
<tr>
<td>Specify:</td>
<td></td>
</tr>
</tbody>
</table>

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

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 Corrective Action Plan to achieve compliance. Provider’s Corrective Action Plan must be approved by the OA and is monitored at a six month follow up. The Plan of Correction is completed by the provider agency, it is sent to the QA nurse with the OA for review. If the plan is acceptable, it is marked as approved and a copy is sent back to the provider showing that it is approved.

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 readdressed through technical assistance and/or training for Providers conducted by BMS and the OA.

Post-payment financial reviews are conducted annually by the UMC with information provided by BMS OPI. 100% of the providers with active members are reviewed. 10% of the member files per provider location are reviewed. Provider claims are reviewed based on an established review period to ensure that the claims are properly supported by documentation of the ADW waiver services provided. Any claims/services delivered with no or insufficient documentation, unqualified staff, services provided outside of the service plan, service delivery that exceed service limits, services outside of the scope of the service definition, or services delivered to the program member who is not medically or financially eligible is recommended for potential denial and a Corrective Action Plan must be developed to address the deficiencies.
b. Methods for Remediation/Fixing Individual Problems
   i. Describe the States method for addressing individual problems as they are discovered. Include information regarding responsible parties and GENERAL methods for problem correction. In addition, provide information on the methods used by the state to document these items.

   All information relating to this assurance is collected through a review and analysis of claims data provided by the claims processing entity. Individual issues/concerns related to appropriate documentation of services billed identified during the review of member charts are addressed immediately by the Operating Agency with providers during an exit interview. Providers may be required to submit Corrective Action Plans addressing identified issues that must be approved by the Operating Agency. 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)

<table>
<thead>
<tr>
<th>Responsible Party (check each that applies):</th>
<th>Frequency of data aggregation and analysis (check each that applies):</th>
</tr>
</thead>
<tbody>
<tr>
<td>☒ State Medicaid Agency</td>
<td>☐ Weekly</td>
</tr>
<tr>
<td>☐ Operating Agency</td>
<td>☐ Monthly</td>
</tr>
<tr>
<td>☐ Sub-State Entity</td>
<td>☐ Quarterly</td>
</tr>
<tr>
<td>☒ Other</td>
<td>☒ Annually</td>
</tr>
<tr>
<td>Specify: claims processing entity</td>
<td></td>
</tr>
<tr>
<td>☐ Continuously and Ongoing</td>
<td></td>
</tr>
<tr>
<td>☐ Other</td>
<td>Specify:</td>
</tr>
</tbody>
</table>

   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).
West Virginia has a uniform rate determination method based on usual and customary fees that are uniformly and consistently applied to each provider of a waiver service. The basis for the usual and customary fees was an agreed upon rate. The Medicaid agency conducted the original negotiations that resulted in an approved rate, and has consistently applied them to waiver services and continues to determine rate changes. The rate for Personal Attendant Services 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. In January 2019 the rate was increased from $3.75 to $4.25 per 15 minute unit. The nursing rates have not changed since the 2010 renewal. In January 2019 the case management rate changed from $71.10 per member per month to $80.00 per member per month. Mileage reimbursement is based on the approved mileage rate as published by the West Virginia Division of Purchasing, Travel Management Office. If rates have not limited access they are deemed to be sufficient to enlist sufficient provider participation and meet the provisions of section 1902(a)(30)(A) and 42 CFR section 447.200-205. BMS will post payment rates on the Agency website so that waiver participants and providers will be aware of the cost of waiver services. The state of West Virginia does not use a formula to base increases for inflation, and at this time does not anticipate rate increases.

The Pre-Transition Case Management services rates were established using existing case management rates for the TBI and ADW waivers.

All HCBS rates were developed using the method described below:

- In 2011 conducted a provider survey to obtain employment data and operational statistics about specific HCBS services
- WV used a factor-based calculation using the following factors:
  - Hourly Wages (source: Provider Surveys and Bureau for Labor Statistics data)
  - Payroll Taxes (e.g. Medicare, Social Security, Worker’s Compensation)
  - Benefits (BLS data for insurance and Retirement)
  - Administration (non-billable time and administrative support)
  - Capital (repairs, interest, depreciation/amortization, rent, IT/systems)
  - Supplies & Materials (supplies and materials involved in cost of sales, communications)

Because of state budget constraints, rates for all waiver services have not been increased since the initial development in 2011 – 2012, except for ADW homemaker services.

**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:

Billing flows directly from waiver providers to the State's claims processing entity.

**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 member 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 Personal Attendant services based on the waiver member's approved service plan. Edits are built into the other ADW services to ensure that the maximum number of units is not exceeded per month/year. Post-payment sampling review activities are conducted to ensure that services were provided.

Currently, it is expected that the State will use a post-payment system to evaluate the presence and validity of EVV data as well as relevant claim matching.

e. Billing and Claims Record Maintenance Requirement. Records documenting the audit trail of adjudicated claims (including supporting documentation) are maintained by the Medicaid agency, the operating agency (if applicable), and providers of waiver services for a minimum period of 3 years as required in 45 CFR §92.42.

Appendix I: Financial Accountability

I-3: Payment (1 of 7)

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

- Payments for all waiver services are made through an approved Medicaid Management Information System (MMIS).
- Payments for some, but not all, waiver services are made through an approved MMIS.

Specify: (a) the waiver services that are not paid through an approved MMIS; (b) the process for making such payments and the entity that processes payments; (c) and how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64.
Payments for waiver services are not made through an approved MMIS.

Specify: (a) the process by which payments are made and the entity that processes payments; (b) how and through which system(s) the payments are processed; (c) how an audit trail is maintained for all state and federal funds expended outside the MMIS; and, (d) the basis for the draw of federal funds and claiming of these expenditures on the CMS-64:

Payments for waiver services are made by a managed care entity or entities. The managed care entity is paid a monthly capitated payment per eligible enrollee through an approved MMIS.

Describe how payments are made to the managed care entity or entities:

Appendix I: Financial Accountability

I-3: Payment (2 of 7)

b. Direct payment. In addition to providing that the Medicaid agency makes payments directly to providers of waiver services, payments for waiver services are made utilizing one or more of the following arrangements (select at least one):

☐ The Medicaid agency makes payments directly and does not use a fiscal agent (comprehensive or limited) or a managed care entity or entities.
☒ The Medicaid agency pays providers through the same fiscal agent used for the rest of the Medicaid program.
☐ The Medicaid agency pays providers of some or all waiver services through the use of a limited fiscal agent.

Specify the limited fiscal agent, the waiver services for which the limited fiscal agent makes payment, the functions that the limited fiscal agent performs in paying waiver claims, and the methods by which the Medicaid agency oversees the operations of the limited fiscal agent:

☐ 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.

- **The state does not contract with MCOs, PIHPs or PAHPs for the provision of waiver services.**
- **The state contracts with a Managed Care Organization(s) (MCOs) and/or prepaid inpatient health plan(s) (PIHP) or prepaid ambulatory health plan(s) (PAHP) under the provisions of §1915(a)(1) of the Act for the delivery of waiver and other services. Participants may voluntarily elect to receive waiver and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the state Medicaid agency.**

Describe: (a) the MCOs and/or health plans that furnish services under the provisions of §1915(a)(1); (b) the geographic areas served by these plans; (c) the waiver and other services furnished by these plans; and, (d) how payments are made to the health plans.

- **This waiver is a part of a concurrent §1915(b)/§1915(c) waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The §1915(b) waiver specifies the types of health plans that are used and how payments to these plans are made.**
- **This waiver is a part of a concurrent §1115 waiver. Participants are required to obtain waiver and other services through a MCO and/or prepaid inpatient health plan (PIHP) or a prepaid ambulatory health plan (PAHP). The §1115 waiver specifies the types of health plans that are used and how payments to these plans are made.**
- **If the state uses more than one of the above contract authorities for the delivery of waiver services, please select this option.**

In the textbox below, indicate the contract authorities. In addition, if the state contracts with MCOs, PIHPs, or PAHPs under the provisions of §1915(a)(1) of the Act to furnish waiver services: Participants may voluntarily elect to receive waiver and other services through such MCOs or prepaid health plans. Contracts with these health plans are on file at the state Medicaid agency. Describe: (a) the MCOs and/or health plans that furnish services under the provisions of §1915(a)(1); (b) the geographic areas served by these plans; (c) the waiver and other services furnished by these plans; and, (d) how payments are made to the health plans.

---

### Appendix I: Financial Accountability

#### I-4: Non-Federal Matching Funds (1 of 3)

#### a. State Level Source(s) of the Non-Federal Share of Computable Waiver Costs.

Specify the state source or sources of the non-federal share of computable waiver costs. Select at least one:

- [ ] Appropriation of State Tax Revenues to the State Medicaid agency
- [ ] Appropriation of State Tax Revenues to a State Agency other than the Medicaid Agency.
If the source of the non-federal share is appropriations to another state agency (or agencies), specify: (a) the state entity or agency receiving appropriated funds and (b) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if the funds are directly expended by state agencies as CPEs, as indicated in Item I-2-c:

**Other State Level Source(s) of Funds.**

Specify: (a) the source and nature of funds; (b) the entity or agency that receives the funds; and, (c) the mechanism that is used to transfer the funds to the Medicaid Agency or Fiscal Agent, such as an Intergovernmental Transfer (IGT), including any matching arrangement, and/or, indicate if the funds are directly expended by state agencies as CPEs, as indicated in Item I-2-c:

This waiver program is funded through a lottery appropriation that is transferred from the Bureau of Senior Services to the Bureau for Medical Services, and may also include general revenue appropriation.

**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
  - [ ] 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:

- None of the specified sources of funds contribute to the non-federal share of computable waiver costs
- 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:

- None of the specified sources of funds contribute to the non-federal share of computable waiver costs
- 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.
Appendix I: Financial Accountability

I-7: Participant Co-Payments for Waiver Services and Other Cost Sharing (5 of 5)

\textbf{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

\textbf{J-1: Composite Overview and Demonstration of Cost-Neutrality Formula}

\textsl{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.

\textbf{Level(s) of Care: Nursing Facility}

<table>
<thead>
<tr>
<th>Year</th>
<th>Factor D</th>
<th>( \text{Factor } D' )</th>
<th>Total: ( D+D' )</th>
<th>Factor G</th>
<th>( \text{Factor } G' )</th>
<th>Total: ( G+G' )</th>
<th>Difference (Col 7 less Column 4)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>19448.65</td>
<td>7665.00</td>
<td>27113.65</td>
<td>57396.00</td>
<td>8406.00</td>
<td>65802.00</td>
<td>38688.35</td>
</tr>
<tr>
<td>2</td>
<td>19448.88</td>
<td>7867.00</td>
<td>27315.88</td>
<td>59440.00</td>
<td>9078.00</td>
<td>68518.00</td>
<td>41202.12</td>
</tr>
<tr>
<td>3</td>
<td>19858.48</td>
<td>8074.00</td>
<td>27932.48</td>
<td>61556.00</td>
<td>9804.00</td>
<td>71360.00</td>
<td>43427.52</td>
</tr>
<tr>
<td>4</td>
<td>20228.92</td>
<td>8287.00</td>
<td>28515.92</td>
<td>63747.00</td>
<td>10588.00</td>
<td>74335.00</td>
<td>45819.08</td>
</tr>
<tr>
<td>5</td>
<td>20640.30</td>
<td>8505.00</td>
<td>29145.30</td>
<td>66017.00</td>
<td>11435.00</td>
<td>77452.00</td>
<td>48306.70</td>
</tr>
</tbody>
</table>

Appendix J: Cost Neutrality Demonstration

\textbf{J-2: Derivation of Estimates (1 of 9)}

\textbf{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:

\textbf{Table: J-2-a: Unduplicated Participants}

<table>
<thead>
<tr>
<th>Waiver Year</th>
<th>Total Unduplicated Number of Participants (from Item B-3-a)</th>
<th>Distribution of Unduplicated Participants by Level of Care (if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1</td>
<td>6523</td>
<td>Nursing Facility</td>
</tr>
</tbody>
</table>
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.

Estimate for average length of stay is derived from historical claims experience. The SFY2014 preliminary ALOS data of 372 was used to provide the most recent data available at the time the waiver application was prepared.

c. Derivation of Estimates for Each Factor. Provide a narrative description for the derivation of the estimates of the following factors.

i. Factor D Derivation. The estimates of Factor D for each waiver year are located in Item J-2-d. The basis and methodology for these estimates is as follows:

The estimates for Factor D are derived from historical trends of actual claims experience used in preparing the CMS-372 reports adjusted for inflationary increases based on the most recent two years reporting periods (due to significant shifts in earlier periods the last two years were used in an effort to reflect anticipated trend for the next five years). Additional consideration was given to years determined to be outliers and these were excluded for trending purposes. Factor D was estimated using the historical data for: aggregate cost of each service; number of units paid; and number of users of each service. The future years were trended forward for future years by applying the historical data to the estimated number of users based on the projected unduplicated number of participants for each year in the new waiver period. An additional 693 slots will be added for waiver years 3, 4 and 5. By applying historical data, it is projected that the additional slots will utilize the existing services at the same percentage as the average usage for current slots. Participant estimates and utilization estimates for Pre-Transition Case Management and Community Transition Services are based on transition data and historical trends from WV’s MFP demonstration program.

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 adjusted for inflationary increases based on the most recent five year reporting periods. Additional consideration was given to years determined to be outliers and these were excluded for trending purposes. 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 decrease is attributable to revision of program policy changes, downward revisions of cost inflation factor, and the availability of recent year’s historical procedure case mix data, to utilize in the waiver amendment projections.

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:

The estimates for Factor G are derived from historical trends of actual claims experience used in preparing the CMS-372 reports adjusted for inflationary increases based on the most recent five year reporting periods. Additional consideration was given to years determined to be outliers and these were excluded for trending purposes.

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:

The estimates for Factor G’ are derived from historical trends of actual claims experience used in preparing the CMS-372 reports adjusted for inflationary increases based on the most recent five year reporting periods. Additional consideration was given to years determined to be outliers and these were excluded for trending purposes.

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.

<table>
<thead>
<tr>
<th>Waiver Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Management</td>
</tr>
<tr>
<td>Personal Attendant Services</td>
</tr>
<tr>
<td>Community Transition Services</td>
</tr>
<tr>
<td>Non-Medical Transportation</td>
</tr>
<tr>
<td>Personal Emergency Response System</td>
</tr>
<tr>
<td>Pre-Transition Case Management</td>
</tr>
<tr>
<td>Skilled Nursing</td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>Waiver Year: Year 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Waiver Service/Component</td>
</tr>
<tr>
<td>Case Management Total:</td>
</tr>
<tr>
<td>Case Management</td>
</tr>
</tbody>
</table>

GRAND TOTAL: 12663374.74  
Total Estimated Unduplicated Participants: 6523  
Factor D (Divide total by number of participants): 19446.85  
Average Length of Stay on the Waiver: 322
<table>
<thead>
<tr>
<th>Waiver Service/Component</th>
<th>Unit</th>
<th># Users</th>
<th>Avg. Units Per User</th>
<th>Avg. Cost/Unit</th>
<th>Component Cost</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal Attendant Services Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>111284601.00</td>
<td></td>
</tr>
<tr>
<td>Personal Attendant Services</td>
<td>15 minute</td>
<td>5352</td>
<td>3802.00</td>
<td>4.25</td>
<td>86480292.00</td>
<td></td>
</tr>
<tr>
<td>Personal Attendant Services</td>
<td>15 minute</td>
<td>1082</td>
<td>5394.00</td>
<td>4.25</td>
<td>24804309.00</td>
<td></td>
</tr>
<tr>
<td>Community Transition Services Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>53300.00</td>
<td></td>
</tr>
<tr>
<td>Community Transition Services</td>
<td>event</td>
<td>26</td>
<td>2050.00</td>
<td>1.00</td>
<td>53300.00</td>
<td></td>
</tr>
<tr>
<td>Non-Medical Transportation Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>989153.34</td>
<td></td>
</tr>
<tr>
<td>Transportation</td>
<td>mile</td>
<td>27</td>
<td>1931.00</td>
<td>0.42</td>
<td>21897.54</td>
<td></td>
</tr>
<tr>
<td>Transportation</td>
<td>mile</td>
<td>3230</td>
<td>713.00</td>
<td>0.42</td>
<td>967255.80</td>
<td></td>
</tr>
<tr>
<td>Personal Emergency Response System Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>978600.00</td>
<td></td>
</tr>
<tr>
<td>Personal Emergency Response System</td>
<td>monthly fee</td>
<td>1631</td>
<td>12.00</td>
<td>50.00</td>
<td>978600.00</td>
<td></td>
</tr>
<tr>
<td>Pre-Transition Case Management Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5304.00</td>
<td></td>
</tr>
<tr>
<td>Pre-Transition Case Management</td>
<td>15 minute</td>
<td>26</td>
<td>24.00</td>
<td>8.50</td>
<td>5304.00</td>
<td></td>
</tr>
<tr>
<td>Skilled Nursing Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2429840.40</td>
<td></td>
</tr>
<tr>
<td>RN Assessment</td>
<td>event</td>
<td>4367</td>
<td>2.00</td>
<td>120.00</td>
<td>1048080.00</td>
<td></td>
</tr>
<tr>
<td>RN Monthly</td>
<td>15 minute</td>
<td>5286</td>
<td>20.00</td>
<td>13.07</td>
<td>1381760.40</td>
<td></td>
</tr>
<tr>
<td><strong>GRAND TOTAL:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>126863574.74</td>
<td></td>
</tr>
<tr>
<td>Total Estimated Unduplicated Participants:</td>
<td>6523</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Factor D (Divide total by number of participants):</td>
<td>19448.65</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Average Length of Stay on the Waiver:</td>
<td>322</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

03/04/2020
<table>
<thead>
<tr>
<th>Waiver Service/Component</th>
<th>Unit</th>
<th># Users</th>
<th>Avg. Units Per User</th>
<th>Avg. Cost/Unit</th>
<th>Component Cost</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Management Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>11254320.00</td>
<td>11254320.00</td>
</tr>
<tr>
<td>Case Management</td>
<td>monthly fee</td>
<td>5390</td>
<td>12.00</td>
<td>174.00</td>
<td>11254320.00</td>
<td>11254320.00</td>
</tr>
<tr>
<td>Personal Attendant Services Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>112600605.00</td>
<td>112600605.00</td>
</tr>
<tr>
<td>Personal Attendant Services</td>
<td>15 minute</td>
<td>5415</td>
<td>3802.00</td>
<td>4.25</td>
<td>87498277.50</td>
<td>87498277.50</td>
</tr>
<tr>
<td>Personal Attendant Services</td>
<td>15 minute</td>
<td>1095</td>
<td>5394.00</td>
<td>4.25</td>
<td>25102327.50</td>
<td>25102327.50</td>
</tr>
<tr>
<td>Community Transition Services Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>53300.00</td>
<td>53300.00</td>
</tr>
<tr>
<td>Community Transition Services</td>
<td>event</td>
<td>26</td>
<td>2050.00</td>
<td>1.00</td>
<td>53300.00</td>
<td>53300.00</td>
</tr>
<tr>
<td>Non-Medical Transportation Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1006532.82</td>
<td>1006532.82</td>
</tr>
<tr>
<td>Transportation Personal Options</td>
<td>27</td>
<td>1931.00</td>
<td>0.42</td>
<td></td>
<td>21897.54</td>
<td>21897.54</td>
</tr>
<tr>
<td>Transportation</td>
<td>mile</td>
<td>3268</td>
<td>713.00</td>
<td>0.42</td>
<td>978635.28</td>
<td>978635.28</td>
</tr>
<tr>
<td>Personal Emergency Response System Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>990000.00</td>
<td>990000.00</td>
</tr>
<tr>
<td>Personal Emergency Response System</td>
<td>monthly fee</td>
<td>1650</td>
<td>12.00</td>
<td>50.00</td>
<td>990000.00</td>
<td>990000.00</td>
</tr>
<tr>
<td>Pre-Transition Case Management Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5304.00</td>
<td>5304.00</td>
</tr>
<tr>
<td>Pre-Transition Case Management</td>
<td>15 minute</td>
<td>26</td>
<td>24.00</td>
<td>8.50</td>
<td>5304.00</td>
<td>5304.00</td>
</tr>
<tr>
<td>Skilled Nursing Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2458527.20</td>
<td>2458527.20</td>
</tr>
<tr>
<td>RN Assessment</td>
<td>event</td>
<td>4419</td>
<td>2.00</td>
<td>120.00</td>
<td>1060560.00</td>
<td>1060560.00</td>
</tr>
<tr>
<td>RN Monthly</td>
<td>15 minute</td>
<td>5348</td>
<td>20.00</td>
<td>13.07</td>
<td>1397967.20</td>
<td>1397967.20</td>
</tr>
</tbody>
</table>

**GRAND TOTAL:** 128362589.02

**Total Estimated Unduplicated Participants:** 6600

**Factor D (Divide total by number of participants):** 19448.88

**Average Length of Stay on the Waiver:** 322

---

**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**
<table>
<thead>
<tr>
<th>Waiver Service/ Component</th>
<th>Unit</th>
<th># Users</th>
<th>Avg. Units Per User</th>
<th>Avg. Cost/ Unit</th>
<th>Component Cost</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Management Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>11479406.40</td>
</tr>
<tr>
<td>Case Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>11479406.40</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>177.48</td>
<td>177.48</td>
</tr>
<tr>
<td>Personal Attendant Services Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>114985088.40</td>
</tr>
<tr>
<td>Personal Attendant Services</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>89351182.20</td>
</tr>
<tr>
<td>Personal Attendant Services</td>
<td>15 minute</td>
<td>5415</td>
<td>3802.00</td>
<td>4.34</td>
<td></td>
<td>4.34</td>
</tr>
<tr>
<td>Personal Attendant Services</td>
<td>15 minute</td>
<td>1095</td>
<td>5394.00</td>
<td>4.34</td>
<td></td>
<td>4.34</td>
</tr>
<tr>
<td>Personal Options</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>25633906.20</td>
</tr>
<tr>
<td>Community Transition Services Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>54366.00</td>
</tr>
<tr>
<td>Community Transition Services</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>54366.00</td>
</tr>
<tr>
<td>Non-Medical Transportation Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1024355.03</td>
</tr>
<tr>
<td>Transportation</td>
<td>mile</td>
<td>27</td>
<td>1931.00</td>
<td>0.43</td>
<td></td>
<td>22418.91</td>
</tr>
<tr>
<td>Personal Options</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1001936.12</td>
</tr>
<tr>
<td>Transportation</td>
<td>mile</td>
<td>3268</td>
<td>713.00</td>
<td>0.43</td>
<td></td>
<td>1001936.12</td>
</tr>
<tr>
<td>Personal Emergency Response System Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1009800.00</td>
</tr>
<tr>
<td>Personal Emergency Response System</td>
<td></td>
<td>1650</td>
<td>12.00</td>
<td>51.00</td>
<td></td>
<td>51.00</td>
</tr>
<tr>
<td>Pre-Transition Case Management Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5410.08</td>
</tr>
<tr>
<td>Pre-Transition Case Management</td>
<td>15 minute</td>
<td>26</td>
<td>24.00</td>
<td>8.67</td>
<td></td>
<td>8.67</td>
</tr>
<tr>
<td>Skilled Nursing Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2507548.00</td>
</tr>
<tr>
<td>RN Assessment</td>
<td>event</td>
<td>4419</td>
<td>2.00</td>
<td>122.40</td>
<td></td>
<td>1081771.20</td>
</tr>
<tr>
<td>RN Monthly</td>
<td>15 minute</td>
<td>5348</td>
<td>20.00</td>
<td>13.33</td>
<td></td>
<td>1425776.80</td>
</tr>
<tr>
<td>GRAND TOTAL:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>131065973.91</td>
</tr>
<tr>
<td>Total Estimated Unduplicated Participants:</td>
<td></td>
<td>6600</td>
<td></td>
<td>19858.48</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Average Length of Stay on the Waiver:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>322</td>
</tr>
</tbody>
</table>

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
<table>
<thead>
<tr>
<th>Waiver Service/Component</th>
<th>Unit</th>
<th># Users</th>
<th>Avg. Units Per User</th>
<th>Avg. Cost/Unit</th>
<th>Component Cost</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Management Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>11709020.40</td>
<td></td>
</tr>
<tr>
<td>Case Management</td>
<td>monthly fee</td>
<td>5390</td>
<td>12.00</td>
<td>181.03</td>
<td>11709020.40</td>
<td></td>
</tr>
<tr>
<td>Personal Attendant Services Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>117104629.20</td>
</tr>
<tr>
<td>Personal Attendant Services</td>
<td>15 minute</td>
<td>5415</td>
<td>3802.00</td>
<td>4.42</td>
<td>90998208.60</td>
<td></td>
</tr>
<tr>
<td>Personal Attendant Services Personal Options</td>
<td>15 minute</td>
<td>1095</td>
<td>5394.00</td>
<td>4.42</td>
<td>26106420.60</td>
<td></td>
</tr>
<tr>
<td>Community Transition Services Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>55432.00</td>
<td></td>
</tr>
<tr>
<td>Community Transition Services</td>
<td>event</td>
<td>26</td>
<td>2050.00</td>
<td>1.04</td>
<td>55432.00</td>
<td></td>
</tr>
<tr>
<td>Non-Medical Transportation Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1049177.24</td>
<td></td>
</tr>
<tr>
<td>Transportation Personal Options</td>
<td>mile</td>
<td>27</td>
<td>1931.00</td>
<td>0.44</td>
<td>22940.28</td>
<td></td>
</tr>
<tr>
<td>Transportation</td>
<td>mile</td>
<td>3268</td>
<td>713.00</td>
<td>0.44</td>
<td>1025236.96</td>
<td></td>
</tr>
<tr>
<td>Personal Emergency Response System Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1029996.00</td>
<td></td>
</tr>
<tr>
<td>Personal Emergency Response System</td>
<td>monthly fee</td>
<td>1650</td>
<td>12.00</td>
<td>52.02</td>
<td>1029996.00</td>
<td></td>
</tr>
<tr>
<td>Pre-Transition Case Management Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5516.16</td>
<td></td>
</tr>
<tr>
<td>Pre-Transition Case Management</td>
<td>15 minute</td>
<td>26</td>
<td>24.00</td>
<td>8.84</td>
<td>5516.16</td>
<td></td>
</tr>
<tr>
<td>Skilled Nursing Total:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2558080.30</td>
<td></td>
</tr>
<tr>
<td>RN Assessment</td>
<td>event</td>
<td>4419</td>
<td>2.00</td>
<td>124.85</td>
<td>1103424.30</td>
<td></td>
</tr>
<tr>
<td>RN Monthly</td>
<td>15 minute</td>
<td>5348</td>
<td>20.00</td>
<td>13.60</td>
<td>1454656.00</td>
<td></td>
</tr>
</tbody>
</table>

GRAND TOTAL: 133510851.30
Total Estimated Unduplicated Participants: 6600
Factor D (Divide total by number of participants): 2028.92
Average Length of Stay on the Waiver: 322

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
<table>
<thead>
<tr>
<th>Waiver Service/Component</th>
<th>Unit</th>
<th># Users</th>
<th>Avg. Units Per User</th>
<th>Avg. Cost/Unit</th>
<th>Component Cost</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Case Management Total:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Case Management</td>
<td>monthly fee</td>
<td>5,390</td>
<td>12.00</td>
<td>184.65</td>
<td>11,943,162.00</td>
<td>11,943,162.00</td>
</tr>
<tr>
<td><strong>Personal Attendant Services Total:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Personal Attendant Services</td>
<td>15 minute</td>
<td>5,415</td>
<td>380.00</td>
<td>4.51</td>
<td>9,285,113.30</td>
<td>9,285,113.30</td>
</tr>
<tr>
<td>Personal Attendant Services</td>
<td>15 minute</td>
<td>1,095</td>
<td>539.40</td>
<td>4.51</td>
<td>2,663,799.93</td>
<td>2,663,799.93</td>
</tr>
<tr>
<td><strong>Community Transition Services Total:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Community Transition Services</td>
<td>event</td>
<td>26</td>
<td>2,050.00</td>
<td>1.00</td>
<td>56,498.00</td>
<td>56,498.00</td>
</tr>
<tr>
<td><strong>Non-Medical Transportation Total:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transportation Personal Options</td>
<td>mile</td>
<td>27</td>
<td>1,931.00</td>
<td>0.45</td>
<td>23,461.65</td>
<td>23,461.65</td>
</tr>
<tr>
<td>Transportation Personal Options</td>
<td>mile</td>
<td>3,268</td>
<td>713.00</td>
<td>0.45</td>
<td>10,485,378.80</td>
<td>10,485,378.80</td>
</tr>
<tr>
<td><strong>Personal Emergency Response System Total:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Personal Emergency Response System</td>
<td>monthly fee</td>
<td>1,650</td>
<td>12.00</td>
<td>53.00</td>
<td>10,505,880.00</td>
<td>10,505,880.00</td>
</tr>
<tr>
<td><strong>Pre-Transition Case Management Total:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pre-Transition Case Management</td>
<td>15 minute</td>
<td>26</td>
<td>24.00</td>
<td>9.02</td>
<td>562,848.00</td>
<td>562,848.00</td>
</tr>
<tr>
<td><strong>Skilled Nursing Total:</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RN Assessment</td>
<td>event</td>
<td>4,419</td>
<td>2.00</td>
<td>127.34</td>
<td>1,125,430.92</td>
<td>1,125,430.92</td>
</tr>
<tr>
<td>RN Monthly</td>
<td>15 minute</td>
<td>5,348</td>
<td>20.00</td>
<td>13.87</td>
<td>1,483,535.20</td>
<td>1,483,535.20</td>
</tr>
</tbody>
</table>

**GRAND TOTAL:** 13,622,594.45

Total Estimated Unduplicated Participants: 6,600
Factor D (Divide total by number of participants): 2,064.03

Average Length of Stay on the Waiver: 322